

Faculty Senate Resolution 03-09 (amended)

Introduced April 10, 2003

Amended and Passed May 7, 2003

(Note: The remainder of PS-36 Addendum is currently being considered by the FS)

Whereas the faculty Senate by Resolution SR 01-14 requested the Provost to convene a committee to “revise sections of PS-35 concerning the evaluation of Deans and Chairs,” and that half of the members be from non-administrative positions, and

Whereas Provost Fogel appointed a committee of six voting and four ex-officio members of 7 November 2001, half of those members were faculty (all voting), as was the chair, and

Whereas the Committee having met in the Spring of 2002 and again in the Spring of 2003 and having developed and sent out for comment various draft proposals, and

Whereas the Committee has concluded that the objectives of the Faculty Senate’s resolution can be best met by providing a new section to PS-36 and an amendment to PS-35, and

Whereas the Committee has submitted a draft of such a section to the Faculty Senate,

Now therefore, the Faculty Senate adopts that draft as a recommendation to the Interim Provost and the Chancellor and requests that it be incorporated into PS-36 and PS-35, respectively.

Recommendation:

Amend PS-35, page 1, under “Policy Coverage,” second sentence, to read:

“Employees with faculty rank and individuals with or without faculty rank and tenure who administer academic units, as well as certain other administrators holding faculty rank, are excluded and will be evaluated under PS-36 Addendum, Section D.”

Amend PS-36 Addendum by adding a new section as follows:

PS-36 Addendum, Section D. Evaluation of Individuals with or without Faculty Rank and Tenure Who Administer Academic Units, and of Certain Other Administrators Holding Faculty Rank.

- I. **Initial Appointment of Administrators Hold Faculty Ranks.** While this section of PS-36 primarily is concerned with the evaluation of individuals with faculty rank and tenure holding certain administrative positions, it should be emphasized that faculty input into the initial appointment of any individual who will administer an academic unit is essential to promoting a community of shared governance. Faculty participation is of particular importance when external candidates for administrative positions are selected. Faculty rank and tenure may only be offered in accordance with the faculty processes specified in the following:
 - a. *PS-36, Criteria for Evaluating Academic Performance; Policy and Procedures on Faculty Appointment, Performance Evaluation, Reappointment, Nonreappointment, Promotion, and Tenure*
 - b. *PS-07, Academic Honorifics, if the candidate will be appointed to a designated professorship or endowed chair.*

- c. The Office of Human Resource Management will ensure compliance with these and other applicable Policy Statements. The appointing administrator should inform the faculty of the unit in which the administrator has rank and tenure (if applicable) and of the unit to be administered (if different) of the approximate allocation of effort/assignment expected from the new appointee.

II. General Policy

- a. Administrative service is considered as special from of the service requirement of all faculty members.
- b. Responsibility for the annual evaluation of a unit administrator lies with the supervising administrator who appoints the unit administrator. However, faculty evaluations of the administrator's performance must be considered in the supervisor's making of the annual evaluation.
- c. The evaluation system herein is part of the campus performance management system, which is defined in PS-35 as "a continuous process of planning, communication, evaluation, development, and recognition and reward." Further "the annual evaluation provides an opportunity to formally review [and reach] an agreement between the [administrator] and his/her [administrative] supervisor on the critical functions which must be performed and on how well the [administrator] is meeting expectations." Severe deficiencies or nonperformance of duties will be considered an "unsatisfactory job performance" as defined in Section C.4 above.
- d. This process applies to all administrators of academic units (as identified by the Office of Academic Affairs), the Chancellor, the Provost, the Vice Chancellor for Research and Dean of the Graduate School, the Senior Associate Dean of the Graduate School and to such other administrators holding faculty rank as the Chancellor and Executive Committee of the Faculty Senate may from time to time agree will be so covered.

III. Evaluation Considerations

- a. **Progress Toward Agreed-Upon Objectives.** Maintaining and enhancing the quality of teaching, research, and service in a unit and fitting the work of the unit into the University's strategic plan requires that the faculty and administrator(s) of each unit collaboratively develop and implement the unit's strategic plan and annually review and revise it as may be mutually agreed or required by the strategic and other plans of the university or its circumstances. Annual faculty evaluation of the administrator in this area of administration is required, using the process set out below.
- b. **Unit Leadership Performance.** Administrators of academic units must foster an environment in which faculty can pursue excellence in scholarly activities, teaching, and service. The faculty will evaluate the administrator on an array of skills, including, among others, leadership ability, mentoring, skill in handling personnel issues, and effective communication.
 - i. Further, because it is University policy to promote a workplace that is free from discrimination on the basis of race, color, marital status, sexual orientation, creed, religion, sex, national origin, age, mental or physical disability or veteran's status, and because scholarship is enhanced when the individual talents of a diverse community are nurtured, it is the special obligation of administrators to actively develop and maintain an environment that

contributes to the elimination of barriers *where they are perceived by historically underrepresented groups*. Accordingly, administrators will also be evaluated on their efforts to see that historically underrepresented groups are included as full participants in the unit. The Office of Human Resource Management and the Office of the Vice Provost for Academic Affairs and Campus Diversity are resources for matters relating to nurturing diversity.

- ii. Annual faculty evaluation of the administrator in this area of administration is required, using the process set out below.
- c. **Research and/or Teaching.** When the administrator of an academic unit has an agreed percentage of effort/assignment that includes research and/or teaching (one or both), the performance of that individual in each area will be evaluated annually by his/her supervising administrator, who will take account of the percentage(s) in question. The supervisor must obtain and consider the evaluation of teaching and/or research from the unit in which the administrator being evaluated holds rank and tenure. The unit will make that evaluation according to its standards and procedures. This part of the unit administrator's evaluation may result in a renegotiation of the percentages if that is needed to enhance the effectiveness of the unit administrator in fulfilling the goals noted above and other objectives of importance for the sound administration of the university. If the percentage of effort/assignment is changed, the supervising administrator will notify the unit faculty(ies) of the change.
- d. **Other Areas of Administration.** By custom and mutual agreement between the unit administrator and his/her supervising administrator, other areas of administrative activity will be included in the annual evaluation. These areas are not specified here because they are highly variable according to the academic unit and may vary over time as the administrative needs of the university change.
- e. **Weights Assigned.** The weights assigned by the supervising administrator to each of the four areas above, and to the faculty evaluations required herein, should reflect a balanced assessment of all the requirements of the work of the administrator under review. Supervising administrators are expected to explain the weights assigned during the annual report of the supervising administrator to the unit faculty.

IV. Conduct of Evaluations

- a. The administrator of an academic unit or an administrator with faculty rank covered under this section of PS-36 is evaluated annually by his/her administrative supervisor according to the timetable set by the Office of Academic Affairs.
- b. The supervising administrator will report the results of his/her evaluation to the next higher level for review and forwarding to the Office of Human Resource Management using the form attached to PS-35, attaching thereto a copy of the summary of the unit faculty evaluations provided for herein and such other documentation as may be appropriate, including any changes in assignment. These documents will form part of that individual's official personnel record.
- c. The supervising administrator will also report the results of his/her evaluation of the unit administrator to the unit faculty.

V. Faculty Evaluation Process

- a. The general evaluation process is depicted in Figure 1 and described here.

- i. The formal annual evaluation policy contained herein in no way limits the individual faculty member's right to communicate with an administrator's supervisor(s) about matters that arise and require attention during the year.
- ii. Two different evaluations are contemplated:
 1. An annual evaluation involving primarily the faculty of the unit and the administrator's supervisor.
 2. An evaluation bearing on consideration for continuing appointment that will be the annual evaluation plus whatever additional information, if any, a unit's faculty determine is of value. No continuing appointment should be made until this evaluation has been completed. United also may use this evaluation in anticipation of a new appointment.
- iii. A list of faculty will be created (hereafter, *summarizers*) who will review results of evaluations and summarize/interpret them for faculty and supervising administrators. Summarizers will be nominated by the elected faculty policy committees and senates of the colleges and schools or, where a college or school or similar unit does not have an elected body, by the faculty as a whole on an annual timetable to be set by Academic Affairs. Individuals so selected will normally serve for 3 years and may be continued as summarizers upon re-nomination but may resign at any time or be removed for cause by the Faculty Senate Personnel Policies Committee. *See Section VI (c) for an exception to this procedure.*
- iv. The Office of Human Resource Management will train the summarizers in how to summarize and communicate data provided in the evaluations to ensure respect and confidentiality for all parties to the process. This initiative is part of a larger university process of developing faculty skill in assessment.
- v. The evaluation of administrators procedure is annual and begins with an annual report by the unit administrator to the unit faculty, with emphasis on the planning process, achievements of the unit, and higher-level strategic goals. This step is the first in the rolling renewal of the planning process.
- vi. Evaluation instruments (forms) will be "user-friendly" and capable of secure submission procedures (e.g., Internet-based) and designed to produce meaningful statistical measures (e.g., central tendency and dispersion).
- vii. The evaluation will have two parts:
 1. Assessment of activity in support of the planning process (see Section III-a for more detail) and
 2. Assessment of skills in general administration of personnel (see Section III-b for more detail). Each part will consist of two sections:
 - a. A standard form used by all units and cooperatively constructed by the Office of Academic Affairs, the Office of Human Resource Management, and the Faculty Senate's Faculty Personnel Policies Committee for the purpose of providing university-wide comparisons and data.
 - b. A section of questions determined by the unit's faculty as useful for its internal assessments. The Office of Human Resource

Management and the Center for Assessment & Evaluation will facilitate the development and installation of this section and its revision over time as needed.

- viii. On a timetable to be determined by the Office of Academic Affairs these assessment instruments will be available during a finite period each year for faculty input using a password or similar access-limited system.
- ix. The Center for Assessment & Evaluation will
 - 1. Supervise the evaluation system to ensure that it generates the data to be summarized and
 - 2. Facilitate supplying the raw response information, *stripped of any information that identifies individual responders*, to the supervising administrator.
- x. An individual(s) from the list of summarizers who is (are) not a member(s) of the unit faculty and is (are) selected as provided for in Section VI, below, will access the faculty responses to the evaluation instruments, summarize them verbally and numerically, and report the results to the faculty and the supervising administrator in writing. The summary will take account of comments but not reproduce them verbatim. The supervising administrator will have access to the original responses (*without individual identification of responders*) and the full text of comments. All parties understand that verbatim comments are kept in strict confidence.
- xi. The supervising administrator will provide timely feedback to the following:
 - 1. The unit administrator being evaluated, including discussion of comments, if deemed appropriate.
 - 2. The unit faculty, explaining any discrepancy between the summary of the faculty evaluations(s) and the supervisor's evaluation.
 - 3. This feedback then cycles into the formulation of the unit and unit administrator's plan for the following year and such revision of the unit's vision statement and strategic plan as the unit faculty, unit administrator, and supervising administrator deem necessary.
- xii. Support for the faculty evaluation process and the timeliness, quality, and effectiveness of the supervisor's evaluation will be considered during the supervising administrator's own evaluation.
- xiii. The Faculty Senate's Faculty Personnel Policies Committee will
 - 1. Represent the faculty interest both in implementing and in maintaining and improving this process and
 - 2. Report annually to the Faculty senate on issues related to *Evaluation of Individuals with or without Faculty Rank and Tenure Who Administer Academic Units and Certain Other Administrators Holding Faculty Rank*.
- xiv. The original data from the faculty evaluation will be retained under seal of the Office of Human Resource Management unless required for an appeal or other process.

VI. Administration of Faculty Evaluations

- a. **Departments (Chairs, Heads, and Directors of Schools within Colleges).** The department faculty will select one summarizer from the list who is not a member of the department.
- b. **Colleges or Similar Units (Deans and Directors who report to the Provost).** The Executive Committee of the College Senate or Policy Committee and the Provost will agree on a committee of at least three summarizers external to the unit and drawn from the list of summarizers. Where there is no elected faculty body, the Provost will cooperatively develop the committee in consultation with the unit faculty as a whole.
- c. **Other Administrators with Faculty Rank.**
 - i. **Chancellor:** The Faculty Senate Executive Committee will designate three past presidents of the Faculty Senate as the summarizers. A past president holding an administrative position such as chair or associate chair of a department, dean or associate dean of a college or assistant or associate vice chancellor is not eligible to serve in this capacity.
 - ii. **Provost:** The Chancellor and the faculty Senate Executive Committee will designate three past presidents of the Faculty Senate as the summarizers. A past president holding an administrative position such as chair or associate chair of a department, dean or associate dean of a college or assistant or associate vice chancellor is not eligible to serve in this capacity.
 - iii. **Other administrators:** The Chancellor and the Faculty Senate Executive Committee will designate as many as three summarizers from the list.