

Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



If the changes you are requesting include housekeeping, please submit those changes to nds.policy.manual@nds.edu first so that a clean policy can be presented to the committees.

SECTION: Policy 327- Evaluation of Academic Deans, Directors and Department Chairs and Heads

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
 - Is this a federal or state mandate? ☐ Yes ☒ No
 - Describe change: adding Provost and FT Vice Provosts, Academic Vice Presidents, and FT Associate/Assistant Deans, to be evaluated under this policy; clarifying annual review and comprehensive review responsibilities; changing comprehensive review from every three years, to year three of initial appointment and every five years thereafter; streamlining evaluation criteria; separating evaluation procedure from policy.
 - Version 2 includes Faculty Senate recommendation to remove references to confidentiality in Section 5 under Procedure; the review cannot be confidential due to state requirements.

Please note that the attached procedures are provided as information to accompany the policy changes and do not need to be voted upon.

2. This policy change was originated by (individual, office or committee/organization):
 - Office/Department/Name and the date submitted: Commission on the Status of Women Faculty, working with the Office of the Provost – submitted 10-16-2015
 - Email address of the person who should be contacted with revisions: Karen.Froelich@nds.edu

This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

3. This policy has been reviewed/passed by the following (include dates of official action):

Senate Coordinating Committee:

Faculty Senate:

Staff Senate:

Student Government:

President's Cabinet:

The formatting of this policy will be updated on the website once the **content** has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to nds.policy.manual@nds.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

SECTION 327**EVALUATION OF ACADEMIC ADMINISTRATORS~~ACADEMIC DEANS, DIRECTORS AND DEPARTMENT CHAIRS AND HEADS~~**

SOURCE: NDSU President
Faculty Senate

1. Introduction

North Dakota State University believes every university employee deserves regular evaluation of his or her professional duties as they relate to a formal job description and the university's needs. ~~This process should be transparent and constructive, honest, open, and forthright;~~ including an acknowledgment of the employee's achievements, as well as an assessment of his or her ability to match the university's expectations, ~~and a determination of areas needing improvement.~~

~~As t~~This evaluation process policy pertains~~relates to the campus provost, full-time vice provosts, academic vice presidents who report to the provost, academic deans, full-time academic associate and assistant deans, directors of academic offices, and chairs and heads, directors, and other academic supervisory personnel.~~The evaluation process will include input from a variety of groups; faculty will play a major role in evaluation of academic administrators, it is expected that an evaluation will always emphasize areas of special achievement, while also identifying areas needing improvement. This should be a constructive and useful experience to be welcomed by the person being evaluated. It is a required part of an ongoing process designed to ensure that the person evaluated continues to meet both his or her own needs, as well as the needs of affected university publics.

2. Annual Review~~Timetables~~

Each administrator covered by this policy will be reviewed annually by the administrative supervisor to whom that person reports in accordance with Policy 167.

3. Comprehensive Review

All administrators covered under this policy will undergo a comprehensive review. Evaluation of deans, directors, and chairs will include input from a variety of groups. This document is designed to guide faculty, as they play a major role in evaluation of academic supervisors. It is expected that deans, chairs, and directors will be evaluated formally. The first comprehensive review will be completed by the end of the administrator's third year of appointment. Subsequent reviews will occur at least every three years, to be completed by the end of the fifth year after the prior review. Interim reviews may be requested by the administrator or by the person to whom the administrator reports. If a review indicates substantial areas of concern or lack of performance, the next review will be completed within two years of that review. The college or department Promotion, Tenure and Evaluation (PTE) committee, supervising administrator, or the employee himself/herself may request an evaluation.

4. Common Review Criteria

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Review criteria should be based on the administrator's job description which may include, but are not limited to the following:

- a) leadership, strategic planning and assessment;
- b) administration and management;
- c) commitment to institutional values including equity and diversity, academic freedom, and shared governance;
- d) external relations;
- e) service to the broad mission of the University.

The relative importance of evaluation areas will vary with position of the administrator; therefore some criteria above may not apply and others may be added.

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5. Procedures

Reviews will be initiated by the administrator's supervisor, and must be conducted according to the Comprehensive Review Procedures for Academic Administrators.

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Review committees – consisting of tenured faculty, relevant administrators, and staff – will be formed in accordance with the Comprehensive Review Procedures. The review committee shall prepare a report summarizing its findings for submission to the supervisor.

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~~As personnel matters, reviews and any materials generated during the review process are confidential.~~ The supervisor will provide a summary of the review for public distribution.

3. Evaluation of academic deans and directors

3.1 Evaluation standards

~~While standards vary among colleges and divisions, the considerations below are designed to help guide Evaluation Committees in forming their evaluation:~~

- ~~a) Leadership. Promotes high standards for the unit in areas of scholarship, instruction, and outreach; communicates priorities, standards, and administrative procedures effectively; articulates a vision for the future; provides national and statewide visibility and recognition for the unit; contributes to the leadership of the university and effectively advocates for the university.~~
- ~~b) Planning. Works effectively with staff in identifying appropriate short-term and long-term goals, in setting priorities, and in focusing resources across all unit missions.~~
- ~~c) Administration and Management. Oversees the recruitment and appointment of highly qualified staff, provides support for the successful recruitment and retention of chairs, faculty and staff, manages the dean's or director's office effectively, shares governance with staff when appropriate, provides for effective budget management, works effectively with other colleges, makes decisions in a timely fashion.~~

- d) ~~Affirmative Action. Encourages diversity and implements mechanisms for attracting and retaining women and underrepresented groups; encourages respect for all persons in the unit.~~
- e) ~~Instruction. Coordinates and implements curricula as developed by the faculty.~~
- f) ~~Outreach. Promotes the service component of the unit's mission; provides mechanisms for the successful delivery of outreach programs; is responsive to the needs of external constituencies.~~
- g) ~~Development. Within the context of the college, successfully works with the Development Foundation and other organizations in identifying and pursuing philanthropic support for the unit; develops public and constituency support for the unit.~~
- h) ~~Personnel Development. Supports and defends academic freedom; provides guidance, support and resources for faculty and staff development, particularly in promotion, tenure and evaluation.~~
- i) ~~Assessment. Effectively evaluates or assesses the units under his/her administration; acknowledges areas of excellence, and recommends areas where improvement is needed.~~

3.2 ~~Evaluation Procedures~~

- a) ~~The Office of the Provost initiates evaluations of these administrators. To ensure faculty involvement, the faculty of a college or unit must organize a committee consisting of full-time non-administrative faculty at the assistant professor, associate professor, or full professor level. Members of the Evaluation Committee are recommended to the Provost the college or unit's PTE Committee, as appropriate under the evaluative charge of this group. However, members of the college's PTE Committee cannot appoint themselves.~~
- b) ~~The number of faculty on the committee may be flexible, but should total at least five. Evaluation Committee members should decide at an initial meeting the number of members constituting a quorum. A timetable should be set in consultation with the Provost or other senior administrative office to assure that the faculty evaluation material is ready in time to be included in the entire evaluation document.~~
- c) ~~The Evaluation Committee will propose a written evaluation form based upon the formal job description, dean's statement of goals and accomplishments, and a statement of self assessment. A draft of this proposed evaluation form will be made available to the dean/director, who will be invited to offer input before it is finalized. The final evaluation form will be used to solicit responses from faculty, chaire, peer administrators, and others including classified staff, students, recent graduates, and external constituencies, if appropriate.~~

- d) ~~The Evaluation Committee will analyze the completed evaluation forms and prepare a committee evaluation report summarizing the findings for the Provost. Evaluation Committee members who do not agree with the majority report may append a dissenting report. If the Evaluation Committee believes the needs of the college or division have changed, it may recommend to the Provost that the position description be changed.~~
- e) ~~Upon receipt of the committee's evaluation report, the Provost will also analyze and summarize the data. The Provost will then meet with the Evaluation Committee to determine consensus and discuss differences. The Provost will prepare a draft report of the final evaluation and provide it to the dean. The Provost will meet with the dean and discuss the findings of the Evaluation Committee. Following this meeting, a final evaluation report will be written and placed in the individual's official personnel file. To ensure that the process remains open and positive, it is strongly suggested that the dean/director discuss this final evaluation report at a subsequent college or division faculty meeting.~~
- f) ~~At any time, faculty or staff not on the committee, of course, may contact the Office of the Provost or other appropriate supervising officer directly with compliments or concerns relating to the person being evaluated.~~

4. ~~Evaluation of chairs and heads~~

4.1 ~~Evaluation standards~~

~~While standards vary among colleges and divisions, the considerations below are designed to help guide Evaluation Committees in forming their evaluation.~~

- a) ~~Leadership. Promotes high standards for the unit in areas of scholarship, instruction, and outreach; communicates priorities, standards, and administrative procedures effectively; articulates a vision for the future; provides national and statewide visibility and recognition for the unit; contributes to the leadership of the university and effectively advocates for the university.~~
- b) ~~Planning. Works effectively with staff in identifying appropriate short-term and long-term goals, in setting priorities, and in focusing resources across all unit missions.~~
- c) ~~Administration and Management. Oversees the recruitment and appointment of highly qualified staff, provides support for the successful recruitment and retention of faculty and staff, manages the department office effectively, shares governance with staff when appropriate, provides for effective budget management, works effectively with other departments, makes decisions in a timely fashion.~~
- d) ~~Affirmative Action. Encourages diversity and implements mechanisms for attracting and retaining women and underrepresented groups; encourages respect for all persons in the unit.~~

- ~~e) Instruction. Coordinates and implements curricula as developed by the faculty.~~
- ~~f) Outreach. Promotes the service component of the unit's mission; provides mechanisms for the successful delivery of outreach programs; is responsive to the needs of external constituencies.~~
- ~~g) Development. Within the context of the (college) unit, successfully works with the Development Foundation and other organizations in identifying and pursuing philanthropic support for the unit; develops public and constituency support for the unit.~~
- ~~h) Personnel Development. Supports and defends academic freedom; provides guidance, support and resources for faculty and staff development, particularly in promotion, tenure and evaluation.~~
- ~~i) Assessment. Effectively evaluates or assesses the units under his/her administration; acknowledges areas of excellence, and recommends areas where improvement is needed.~~

~~4.2 Evaluation Procedure for chairs and heads~~

- ~~a) Chairs also must be evaluated at least once every three years, with the dean of the college or the director of the unit initiating the evaluation process. The dean, in conjunction with the department faculty, will form an ad hoc committee consisting of at least three faculty members.~~
- ~~b) This ad hoc committee chair will propose a written evaluation form based upon the chair's formal job description, statement of goals and accomplishments, and a statement of self-assessment. A draft of this proposed evaluation form will be made available to the chair, who will be invited to offer input before the document is finalized. The final evaluation form will be used to solicit response from faculty, peer administrators, and others including classified staff, students, recent graduates, and, if appropriate, external constituencies.~~
- ~~c) The ad hoc committee will analyze the completed evaluation forms and prepare a report summarizing the findings for the dean. Evaluation Committee members who do not agree with the majority report may append a dissenting report. If the Evaluation Committee believes the needs of the department or unit have changed, it may recommend to the dean that the position description be changed.~~
- ~~d) Upon receipt of the report from the Evaluation Committee, the dean will also analyze and summarize the data. The dean will then meet with the ad hoc committee to determine consensus and discuss differences. The dean will prepare a draft report and provide it to the chair. The chair will meet with the dean regarding the report. Following this meeting, a final report will be written and placed in the individual's official personnel file. To ensure that the process remains open and positive, it is strongly suggested that the chair discuss this evaluation at a subsequent department faculty meeting.~~

~~e) At any time, faculty or staff not on the committee, of course, may contact the deans' office or other appropriate supervising officer directly with compliments or concerns relating to the person being evaluated.~~

HISTORY:

New	July 1990
Amended	April 1992
Amended	January 1995
Amended	January 1996
Amended	February 1997
Amended	May 1997
Amended	January 2003
Amended	October 2007
Housekeeping	February 14, 2011
Housekeeping	July 12, 2013

COMPREHENSIVE REVIEW PROCEDURES

Adapted from Section 327: Evaluation of Academic Administrators

1. Introduction

In addition to the annual review, full-time academic administrators are subject to a comprehensive review in their third year of initial appointment and at least once every five years thereafter. The comprehensive review process for academic administrators follows the guidelines described below.

2. Evaluation of Provost, Vice Provosts, and Academic Vice Presidents

a) **Initiating evaluation.** Reviews will be initiated by the administrator's supervisor. A review committee will be formed, consisting of tenured faculty, relevant administrators, and staff.

b) **First meeting.** At the review committee's first meeting, members will select a committee chair; the chair must hold a tenured faculty appointment. The committee chair's duties are to call meetings and facilitate the work of the committee. The committee will also select a record keeper from the committee members to take minutes, to archive documents, and will determine the number of members constituting a quorum.

c) **Timetable.** A timetable shall be set in consultation with the immediate supervisor or other senior administrative office to ensure that the evaluation material is ready in time to be included in the administrator's evaluation report.

d) **Evaluation form and other input.** The review committee will adapt a standard evaluation form based on the administrator's job description, goals, and the relevant review criteria that apply in this context. A draft of the adapted evaluation form will be made available to the administrator, who will be invited to offer input before it is finalized. The final evaluation form will be used to solicit anonymous responses from peer administrators, deans, chairs/heads, and appropriate faculty, staff, students, and other constituents. Additional input from interviews or other solicited/contributed materials may be considered. Both the review committee and the immediate supervisor can access information assembled as part of the review process.

e) **Review committee report.** Based on the summarized findings of the solicited responses and other input, and the administrator's statement of goals and accomplishments and a self-assessment, the review committee will write an evaluation report for submission to the supervisor. Review committee members who do not agree with the majority report may append a dissenting report. If the review committee believes the needs of the university or division have changed, it may recommend that the position description be changed. The chair of the review committee will meet with the immediate supervisor regarding the review committee's report.

f) **Supervisor report and action plan.** An evaluation report will be written by the immediate supervisor, accompanied by an action plan to address any performance concerns, needed improvements or changes in position responsibilities. The supervisor will meet with the administrator to review the evaluation report and action plan. The final supervisor's report and action plan will be placed in the administrator's personnel file.

g) **Other avenues for feedback.** At any time, individuals not on the review committee may contact the review committee or appropriate immediate supervisor directly with comments or concerns relating to the person being evaluated.

3. Evaluation of Academic Deans

a) **Initiating evaluation.** The Office of the Provost initiates evaluations of academic deans (including dean of the graduate college and dean of libraries).

COMPREHENSIVE REVIEW PROCEDURES

Adapted from Section 327: Evaluation of Academic Administrators

b) **Forming the review committee.** To ensure faculty involvement in evaluation of college deans, members of the review committee are recommended to the provost by the college or unit's PTE committee. Members of the PTE committee cannot appoint themselves as a group. The review committee must consist of full-time non-administrative faculty, as well as relevant staff and other constituents. The number of faculty on the committee may be flexible, but should total at least five, including at least three tenured faculty members and two full professors. Assistant professors may serve, as long as the tenured faculty minimum is met. To ensure constituent involvement in evaluation of the dean of the graduate college and the dean of libraries, members of the review committee are recommended to the provost by the executive committee of the faculty senate. The review committee must consist of tenured faculty and relevant administrators and staff. A majority of any review committee shall be comprised of faculty.

c) **First meeting.** At the review committee's first meeting, members will select a committee chair; the chair must hold a tenured faculty appointment. The committee chair's duties are to call meetings and facilitate the work of the committee. The committee will also select a record keeper from the committee members to take minutes, to archive documents, and will determine the number of members constituting a quorum.

d) **Timetable.** A timetable shall be set in consultation with the provost or other senior administrative office to ensure that the evaluation material is ready in time to be included in the administrator's evaluation report

e) **Evaluation form and other input.** The review committee will adapt a standard evaluation form based upon the dean's job description, goals, and the relevant review criteria that apply in this context. A draft of the adapted evaluation form will be made available to the dean, who will be invited to offer input before it is finalized. The final evaluation form will be used to solicit anonymous responses from faculty, chairs/heads, peer administrators, and others including classified staff, students, recent graduates, and external constituencies. Additional input from interviews or other solicited/contributed materials may be considered. Both the review committee and the provost can access information assembled as part of the review process.

f) **Review committee report.** Based on the summarized findings of the solicited responses and other input, and the dean's statement of goals and accomplishments and a self-assessment, the review committee will write an evaluation report for submission to the provost. Review committee members who do not agree with the majority report may append a dissenting report. If the review committee believes the needs of the college have changed, it may recommend to the provost that the position description be changed. The chair of the review committee will meet with the provost regarding the review committee's report.

g) **Provost's report and action plan.** An evaluation report will be written by the provost, accompanied by an action plan to address any performance concerns, needed improvements or changes in position responsibilities. The provost will meet with the dean to review the evaluation report and action plan. The provost's final evaluation report and action plan will be placed in the dean's official personnel file.

h) **Other avenues for feedback.** At any time, individuals not on the committee may contact the review committee or provost with comments or concerns relating to the person being evaluated.

4. Evaluation of Chairs and Heads

a) **Annual feedback.** Systematic written feedback from faculty, staff, and others is to be collected and summarized annually as input to the dean's annual evaluation of chairs or heads. The process for annual feedback may be determined by the department.

COMPREHENSIVE REVIEW PROCEDURES

Adapted from Section 327: Evaluation of Academic Administrators

b) **Initiating evaluation.** The dean of the college or director of the unit initiates review of chairs and heads. The dean, in conjunction with the department faculty, will form an ad hoc review committee consisting of at least three full-time non-administrative faculty members, at least two of whom are tenured, and other appropriate stakeholders. The majority of the review committee shall be comprised of faculty.

c) **First meeting.** At the review committee's first meeting, members will select a committee chair; the chair must hold a tenured faculty appointment. The committee chair's duties are to call meetings and facilitate the work of the committee. The committee will also select a record keeper from the committee members to take minutes, to archive documents, and will determine the number of members constituting a quorum.

d) **Timetable.** A timetable shall be set in consultation with the dean to ensure that the evaluation material is ready in time to be included in the administrator's evaluation report.

e) **Evaluation form and other input.** The review committee will adapt a standard evaluation form based upon the chair or head's job description, goals, and the relevant review criteria that apply in this context. A draft of the adapted evaluation form will be made available to the chair or head, who will be invited to offer input before it is finalized. The final evaluation form will be used to solicit anonymous responses from faculty, peer administrators, and others including classified staff, students, recent graduates, and, if appropriate, external constituencies. Additional input from interviews or other solicited/contributed materials may be considered. Both the review committee and the dean can access information assembled as part of the review process.

f) **Review committee report.** Based on the summarized findings of the solicited responses and other input, and the chair or head's statement of goals and accomplishments and a self-assessment, the review committee will write an evaluation report for submission to the dean. Review committee members who do not agree with the majority report may append a dissenting report. If the review committee believes the needs of the department or unit have changed, it may recommend to the dean that the position description be changed. The chair of the review committee will meet with the dean regarding the review committee's report.

g) **Dean's report and action plan.** An evaluation report will be written by the dean, accompanied by an action plan to address any performance concerns, needed improvements, or changes in position responsibilities. The dean will meet with the chair or head to review the evaluation report and action plan. The final dean's report and action plan will be placed in the chair or head's official personnel file.

h) **Other avenues for feedback.** At any time, individuals not on the review committee may contact the review committee or deans' office or other appropriate supervising officer directly with comments or concerns relating to the person being evaluated.

5. Evaluation of Associate or Assistant Deans and Directors

a) **Annual feedback.** Systematic written feedback from faculty, staff, and others is to be collected and summarized annually as input to the dean's annual evaluation of associate or assistant deans and directors. The process for annual feedback may be determined by the college.

b) **Initiating evaluation.** The supervising dean initiates the evaluation of associate or assistant deans and directors. The dean, in conjunction with the department faculty, will form an ad hoc review committee consisting of at least three full-time non-administrative faculty members, at least two of whom are tenured, and other appropriate stakeholders based on the individual's job description. The majority of the review committee shall be comprised of faculty.

COMPREHENSIVE REVIEW PROCEDURES

Adapted from Section 327: Evaluation of Academic Administrators

c) **First meeting.** At the review committee's first meeting, members will select a committee chair; the chair must hold a tenured faculty appointment. The committee chair's duties are to call meetings and facilitate the work of the committee. The committee will also select a record keeper from the committee members to take minutes, to archive documents, and will determine the number of members constituting a quorum.

d) **Timetable.** A timetable shall be set in consultation with the immediate supervisor or other senior administrative office to ensure that the evaluation material is ready in time to be included in the administrator's evaluation report.

e) **Evaluation form and other input.** The review committee will adapt a standard evaluation form based on the administrator's job description, goals, and the relevant evaluation criteria that apply in this context. A draft of the adapted evaluation form will be made available to the administrator, who will be invited to offer input before it is finalized. The final evaluation form will be used to solicit anonymous responses from members of groups impacted by or involved with the work of the associate/assistant dean or director (such as faculty, staff, peer administrators, deans, chairs/heads, students, and other constituents). Additional input from interviews or other solicited/contributed materials may be considered. Both the review committee and the immediate supervisor can access information assembled as part of the review process.

f) **Review committee report.** Based on the summarized findings of the solicited responses and other input, and the administrator's statement of goals and accomplishments and a self-assessment, the review committee will write an evaluation report for submission to the dean. Review committee members who do not agree with the majority report may append a dissenting report. If the review committee believes the needs of the university or division have changed, it may recommend that the position description be changed. The chair of the review committee will meet with the dean regarding the review committee's report.

g) **Dean's report and action plan.** An evaluation report will be written by the dean, accompanied by an action plan to address any performance concerns, needed improvements or changes in position responsibilities. The dean will meet with the administrator to review the evaluation report and action plan. The final dean's report and action plan will be placed in the administrator's personnel file.

h) **Other avenues for feedback.** At any time, individuals not on the review committee may contact the review committee or appropriate immediate supervisor directly with comments or concerns relating to the person being evaluated.