

5.7 Evaluation of Central Administrators

Section 5.6 was approved by the Faculty Senate on 1/23/90.

5.7.1 Purposes

This review program has the following two primary purposes:

- to provide an occasion for central administrative officers to evaluate their programs and subunits and, in return, to explain the roles, procedures, and activities of their offices to the university community
- to provide a means for constructive and systematic faculty evaluation of central administrative offices and officers

The review procedure is intended to improve the capacity of administrative offices and officers to provide system maintenance, goal attainment and resource development efforts that support the teaching, research, and service functions of the university. Moreover, the conduct of a review should facilitate communication between central administrators and the faculty, and promote the concept of responsible shared governance in the university.

5.7.2 Scope of Review Program

Central administrative officers are defined as the vice presidents, provost, and above. Under the present administrative structure, the offices of the following officers are to be served by this review program: president of the university, provost, vice president for business and finance, and vice president for student affairs.

Each review will have the following three parts:

- a self-study by the office to be reviewed
- a faculty review of the office and its subunits
- a faculty review of the administrator's performance

Three reports will be issued and a follow-up conference scheduled one year after completion of the review.

5.7.3 Preparatory Office Self-Study

In preparation for a review, an office will conduct a self-study. A Self-Study Report will include, but not be limited to, the office's goals, programs, services, staffing, resources, internal evaluation processes, and relations with other offices. The document should describe how the office and its responsibilities have changed over the past five years and what the impact has been on the university. Within the general categories indicated, the following questions should be addressed:

- Goals. What are the purposes and goals of the office and its subunits? How are goals established and what is the faculty's role in this process? What priorities are given to the principal goals, and what changes in priorities are envisioned? How do the goals of the office support the university's mission statement?

- **Programs.** What are the program activities of the office? What subordinate administrative units are involved in these programs? Exactly how is the program effectiveness of the office evaluated? How are the programs administered by the office responding to the needs of the faculty, staff, students, and the people of Iowa?
- **Services.** What services are provided by the office and its subunits? How effective are these services? What plans for discontinuing or adding services are being considered? What priorities are attached to present services?
- **Staffing.** What is the table of organization for the office? How are staff persons recruited and evaluated? Is the present staff adequate to provide the programs and services of the office? What are future staffing plans?
- **Resources.** What is the budget for the office? What priorities govern the allocation of budget resources administered by the office? What have been the changes in budgetary support for the office in recent years? How does the office evaluate its budget success? Are administrative costs too high, or too low? What facilities does the office have at its disposal and are changes needed or planned?
- **Internal Evaluation.** What are the procedures and timetable used for on-going self-review of subordinate administrative units? Have there been external reviews of subunits? What areas in the office's performance need improvement? How does the office intend to improve its performance? What development plans are being pursued? Are annual or planning reports available?
- **Relations with Other Offices.** How are the office's goals and purposes coordinated with those of other university offices and agencies, with the other Regents institutions, and with the Board of Regents? Is there overlap of functions and responsibilities with other offices? Where appropriate, what are the relationships between the office and the Governor's office, the Iowa General Assembly, and other sources of support for the university?

Finally, the report should mention any other activities or functions that are not addressed in this list, but which the faculty should recognize as important aspects of the office's responsibilities.

In preparing the Self-Study Report, the emphasis should be on evaluation and analysis of activities that directly support the university's mission statement in terms of maintaining the basic academic system, attaining the goals established for the university, and developing the resources necessary to advance the multifaceted purposes of a land-grant university. This report will become a public document.

The office is also encouraged to provide the review committee with the names of faculty members who, because of their interactions with the office, may be able to provide insights about the operations and performance of the office.

5.7.4 Appointment of Review Committee

A separate review committee will be appointed for each office to be evaluated. Before establishing any review committee, the president of the Faculty Senate, in consultation with the president of the university, will provide an appropriate budget so that the committee can effectively perform its duties.

Review committee members will be appointed by the Senate president with suggestions from the Faculty Senate and approval of the Senate Executive Board. Normally, a review committee will consist of seven persons as follows:

- chairperson appointed with the approval of the Senate
- two members from the Faculty Senate's councils appointed one each from the Academic Affairs Council and the Faculty Development and Administrative Relations Council
- three additional faculty members appointed after due consideration is given to the representation of various faculty concerns, and to the needs of the review committee for particular kinds of expertise, depending upon the office to be reviewed
- one or more external reviewers appointed from among off-campus persons nominated by the review committee after consultation with the administrator of the office to be evaluated. An external reviewer should have expertise relevant to the office being evaluated and should have experience at a higher educational institution comparable to ISU. External reviewer(s) should be consulted about the design of the review and visit campus to gather information before preparing a report evaluating the operation of the office under review.

5.7.5 General Review Procedures

Specific procedures for conducting a review will be designed by each committee in collaboration with the Executive Board of the Faculty Senate as appropriate for the office being evaluated. The following policies pertain to all reviews.

5.7.5.1 Schedule.

Usually a single administrative office will be reviewed each year, ~~establishing a five-year cycle for the review of all offices~~. However, the Faculty Senate can call for the evaluation of more than one office in a year or for the evaluation of an office more than once every five years, but never more than once every three years. A majority vote of the Senate is required to initiate the review process each year. As turnover of personnel occurs, first reviews should be scheduled about three years into the appointment so as to provide timely constructive advice.

The following order of review is established, subject to considerations of timeliness and annual Senate confirmation:

- Office of the University President
- Office of the Vice President for Business and Finance
- Office of the Executive Vice President and Provost
- Office of the Vice President for Student Affairs
- Office of the Vice President of Research and Economic Development
- Office of the Vice President of Extension and Outreach

5.7.5.2 Conduct of Reviews.

In conducting a review, a review committee will confer with persons responsible for framing or approving policies that affect the relationship between the office and the faculty. In

addition to the Self-Study Report prepared by the office under review, the committee will have access to all necessary documents and administrative information unless the requested information is considered confidential under state or federal laws. Opinions concerning the performance of the office and officer under review shall also be solicited by at least the following means:

- publication in *Inside Iowa State* of a call for such opinions
- notification of the request for such opinions through the channels of administrative organization
- deans to request responses from chairs;
- chairs to urge individual faculty to submit comments; all responses should be sent directly to the review committee
- solicitation of comments from faculty and others who, because of their interaction with the office being reviewed, may have especially useful information

All responses sent to a review committee will be treated as confidential correspondence, subject to applicable laws.

5.7.5.3 Review Committee Reports.

The review committee will prepare two written reports. The first, or Office Evaluation Report, is a public document and should not contain confidential information related to the evaluation of the administrative officer. The second, or Officer Evaluation Report, is a confidential evaluation of the performance of the administrative officer. Both reports will summarize the findings of the review committee, and will include any recommendations it deems appropriate.

Office Evaluation Report. This report will address the issues listed above. A draft of this report will be submitted to the administrator of the office under review, primarily to allow an opportunity for corrections to assertions of fact. The committee will confer with the administrator under review and with the university president (or, if the office of the university president is under review, with the president of the Board of Regents) to discuss the draft report.

Once these processes have been completed, a final report will be written and forwarded to the president of the Faculty Senate who will inform the Senate about the major recommendations. Copies of the final report will also be submitted to the administrator of the office under review (who may make copies for subordinates), to the president (or, if the president's office is under review, to the Board of Regents), and to the Faculty Senate Executive Board. A brief summary will be published in *Inside Iowa State* to alert the faculty to the fact that a review is completed.

Appropriate provision will be made to have reading copies of the office's Self-Study Report and the review committee's Final Office Evaluation Report accessible by all university faculty members.

Officer Evaluation Report. The review committee will solicit from all members of the university community written and/or oral evaluations concerning the performance of administrators under review. The Iowa State faculty members of the review committee will summarize the results of this survey in writing and prepare recommendations.

This report will be distributed to the administrator being evaluated, to the university president or Board of Regents depending on to whom the administrator being evaluated directly reports, and to the president of the Faculty Senate. The Faculty Senate president will, in turn, summarize the recommendations before the Faculty Senate Executive Board, meeting in closed session, subject to the requirements of applicable laws.

Follow-up Conference. The Senate president shall instruct the chairperson to reconvene the review committee approximately one year after the two evaluation reports are submitted to determine to what extent the recommendations contained in these reports are being adopted. The committee will solicit, through *Inside Iowa State*, perceptions of the effectiveness with which the recommendations of the Final Office Evaluation Report have been implemented. The committee will request that the reviewed administrator provide a statement indicating how the recommendations in the Office and Officer Evaluation Reports are being addressed. The review committee will prepare a brief perceived progress report and forward it to the officer of the office which was reviewed. The chairperson of the committee will then schedule a follow-up conference.

When the review was of the provost's or a vice president's office, this conference will include the president of the university, the official of the office that was reviewed, and the president of the Faculty Senate. When the review was of the president's office, this conference will include the president of the Board of Regents, the president of the university, and the president of the Faculty Senate.

The Senate president will report to the Senate on the outcomes of these follow-up conferences.