

Periodic Comprehensive Evaluation of Deans

Scope

This policy applies to the dean of Graduate Studies and all deans and directors of degree-granting units reporting directly to the provost and senior vice president for Academic Affairs.

A. Policy

The provost and senior vice president for Academic Affairs (hereafter referred to as provost) will conduct a periodic comprehensive evaluation of each dean in addition to conducting an annual review. The periodic comprehensive evaluation shall occur every five academic years or more frequently as deemed necessary and/or appropriate by the provost and the dean.

B. Definitions

For the purpose of this policy, a dean or director of a degree-granting unit (hereafter referred to as dean) is one who reports directly to the provost and bears responsibility for an academic unit that grants degrees (hereafter referred to as college) and oversees faculty and staff.

C. Purpose

The purpose of the periodic comprehensive evaluation is to provide the provost with written feedback and data from the dean's constituents about the performance and effectiveness of the dean in relation to the established statement of expectations that is derived from the evaluation framework (see Section D). Using this evidence, the provost will evaluate the dean's performance. Specifically, the periodic comprehensive evaluation will:

1. Ensure that all appropriate constituencies including but not limited to undergraduate and graduate students, faculty and staff from the college and other related units, academic administrative peers, advisory groups, partnership boards, and trustees have the opportunity to provide constructive input to the provost for the dean's evaluation. This input shall include both assessment of performance and feedback for improvement and/or professional development.
2. Provide the process and procedures for a review committee comprised of faculty and staff to collect and review written feedback and data related to the dean's performance and to submit a report to the provost summarizing the information regarding the dean's effectiveness in his or her role.
3. Ensure an appropriate balance between the rights of the college's members to have input that is appropriately confidential and access to summary results disseminated in a timely way and the right of the dean to receive appropriate summary data and the same

level of confidentiality normally associated with other related personnel processes at the university.

The periodic comprehensive evaluation does not supersede existing evaluation processes within the individual colleges.

D. Evaluation Framework

Deans will be evaluated using a framework that focuses on core competencies, priorities, and focus areas specific to the time frame of the evaluation as agreed upon between the provost and the dean being evaluated.

1. **Core competencies** include: fiscal and human resource management, fund-raising, open communication, and a set of values that embrace the notion of university citizenry.
2. **Priorities** include: student success, research and innovation, inclusive and global education, academic excellence and faculty and staff success as well as college-specific goals and objectives.
3. **Focus areas** include specific strategic initiatives as defined by the provost and the president.

E. Procedure

1. Evaluation Process

The provost will notify the dean of the pending evaluation, which will typically begin at the start of the academic year and typically conclude prior to the end of the same academic year. Notification of the evaluation framework, process, and associated timeline will be communicated to the faculty and staff of the appropriate unit.

2. The dean will be asked to provide a self-evaluation to include:

1. A statement of accomplishments and a description of his or her leadership role as dean since the last periodic evaluation relating to goals and objectives articulated by the provost in the evaluation framework.
 2. A narrative describing the challenges and opportunities for future college development, including the dean's vision for the college for the next five years.
 3. Other information or data that the dean believes would be valuable for the committee to consider.
3. The provost shall appoint a committee comprised of two tenured full professors from outside the dean's college and two tenured full professors, a student, and a staff member from the dean's college. The committee will be co-chaired by the two outside

tenured full professors. The dean may exclude a faculty member from the list of those slated to serve; if a faculty member is excluded, the provost will appoint a tenured full professor from the appropriate category to complete the committee's membership.

4. The provost shall convene the initial meeting to present the committee with its charge, provide information regarding the evaluation framework, discuss the process, review the timeline, outline the materials to be considered, and respond to questions from the committee. A key responsibility of the committee is to ensure every effort is made to provide the relevant constituencies the opportunity to provide input and to ensure that the process was followed fairly and impartially.
5. The committee is responsible for gathering information during the review process to include administering an electronic survey and soliciting written comments and letters from internal and external constituencies with particular emphasis on gathering input from the faculty, staff, and students of the college. The committee may also interview individuals or conduct focus groups. The Office of the Provost shall provide administrative support to the committee.
6. The committee will analyze the information gathered during the review period and prepare a report summarizing its findings. Committee members who do not agree with the majority report may append a dissenting report. The committee will submit its report and all supporting documentation to the provost. To ensure confidentiality, all notes from committee meetings, personal notes of the committee members, survey instruments, written comments, and any other documentation collected during the review period will be collected and maintained by the Office of the Provost and Senior Vice President for Academic Affairs per the Records Retention Policy.
7. Upon receipt of the committee's report and supporting documentation, the provost will review the report and the supporting documentation. The provost will then prepare a draft of the final evaluation and provide it to the dean. The dean will have the opportunity to respond to the evaluation.
8. At any time during the review period, faculty or staff not on the committee may contact the provost, the chair of the review committee, or the chair of the Academic Senate directly with comments relating to the dean under evaluation.

F. Final Report

1. The provost will give the dean the final report and supporting documentation summarized to maintain the confidentiality of review participants. A copy of the report and supporting documentation, along with the dean's response, will be maintained in the dean's file in the Office of the Provost and Senior Vice President for Academic Affairs.

2. To ensure that the process remains open and positive, the provost and/or the dean will communicate with the faculty, staff, and students of the college as well as other interested constituents about the evaluation process and the provost's general interpretation of the evaluation.

G. Timeline for Dean's Evaluation

1. **By September 1:** The provost meets with the dean to inform him/her of the periodic comprehensive evaluation or mid-comprehensive evaluation, review the process and the evaluation framework, and discuss the college and university members who will be consulted as part of the evaluation.
2. **By September 30:**
 - a. The provost informs the faculty and the staff of the college about the dean's evaluation, the evaluation framework and process to be used, and clarifies the dean's duties and responsibilities for the evaluation. The provost seeks advice about any college-specific issues that are relevant to the evaluation of the dean.
 - b. The dean presents a self-evaluation to the provost.
3. **By October 15:** The provost will appoint and meet with the periodic comprehensive review committee. The committee will receive its charge, the dean's self-evaluation and any other supporting documentation, and discuss with the provost the process and procedure for the evaluation.
4. **October 15- December 15:** The review committee collects and reviews relevant information. The committee will administer a secure on-line survey available to faculty, staff, students and other relevant constituents eligible to participate in the process as determined by the periodic evaluation committee, provost, dean, and Academic Senate. The anonymity of respondents will be maintained unless the respondent(s) explicitly chooses to be identified. The survey will focus on the dean's demonstration of core competencies and effectiveness in meeting priorities and strategic focus areas through a series of standard questions and will include substantial opportunity for additional written comments. The survey must be open for at least four (4) weeks. When the survey is completed, a summary of the quantitative data and the entirety of the written comments will be made available to the periodic evaluation committee. If there are college-specific issues that are not within the scope of the survey, the committee should arrange for college input on these matters (i.e. personal interviews, focus groups, etc.). The committee may request additional information or meetings with individuals or groups submitting feedback.
5. **By January 30:** The periodic evaluation committee will submit its report, along with supporting documentation, to the provost.

6. **February 1-April 1:** The provost will meet with the dean to discuss the results of the review and evaluation. The dean will have the opportunity to provide written comments to the provost. After reviewing the dean's written comments (if any are submitted), the provost delivers a final written evaluation to the dean.
7. **By the end of the spring term:** The provost and/or the dean communicates with the faculty, staff, and students of the college as well as other interested constituents the results of the evaluation process and general interpretation of the evaluation.

Responsible Office: The Office of the Provost and Senior Vice President for Academic Affairs
Inquiries may be directed to stp1031@rit.edu.

|