

The Senate of Michigan Technological University

PROPOSAL 8-92

DEPARTMENTAL GOVERNANCE: PROCEDURES FOR THE EVALUATION AND REAPPOINTMENT OF SUPERVISORS OF ACADEMIC PROGRAMS

The procedure for the Evaluation and Reappointment of Supervisors of Academic Programs shall be as detailed in Appendix 8-92 (see below).

This evaluation procedure details:

1. Frequency of evaluation
2. Makeup of the evaluation committee
3. Selection of the evaluation committee
4. Self-evaluation of the supervisor
5. Evaluation questionnaire
6. Processing of the questionnaire results
7. Supervisor's response
8. Dissemination of the questionnaire results
9. Balloting for reappointment
10. Implementation of the evaluation results
11. Report from the supervisor's senior
12. Schedule of the evaluation process
13. Storage of the evaluation reports

APPENDIX 8-92

The proposed evaluation procedure contains two evaluation processes. Each process employs the same questionnaire.

The first process is designed to provide feedback to the supervisor. This process is simple and quick and is modeled along the lines of the student evaluation of the faculty. It is initiated by the supervisor being evaluated during the second week of spring term. Completed evaluation forms are collected by each unit's senator and forwarded to Center for Teaching Excellence (CTE). CTE returns the original forms to the supervisor along with tabulated results. Tabulated results are also sent to the supervisor's senior. Faculty and staff are involved only in filling out the questionnaire. This process is mandated by President Tompkins and will not be voted upon in the faculty referendum. Therefore, it is not attached in this package of documents.

The second process is an evaluation for reappointment. This evaluation is conducted during the final year of each supervisor's term of appointment. The evaluation for feedback complements the evaluation for reappointment and should provide sufficient information to ensure that the reappointment balloting will always be positive.

The Committee believes that the evaluation process for reappointment is defined by the following:

1. Frequency of evaluation
2. Make up of the evaluation committee
3. Selection process
4. Self evaluation by the supervisor

5. Design of the questionnaire
6. Processing of questionnaire results
7. Supervisor's response to questionnaire results
8. Dissemination of the questionnaire results
9. Balloting
10. Implementation of evaluation results
11. An assessment report by the supervisor's senior
12. Schedule for evaluation
13. Storage of reports
14. Closure

Foundational Tenets

In developing the evaluation procedure, the following considerations were discussed and agreed upon.

1. An important role of a supervisor is to act as an advocate for the unit to the upper administration. To protect the advocate role, it is important that the supervisor not be dismissed or forced to resign without the due process of an evaluation.
2. To reduce political maneuvering, the evaluation process should be automatically initiated by the Senate according to the schedule described in section 12.
3. Self-evaluation by the supervisor is important as it gives the supervisor an opportunity to present his/her case for reappointment.
4. Any questionnaire should allow for: (a) a set of standard questions for all departments; (b) a set of questions to be decided by the evaluation committee in conjunction with the supervisor and the person above the supervisor; (c) space for individuals to express their opinions.
5. The balloting process is a two-step process. The first step consists of pure evaluation, while the second step involves a ballot for reappointment. In the evaluation step all faculty and staff take part. In balloting for reappointment, only the members of the senate's constituency within the academic unit vote. The vote is conducted after the results of the evaluation questionnaire are made available to members of the unit. The supervisor has the opportunity to address these results before the members of the unit are allowed to examine them in a closed meeting (or possibly meetings). If the supervisor decides not to seek reappointment, then the process is terminated, all materials related to the evaluation are destroyed, and the unit is informed of the supervisor's decision.

This two-step process provides a mechanism by which the staff can have input in the evaluation process.

The closed department meeting, or meetings, for presentation (but not discussion) of the evaluation results tries to meet two opposing needs. First, the members of the unit need to be informed so they can make a considered decision when voting on reappointment and for discussions with the supervisor's senior if the supervisor is appointed contrary to the wishes of the majority. Second is the need to ensure that the process does not become a public spectacle.

6. No supervisor can function effectively if the majority (more than 50%) of the members of the unit are against him or her. On the other hand, the possibility of correction and improvement by the supervisor must be admitted.
7. A report by the supervisor's senior provides the unit with needed feedback from the upper administration on the performance of the supervisor and the unit.

8. Information from prior evaluations is relevant to the assessment of a supervisor's progress. Prior evaluation reports are kept in the office of the supervisor's senior for the purpose of providing input to the next evaluation committee. The reports are destroyed once the supervisor moves to a different position.

Reappointment Procedures

This proposal describes an evaluation process for a supervisor (Department Chair, Dean of a College and Dean/Director of a School) conducted by a faculty evaluation committee.

1. **Frequency of Evaluation:** The supervisor is evaluated by a faculty evaluation committee in the final year of the supervisor's term (three years for department chair and four years for Deans and Directors unless the supervisor has an appointment of one year for reasons discussed in item 10).

The supervisor's senior initiates the process if the supervisor will be dismissed before his/her term expires.

2. **Evaluation Committee:**

(a) **Chair of Department and Dean/Director of School:** The committee consists of 3-5 members depending upon the number described in the unit charter. One member (faculty, staff or administrator) is appointed by the supervisor's immediate senior from outside the unit. The remaining committee members are elected from tenure track or tenured faculty. The voting body in each department/school is described in the unit's charter. The chair and associate chair of the evaluation committee is elected by the committee at their first closed meeting.

(b) **Dean of College:** The committee consists of: one faculty member (including Department Chairs) elected by each department in the college and one member appointed by the Provost (faculty, staff or an administrator) from outside the college. The committee members are elected from the tenure track faculty or tenured ranks. The voting body in each department is described in the department's charter. The chair and associate chair of the evaluation committee is elected by the committee at their first closed meeting.

3. **Selection Process:**

(a) **Chair of Department and Dean/Director of School:** The senate asks each unit senator to initiate the evaluation process on the date described in item 12. The senator requests the unit supervisor to appoint a representative to help conduct the election of the evaluation committee. All tenure track and tenured faculty are candidates for the evaluation committee. The senator and the appointed individual tabulate the results. Ties are resolved by random selection. The senator requests the supervisor's senior to appoint his/her representative. The senator gives each committee member a copy of this proposal and charges one member to call the first meeting. The senator informs the senate when the evaluation process has begun.

(b) **Dean of College:** The senate asks each unit senator to initiate the evaluation process on the date described in item 12. The senator requests the department Chair to appoint another person to help conduct the election of the department representative. Nominations are solicited from the tenure track and tenured faculty. Balloting is conducted using the senate standard balloting procedures. The senator and the appointed individual tabulate the results. Ties are resolved by random selection. The senate requests the Provost to appoint his/her representative and give a copy of this proposal to the representative. The senator of the department gives the departmental representative a copy of this proposal. Each department senator reports the name of the departmental representative at the next senate meeting. The senate appoints one member of the committee to call

the first meeting.

4. **Self Evaluation of the Supervisor:** The supervisor prepares and distributes a written report to all faculty and staff of the department. This report should include but need not be limited to:
 - a. achievement of the unit goals for the period of evaluation
 - b. budget and its management
 - c. growth and quality of academic programs
 - d. future needs and directions of the unit
 - e. charge given to the supervisor, or any goal of the unit which the supervisor thinks is controversial in the unit and the effort the supervisor has made to address the controversy

The distribution of this report is followed by a meeting of all members of the unit. The purpose of this meeting is to answer questions and provide clarification about the report.

5. **Questionnaire:** The questionnaire contains the questions given in the appendix of this evaluation procedure. Additional questions from the supervisor, or the supervisor's senior, or the committee may be added. The questionnaire can be obtained from the Center for Teaching Excellence (CTE). CTE should be informed if its services are to be used for tabulation and statistical analysis.
6. **Processing of Questionnaire Results:** Evaluation forms are sent to all faculty and staff of the unit and collected using the Senate standard balloting procedures by the evaluating committee. The faculty and staff are given one week to return the completed form to the evaluation committee. Tabulation and statistical analysis are done for each significant group (faculty, staff, research engineer/scientist, administrator) within the unit. At the discretion of the committee, small groups may be combined with larger groups for purposes of statistical analysis. Comments from open ended questions are summarized by the committee for each significant group within the unit.

The major accomplishments and problem areas of the supervisor over the period of evaluation are reviewed in summary statements prepared by the evaluation committee. Comments on progress in problem areas identified in the previous evaluations are summarized by the evaluation committee. Results of the previous evaluation may be obtained from the office of the supervisor's senior.

Completed questionnaires and individual comments are not made public and are not seen by the supervisor of the unit at any time.

7. **Supervisor's Response:** The committee gives the supervisor a copy of the tabulated results, the summary of the open ended questions, and summary statements of the committee. The supervisor is given an opportunity to respond to the report before distribution to members of the unit.

If the supervisor decides not to seek reappointment, then the process is terminated. Members of the unit are informed of the supervisor's decision, and all material related to this evaluation process are destroyed.

8. **Dissemination of Questionnaire Results:** A report of the tabulated results, the synthesis of open ended questions, the summary statements prepared by the committee, and the response of the supervisor are compiled by the evaluation committee. The committee arranges a closed meeting (series of meetings of departments in colleges) for all faculty and staff in the department/school. Copies of the document described above are circulated at the meeting. These copies are not allowed to be taken outside the meeting room. All but two copies of the document are destroyed after the meeting/meetings. The purpose of the meeting is the dissemination of evaluation materials only, and not for discussion of the supervisor's performance.

One copy of the report is kept in the office of the supervisor's senior. Any member of the department/school/college may see the evaluation material at any time during the reappointment process within the supervisor's senior's office. The second copy is used in the file described in item 10.

9. **Balloting:** A vote on the question below is conducted using the senate standard balloting procedure. The ballot is sent only to the members of the senate constituency in the unit and tabulated by the evaluating committee.

(Name of the supervisor) should be reappointed as the (title of the supervisor) of the (name of unit).

Yes _____ No _____ Undecided

All the faculty and staff are informed of the ballot results.

10. **Implementation of Evaluation Results:** A file for each unit supervisor will be created. This file contains: the self evaluation of the supervisor, the results of the ballot, the tabulated results of the questionnaire, the synthesis of open ended questions, the summary statements of the committee, the response of the supervisor, and all of the original completed questionnaires. This file will move through the hierarchy of the administration: (Dean), Provost and the President. The file will be disposed of as per the decision of the administration.

If 2/3 of the cast vote supports either reappointment or dismissal and the 2/3 of the vote is greater or equal to 50% of the unit voting constituency, then the administration is obligated to accept the results of the ballot.

When the administration decides contrary to a simple majority vote, the supervisor's senior is required to explain the reasons for that decision in writing to the members of the unit. In case of reappointment, the reappointment will be subject to the following conditions.

- a. The term of reappointment will be for one year renewable for one additional year.
 - b. Evaluation and balloting as described in items 2 through 9 will be conducted yearly.
 - c. The supervisor will be dismissed if he/she is unable to obtain a simple majority of the vote cast during either one year appointment.
 - d. After the above two year process, the supervisor can be given a regular term appointment.
11. **Report by Supervisor's Senior:** For all reappointments, the person above the supervisor must prepare a written statement on the strengths and weaknesses of the supervisor and the unit, including but not limited to the following areas:

- a. Guidance and management of the quality and growth of the academic programs within the unit.
- b. Guidance and support of research activities within the unit.
- c. Practice of sound financial management within the unit.
- d. Management and guidance of personnel within the unit.
- e. Definition of goals within the unit and progress of the unit toward these established goals.

The distribution of the report is followed by a meeting for all members of the unit to answer questions and to provide clarification.

12. **Schedule of Evaluation:**

a. **Department Chair:** The senate at its first meeting of the academic year directs the senators of appropriate departments to initiate the process of evaluation. Two weeks after the senate meeting, the formation of the evaluation committee should be completed. The entire evaluation process and the decision by the Dean to reappoint/dismiss the Chair is completed by January 1.

b. **Dean and Director:** The senate at its first meeting in January directs the senators of appropriate departments to initiate the process of evaluation. The formation of the evaluation committee is complete within the next 30 days. The entire evaluation process and the decision by the Provost to reappoint/dismiss the Dean/Director is complete by the end of the spring quarter.

13. **Storage of Reports:** The self evaluation of the supervisor, the report of supervisor's senior, the tabulated results, the synthesis of individual comments, the summary statements of the committee, and the ballot results are kept in the office of the supervisor's senior and supplied to the next evaluation committee. The above documents are destroyed once the supervisor moves to a different position.

14. **Closure:** The committee informs the senate of the conclusion of the evaluation process and offers any recommendations for changes in the evaluation process the committee deems necessary.

The Following Conditions Apply to Proposals 5-92 through 9-92:

1. Departments/schools will be asked to follow these procedures in 1992-93. If all parts of the procedures are not followed, the unit committee should inform the senate president, in writing the reasons for the changes and the aspect of the procedure that should be retained during revision. This information will be used by the senate for revising the procedures.
2. Editorial or procedural changes next year and in the future may be made by the senate, but any changes that affect faculty governance will require faculty referendum.
3. A simple majority of eligible faculty is needed to approve changes.

Defeated in Referendum: Spring 1992

Combined Proposals 4-92, 5-92, 6-92, and 8-92 to form Proposal 16-92