

The University Senate of Michigan Technological University

Proposal 45-21

(Voting Units: Academic)

EVALUATION PROCEDURES FOR DEPARTMENT CHAIRS ~~AND~~ SCHOOL DEANS

(Proposal 16-92)

(Proposal 6-11)

(Proposal 7-16)

(Proposal 3-17)

Senate Procedures 506.1.1

I. Introduction

~~These is are the common procedures for the evaluation of the department chairs and the school deans. The school deans report to the provost and d~~Department chairs, like all academic administrators, -serve at the pleasure of the president. Department chairs report directly to the a college dean, who in turn reports to the provost, who in turn reports to the president.

All materials related to an evaluation, including any recommendations, are considered confidential and are shared only with those in the chair's supervisory chain of command. Throughout this document the following terminology is used.

II. Frequency of Review

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In no case should a chair be reviewed more than once per calendar year.

Mandatory review - The normal term of appointment for a department chair/school dean is

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six years which are broken into two three-year segments. A reappointment mandatory review will take place in during the third year of each term of a chair's term. appointment, and The review will be initiated within the first seven weeks of the fall semester.

Optional (Unscheduled) interim review - The A evaluation review process may also be initiated by the college dean/provost or by the entire unit department's constituency (by a simple majority vote) at any time earlier. In no case should a chair be reviewed but not more than once per calendar year. Evaluations Reviews may be initiated by a department's constituency faculty during the first year of a chair's term only if the review is approved by a two-thirds majority vote.

At any point in the evaluation review process, the department chair/school dean may decide not to seek reappointment to discontinue the review process. In this case, the review process ends and all material related to the review process will be destroyed by the review committee. In the event that the chair discontinues the review process, then he/she also must also withdraw their of their candidacy for the chair position is immediately withdrawn. If a chair discontinues the review process during the semester, the end of that same semester will mark the completion of that chair's appointment.

At the start of the final year the end of a chair's second three six-year term, the dean will initiate either an internal or external search for a new chair. The decision to limit the search to internal candidates only (meaning those who are currently employed by Michigan Tech) will be made by the dean in consultation with the provost. Individuals who have formerly served or are currently serving as chair of the department will be eligible to apply in either case. If the incumbent is reappointed as a result of the search, the dean will initiate a review at the start of the first semester of the academic year year semester following reappointment so that the department's constituency has the opportunity to provide feedback at the beginning of the chair's new term. As is the case for all chairs, a reappointed chair will undergo another review at the beginning of the third year of their appointment.

III. Constituency and Chair Unit Review Committee

The unit department charter shall specify the unit constituency, and who is eligible to participate in the evaluation review process, and who is eligible to vote, as well as the structure of the review committee, and the selection of the review committee members for the review of their department chair/school dean. The unit department charter shall define specify the constituency for whom the if whether the survey and ballot is directed. will be done for the entire unit constituency as a whole, or separately for faculty and staff. The committee will may not include the current department chair/school dean or any faculty or

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staff member who has a conflict of interest regarding the current department chair/school dean's review. The college dean/provost will ~~resolve~~ address any conflict of interest situation ~~if it is raised~~ that arises with respect to any individual's eligibility to serve as a member of the review committee.

~~The~~ The College Dean will appoint a member from outside the department to the review committee ~~committee will also include a member from outside the unit department appointed by the college dean/provost.~~ This external committee member ~~only~~ functions as an observer who ensures the integrity of the review process. The external member also acts as a liaison to the college dean/provost.

The review committee ~~is~~ will be charged with following senate procedures 506.1.1 (this ~~procedure~~ document) and 507.1.1 to conduct and complete ~~an evaluation~~ the review of the department chair/school dean. The voting process shall follow ~~the unit charter and~~ senate procedures using a process agreed upon by the department. In case of inconsistency, the intent of the senate procedures will takes precedence.

~~The review committee shall appoint a chair who will act as a liaison between the department and the college dean. Any question related to the implementation or interpretation of this procedure should be directed to the college dean/provost through the chair of the review committee.~~

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The entire University community recognizes the effort that service on a review committee requires. It is important that everyone involved with the process be vigilant in maintaining collegiality and professionalism. It is also important that the confidential nature of the process be respected in order to protect the ~~unit~~ constituency, the review committee, and the individual ~~under being~~ reviewed. The review of a chair ~~or dean~~ is an important task, and the strength and integrity of the institution depends upon it being conducted in a way that encourages continual improvement of the University as a whole.

~~Any question related to the implementation or interpretation of this procedure should be directed to the college dean/provost through by the chair of the review committee.~~

IV. Review Process Initiation

The college dean/provost will ~~initiate the review process. ask the department chair/school dean to establish~~ the review committee will be established as per the unit based on the guidance provided in the department's charter and/or bylaws. ~~The~~ committee should be established within two weeks of the dean's/provost's request. The ~~college dean/provost~~ will appoint a member from outside the unit to serve on the committee. The ~~college~~

dean/~~provost~~ will also ask the department chair/~~school dean~~ to write ~~her/his~~their self-evaluation report (Section V. Department Chair/~~School Dean~~'s Self-Evaluation) and provide it to the ~~college dean/provost~~ within two weeks.

V. Department Chair/~~School Dean~~'s Self-Evaluation

The department chair/~~school dean~~ should prepare a written document evaluating ~~his/her~~their performance for the period of evaluation. This document should include but need not be limited to:

- a. addressing each of the charges given at the time of ~~his/her~~their appointment
- b. achieving stated goals of the ~~unit's department's~~ ~~goals for~~ the period of review
- c. budgeting and ~~its personnel~~ management
- d. ~~growth and~~ quality of academic programs
- e. quality of departmental research and research and scholarly activities
- d.f. research and scholarship of the chair, if applicable
- e.g. future needs and directions of the department~~unit~~
- f.h. any issue that the department chair/~~school dean~~ thinks is controversial in the ~~department~~unit and the effort ~~he/she~~they made to ~~address~~mitigate the controversy

The department chair/~~school dean~~ is encouraged to provide comparative quantitative data in this report where relevant.

VI. First Meetings of the ~~Chair~~Unit Review Committee

The college dean/~~provost~~ shall call the first meeting of the chair review committee ~~and to~~ review its charge, the procedures it should operate under, and the deadlines it should meet. A suggested timetable for the review committee's activities is provided in Section XVI. Sample Timeline of the Review Process~~as Appendix A~~. The college dean/~~provost~~ will give the

following documents to the review committee:

- a. redacted copy of the letter of appointment describing the charge given to the department chair/~~school dean~~
- b. ~~electronic~~ copy of the self-evaluation report of the department chair (see Section V. Department Chair's Self-Evaluation)/~~school dean~~
- c. ~~results of the previous evaluation if the department chair/school dean is seeking another term~~
- d. ~~the~~ set of survey questions that (see Section VII. Survey Instrument) ~~is common to all units in the university~~

The review committee shall decide if additional materials ~~is~~ are needed (for example, comparative data from institutional analysis) and seek to procure such material.

The review committee shall elect its chair, establish its structure and inform the college dean/~~provost~~ and the entire unit-department constituency of the ~~is~~ structure, ~~as well as the purpose,~~ and membership of the review committee.

The review committee will forward the department chair's/school dean will provide her/his self-evaluation to the review committee. This self-evaluation will be forwarded, in an electronic form, by the review committee to the entire unit-department constituency.

~~The d~~Distribution of the self-evaluation is report will be followed by a meeting of the unit-department constituency. The purpose of this meeting will be for the department chair/~~school dean~~ to respond to questions and provide clarification about their self-evaluation report.

VII. Survey Instrument

The survey instrument will have the following components.

- a. a set of questions provided by the college dean/~~provost in an electronic file~~
- b. a set of questions provided~~chosen~~ by that the review committee ~~chooses~~

The survey instrument ~~should~~ must address (but not be limited to) the following issues:
~~in order to assist the dean/provost in responding to the specific questions required by the~~

- a. guidance and management of the quality and growth of the academic programs within the unit/department
- b. guidance and support of research activities within the unit/department
- c. practice of sound financial management within the unit/department
- d. management and guidance of personnel within the unit/department, including professional growth and retention
- e. definition of goals within the unit/department and progress of the unit/department toward those established goals

Additional Survey questions that have been used in the past by various units can be a useful guide and are found here: <http://www.mtu.edu/senate/evaluations/forms/>

If the unit/department ~~charter for~~ requires the tabulation of survey results and the conduct of the ballot to be done separately for the faculty and staff in the unit/department's constituency, ~~then two~~ separate instruments are required. These two instruments may be different ~~depending on separate decisions of the faculty or staff~~ (see section VIII. Unit Constituency Input).

The survey instrument(s) may also include the following:

- a. up to two questions that the department chair/school dean may provide if he/she/they so choose
- ~~a-b.~~ an opportunity to provide additional written comments ~~insertion of two boxes for the free written comments; one that can be seen by everyone in the unit including the unit's chair/dean and their immediate supervisor (the college dean for department chairs and the provost for school deans), and one that can will only be viewed by the review committee and the those in the unit's chair's supervisory chain of command. Comments will remain confidential and will not be viewed by the reviewee. /dean's immediate supervisor. Associated with each box there will be a compulsory question asking the constituents to individually select if they want their comments to summarized by the review committee in the report or produced verbatim.~~

VIII. Unit Constituency Input

The department chair/~~school dean~~'s self-evaluation report, ~~the~~ redacted letter of appointment ~~describing the charge~~, and the survey instrument should be made available ~~electronically~~ to the entire ~~unit~~ department constituency. This should be followed ~~with by a~~ meeting of the ~~unit~~ department constituency without the department chair/~~school dean~~ present. ~~At the meeting the past evaluation results may also be shown.~~ The purpose of the meeting is to discuss, ~~potentially~~ change, and approve the survey instrument.

If ~~required by~~ the unit ~~charter requires~~ that survey results and ballots be tabulated separately for faculty and staff, then faculty and staff in the unit constituency will meet separately to discuss their respective survey instruments.

~~The constituency will be advised by the committee that~~ In all cases, the survey results, including comments, must be ~~treated with~~ considered confidentiality in mind, and ~~will be~~ viewed and discussed only by ~~the review committee and~~ people ~~authorized in this procedure in the chair's supervisory chain of command.~~ ~~At the end of the review process the college dean will meet with the department constituency to discuss the outcome of the review (see also Section XIV. Final Report by the College Dean).~~

IX. Conduct of Survey

Senate Procedures 507.1.1 pertain to the conduct of the survey. ~~Senate Procedures 507.1.1 govern the conduct of the survey.~~ It is the responsibility of the chair ~~of the review committee and (including the external~~ member of the review committee) to maintain security of these files and the information that they contains. ~~Upon completion of the survey period, the results of the survey will be delivered to the dean and provost. The dean will inform the chair of the review committee and the external member of the review committee that the survey results were received. The chair of the review committee and the external member of the review committee will then destroy any survey information to which they have access.~~

X. Review Committee Report on Evaluation

The review committee will produce a summary report for distribution to the department (before balloting) ~~and the Dean based on the below items.~~ This summary report will not disclose any confidential ~~information~~ information, ~~nor will it include any verbatim comments made by constituents during the review process, but should include:~~

- a. ~~tabulated results of the survey~~

- b. ~~the a summary of the~~ survey respondents' comments ~~in the manner elected by the individual constituents~~(not in verbatim form)
- c. summary statements of the major accomplishments over the period of evaluation and areas that need improvement

XI. Balloting

The final ballot goes to the constituency identified ~~in by the unit charter department;~~ The Senate

Administrative Assistant (SAA), ~~on at the request from of~~ the chair of the review committee, conducts the actual online process for balloting through the procedure outlined in 507.1.1.

The ballot should request one of three responses (yes, no, abstain) in response to the question: "(Name of department chair) should be reappointed and continue as the chair of the (department name). /school dean) should be reappointed and continue as the department chair/school dean of the unit.

Yes _____ No _____ Abstain _____

The SAA will return the results of the balloting (two sets of ballots ~~if~~ faculty and staff vote separately), to the ~~dean and provost chair and the external member of the review committee.~~ The ~~review dean committee chair~~ will inform the SAA of the receipt of the results of the ballot and ask the SAA to delete all ~~the voting results information related to the review process into which they have access. the senate office.~~

If an incumbent chair is reappointed as the result of a search conducted at the end of their six-year term, balloting will not be conducted as part of the review performed at the start of their new term. The department chair/school dean (first) and the unit constituency (second) will be informed of the ballot results by the review committee.

XII. Survey Dean's Report on Evaluation

Once the survey, summary report, and ballot information are submitted to and received by the dean, the review committee will be disbanded. ~~Then the dean committee will prepare will then prepare~~ a survey report for the provost and president summarizing with

the outcome of the review.

The report to the provost and president should include:

- a. tabulated results of the survey
- b. the survey respondents' comments in the manner elected by the individual constituents
- c. summary statements of the major accomplishments over the period of evaluation and areas for that need in which improvement is needed
- d. summary report from the review committee
- e. the dean's perception of the chair's success to date and potential for future success in:
 - i. guidance and management of the quality and growth of the academic programs within the unit
 - ii. guidance and supporting of research activities within the unit
 - iii. practice of sound financial management within the unit
 - iv. effectively management and guidance of personnel within the unit
 - v. definition of goals within for the department and measuring the department's progress of the unit toward those established goals
- f. the dean's recommendation to the provost regarding continuation of the chair's appointment.

XIII. Executive Review

Upon completion, the dean will forward their report to the provost. The provost will review the dean's report, including the dean's recommendation regarding the chair's continuation. Following this review, the provost will make an independent recommendation to the president regarding potential continuation of the chair. The provost will then forward the report, the dean's recommendation, and their own recommendation to the president. The president will review all materials and make a decision. The president's decision will be communicated to the provost who will in turn communicate the decision to the dean.

If the unit constituency of either faculty or staff (or both combined, if a single ballot was conducted for the entire unit constituency), by a two-thirds majority votes against the reappointment/continued appointment of the department chair/school dean, the administration will normally honor the decision of the unit.

When the administration decides to reappoint a department chair/school dean contrary to the majority vote of the unit constituency of either faculty or staff (or both combined, if a single ballot was conducted for the entire unit constituency), the college dean/provost will provide written explanation of the reasons for that decision to the members of the academic unit.

Department Chair/School Dean's Response

The review committee will give the department chair/school dean the survey report, except for the part that contains the written comments that are intended only for their immediate supervisors (Section X. Survey Report). The review committee will provide the department chair/school dean the option of responding to the report before it is presented to the unit constituency. The department chair/school dean has five working days to provide a written response to the report of the review committee.

The survey report will be augmented with the department chair/school dean's response (if a response is supplied; these two documents along with the chair's/dean's self-evaluation report will from here on be called the "unit evaluation report".

If at any time during the process, the college dean/provost informs the review committee that the department chair informs the dean that they wish to discontinue the review/school dean has decided process not to seek reappointment, then all review material related to the review will be destroyed by the review committee. The college dean/provost will dissolve the review committee. The college dean/provost will also inform the unit department constituency about the department chair's decision/school dean's decision at the time of dissolution of the review committee.

Presentation of Unit Evaluation Report

The review committee will arrange a closed meeting at which they will circulate the unit evaluation report. Copies of the unit evaluation report will not be taken outside the meeting room. All the circulated copies of the unit evaluation report will be destroyed after the meeting. The purpose of the meeting is the presentation of unit evaluation report, and not for additional discussion of the department chair/school dean's performance.

For the period of review, the review committee will ensure two copies of the unit evaluation

report are available for viewing by the unit constituency at two secure sites where no copies can be made, as unauthorized copying compromise the integrity of the process. One site will be situated in the office of the college dean/provost. The other site will be situated in the unit.

XIII. XIV. Unit Evaluation Report to the College Dean/Provost Communication to the Chair

Following the executive review, the college dean will meet with the department chair to discuss the decision made regarding continued appointment. A file containing a copy the unit evaluation report and the results of the ballot will be forwarded to the college dean/provost. Upon receipt of this file, the college dean/provost, will notify the review committee to destroy any remaining copies of the unit evaluation report and any other material related to the review process.

XV. Final Report by the College Dean

The review committee will write a memo to the senate president and the college dean/provost with the recommendations for changes in the evaluation procedure (if any) to support continuous improvement of the process.

Final Report by the College Dean/Provost

The college dean/provost must prepare a written final report of the evaluation of the department chair/school dean, including but not limited to the following areas:

guidance and management of the quality and growth of the academic programs within the unit.

guidance and support of research activities within the unit

practice of sound financial management within the unit

management and guidance of personnel within the unit

definition of goals within the department and progress of the unit toward these established goals.

a confidential appendix is allowed that is not shared with the unit in cases where the college

dean/provost feels the need to formally document progress, problems or advice with only the department chair/school dean. This appendix is included with the final report and forwarded through the administrative structure to the President.

The college dean/provost will meet with the department chair/school dean to discuss the final report of the evaluation, ballot results, and the reappointment recommendation.

Implementation of the Results

The college dean/provost will forward the final report and her/his recommendation through the administrative structure to the university president.

If the unit constituency of either faculty or staff (or both combined, if a single ballot was conducted for the entire unit constituency), by a two thirds majority votes against the reappointment of the department chair/school dean, the administration will normally honor the decision of the unit.

When the administration decides to reappoint a department chair/school dean contrary to the majority vote of the unit constituency of either faculty or staff (or both combined, if a single ballot was conducted for the entire unit constituency), the college dean/provost will provide written explanation of the reasons for that decision to the members of the academic unit.

At a meeting with the unit, the college dean/provost shall present the administration's final decision and discuss the contents of the final main points explored in the evaluation report materials. The department chair/school dean will not be present at this meeting. The final dean's evaluation report of the evaluation, not including the confidential appendix, by the college dean/provost will not be shared with the unit department although it and will forms the basis for the discussion in during the meeting.

~~The~~ Once the process is complete, members of the review committee ~~will~~ may write a memo to the senate president, and the college dean, and/ provost with the recommendations for changes in the evaluation procedure (if any) to support continuous improvement of the process.

XIV.XVI. Closure and Storage of Evaluation Material

~~Any~~ evaluation material ~~that must be retained according to Human Resource's guidelines~~ will be ~~retained by~~ kept in the office of the Human Resources office. All other materials will be destroyed at the conclusion of the review. ~~the college dean/provost, and will be supplied to the next review committee (Section VI. the First Meeting of the Unit Review Committee).~~ All evaluation material, except that required by the office of human resources, will be destroyed once the department chair/school dean leaves the position.

~~XX-VII.~~ **XVIII. Sample Timeline of the Review Process**

The timeline below is suggestive and not prescriptive. It is possible to reduce the total time for the review process by doing some activities simultaneously. It is recommended that the review committee establish its own timeline for conducting the review in a timely manner. ~~The evaluation process should be done with expediency – the recommended timeline is as follows:~~

Weeks 1 & 2: The college dean ~~initiates the review process, requests that the department chair/school dean to~~ The dean ~~form the~~ directs the department to form a review committee and ~~directs the chair to~~ write their self-evaluation report. (Section IV. Review Process Initiation, and Section V. Department Chair/~~School Dean's~~ Self-Evaluation)

Week 3: The college dean/~~provost~~ appoints the external member of the review committee, calls the first meeting of the review committee, defines the charge, and provides the review committee with all relevant documents. The review committee elects a chair, decides and informs the college dean/~~provost~~ and the ~~unit-department~~ constituency ~~on of~~ the review committee's structure, purpose, and membership. (Section VI. First Meeting of the Unit Review Committee)

Week 4: The review committee develops survey instrument(s) for the constituency. (Section VII. Survey Instrument)

Week 5: The ~~unit-department~~ constituency approves the survey instrument(s). (Section VIII. Unit Constituency Input)

Weeks 6-7: The review committee sends the survey instrument(s) and list of email addresses to the ~~SAA-Senate Administrative Assistant~~ who conducts the survey ~~and return the results.~~ (Section IX. Conduct of Survey, ~~and Senate Procedure 507.1.1~~) and ballot (Section X. Balloting). ~~The review committee compiles and sends summary report to department constituents and dean.~~

~~Week 8: The review dean prepares a report for the provost and president summarizing the outcome of the review and providing their recommendation regarding the chair's continued appointment committee writes the survey report. (Section XI. Survey Dean's Report on Evaluation)~~

~~Week 9: The review committee sends the survey report to the department chair/school dean and solicits her/his response. The review committee compiles the unit evaluation report. (Section XI. Department Chair/School Dean's Response) provost reviews the dean's report and provides their recommendation to the president and the president makes a decision regarding continued appointment of the chair. (Section XII. Executive Review)~~

~~Week 10: The dean communicates the administration's decision to the department chair being reviewed. (Section XIII. Communication to Chair) The review committee calls a meeting of the unit constituency for the presentation of the unit evaluation report and to establish a secure site where the unit constituency can view the report.~~

~~Week 11: Ballot for the reappointment is conducted (Section XIII. Balloting and Senate Procedure 507.1.1) The dean meets with the department to discuss the review and its outcome. (Section XIV. Final Report by the College Dean)~~

~~Week 12: The review committee sends the unit evaluation report and the ballot results to the college dean/provost. The college dean/provost informs the review committee of the receipt of unit evaluation report and ballot results. The review committee destroys all evaluation related material. (Sections XIV. Unit Evaluation Report to the College Dean/Provost)~~

~~Week 13: The college dean/provost writes the final report and meets with the department chair/school dean to discuss the final report and the recommendation for the reappointment. (Section XV. Final Report by the College Dean/Provost)~~

~~Week 14: The college dean/provost calls the unit constituency meeting to discuss the final report and the decision of the administration on the reappointment. (XVI. Implementation of the Results)~~

XVIII. Document History

Proposal 16-92:

Adopted as Amended by Senate: 29 September 1993

Approved by President: 15 February 1994 Approved by Board of Control: 18 March 1994

Proposal 6-11:

Introduced to Senate: 10 November 2010

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Proposal 7-16:

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