The University Senate of Michigan Technological University

Proposal 37-23

Proposal to Modify Senate Procedure 506.1.1: Evaluation Procedures for Department Chairs and School Deans

Procedure 506.1.1

EVALUATION PROCEDURES FOR DEPARTMENT CHAIRS AND SCHOOL DEANS
(Proposal 16-92: [https://www.admin.mtu.edu/usenate/propose/92/16-92.htm])
(Proposal 6-11: [https://www.admin.mtu.edu/usenate/propose/11/6-11.htm])
(Proposal 7-16: [senate/policies-procedures/proposals-year/2015-16/07-16/])
(Proposal 3-17: [senate/policies-procedures/proposals-year/2016-17/03-17/])

Senate Procedures 506.1.1

I. Introduction

This is the common procedure for the evaluation of the department chairs and the school deans. The school deans report to the provost and department chairs report to the college dean. Throughout this document the following terminology is used.

- **Department chair/school dean and college dean/provost**: pairing of the department chair with the college dean and the school dean with the provost
- **Academic unit or just unit**: a department or a school
II. Standard Term Length for a Departmental Chair

The standard term of service for a departmental chair is four years.

III. Types and Frequencies of Review

The term of appointment for a department chair/school dean is three years. A reappointment review will take place in the fourth year of each term of appointment and will be initiated within the last seven weeks of the fall semester. The evaluation process may also be initiated by the college dean/provost or the entire department voting constituency as defined in the departmental charter, (by a simple majority vote) at any time earlier, but not more than once per calendar year, and not during the department chair's first year of their contract. Evaluations may be initiated by faculty during the first year only by a two-thirds majority vote. At any point in the evaluation process, the department chair/school dean may decide not to seek reappointment. In this case, the review process ends and all material related to the review process will be destroyed by the review committee. It should be noted that the college dean can recommend to the university president that a departmental chair can be removed at any time for cause.

Once a reappointment review is initiated, at any point in the evaluation process, the department chair may decide not to seek reappointment. In this case, the review process ends, and the review committee will destroy all material related to the review process.

In the years when there is no reappointment review, there will be a formative review process. The purpose of this yearly assessment (other than years of reappointment) is to strengthen the two-way communication between faculty and staff and the department chair. The process will take place in spring semester, over Week 10-14. The intent is to enable faculty and staff to have an open and honest discussion with the departmental chair to voice concerns over the direction the department is taking under the department chair's leadership. A starting point for the Department Chair's Formative Review will typically be the charge that the college dean has given to the departmental chair. That set of accomplishments should frame at least part of the discussion. The departmental chair likewise may indicate the reasons for certain directions of their leadership. On the converse side, the chair will give their assessment of the current status of the department and on goals for the following academic year.
along with the enabling rationale. The process the department follows for the Department Chair’s Formative Review must be detailed in the departmental charter.

The specifics of how the formative review process will be implemented are the responsibility of the faculty and staff of the department. There is no expectation of a report that leaves the department in any form. The only form of reporting is that the department chair must include in their annual report to the college dean the existence of the formative review process, and that it ran in the year being reported - or not.

IV. Constituency and Unit Department Reappointment Review Committee

The unit department charter shall specify the unit department constituency and who is eligible to participate in the evaluation process and vote, as well as the structure and selection of the committee for the review of their department chair/school dean. The unit department charter shall further define if the survey and ballot will be done for the entire unit department constituency as a whole, or separately for faculty and staff. If there are fewer than three staff members in the department, then only one survey instrument may be used.

The committee will not include the current department chair/school dean or any faculty or staff member who has a conflict of interest regarding the current department chair/school dean’s review. The college dean will resolve any conflict of interest situation if it is raised with respect to any individual’s eligibility to serve as a member of the review committee.

The committee also includes a member from outside the unit department appointed by the college dean. 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.

The review committee is charged with following senate procedures 506.1.1 (this procedure) and 507.1.1 to conduct and complete an evaluation of the department chair/school dean. The voting process shall follow the unit department charter and senate procedures. In case of inconsistency, the intent of the senate procedure takes precedence.
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 department constituency, the review committee, and the individual under review. 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 through the chair of the committee.

V. Review Process Initiation

The college dean will ask the department chair/school dean to establish the committee as per the unit charter; the committee should be established within two weeks of the dean’s/provost’s request. The college dean will appoint a member from outside the unit to serve on the committee. The college dean 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 within two weeks.

VI. 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 of the unit’s department’s goals for the period of review,

c. Budgeting and its budget management,

d. Growth and quality of academic programs,

e. Future needs and directions of the unit department, and

f. Any issue that the department chair/school dean thinks is controversial in the unit department and the effort he/she they made to address the controversy

The department chair/school dean is strongly encouraged to provide comparative quantitative data in this report where relevant.
VII. First Meeting of the Unit Department Review Committee

The college dean shall call the committee’s first meeting and 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 as Appendix A in Section XIX. The college dean 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. The electronic copy of the self-evaluation report of the department chair/school dean;

c. Results of the previous evaluation if the department chair/school dean is seeking another term, and

d. A set of survey questions that is common to all units departments in the university.

The review committee shall decide if additional material is 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 and the entire units department constituency of this structure; as well as the purpose and membership of the review committee.

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

The distribution of this report will be followed by a meeting of the unit department constituency will follow the distribution of this report. The purpose of this meeting will be for the department chair/school dean to respond to questions and provide clarification about the report.

VIII. Survey Instrument

The survey instrument will have the following first two components.

a. A set of questions provided by the college dean in an electronic file, and

b. A set of questions that the review committee chooses.
The survey instrument should address (but not be limited to) the following, in order to assist the dean/provost in responding to the specific questions required by the senate:

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

ii. guidance and support of research activities within the unit

iii. practice of sound financial management within the unit

iv. management and guidance of personnel within the unit, including professional growth and retention

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

1. Definition of goals within the department and progress of the department toward these established goals;

2. Management and guidance of personnel within the department, including professional growth and retention;

3. Guidance and management of the quality and growth of the academic programs within the department;

4. Guidance and support of research activities within the department; and

5. The practice of sound financial management within the department.

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

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

In the special case of fewer than three staff in the department, one survey will be used for both faculty and staff. If there are three or more staff in the department, whether one form will be used for staff and a second for faculty is a departmental decision that must be codified in the departmental charter.

The survey instrument will have the following last two components:

c. up to two questions that the department chair/school dean may provide if he/she so chooses up to two questions if they choose to, and

d. Insertion of one box for free-form, written comments that can only be viewed by the college dean. two boxes for the free-form written comments; one that can be seen by all voting members
everyone in the unit department, including the unit’s department chair/dean and their immediate supervisor (the college dean for department chairs and the provost for school deans), and one that can only be viewed by the unit’s chair’s/college 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. Comments going to the "seen by all" box will be summarized for responding faculty or staff members by the review committee for the purposes below in the Survey Report.

**IX. Unit Department 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. Then, a meeting of the unit department constituency without the department chair/school dean present, the purpose of which is to discuss, change, and approve the survey instrument. At this meeting, the past evaluation results may also be shown for comparison.

If required by the unit charter 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.

If there are three or more faculty in the department, and the department charter requires that survey results and ballots be tabulated separately for faculty and staff, faculty and staff in the department constituency will meet separately to discuss their respective survey instruments. In all other cases, faculty and staff will meet together to discuss their surveys.

In all cases, the survey results, including and comments, must be treated with confidentiality in mind, and viewed and discussed only by people authorized in this procedure as prescribed in the department charter.

**X. Conduct of Survey**

Senate Procedures 507.1.1 describes 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 and the external member of the review committee to maintain the security of these files and the information that they contains.

XI. Survey Report
The review committee will prepare a survey report that includes:

a. Tabulated survey results of the survey,

b. The survey comments in the manner elected by the individual constituents, and A summary of the survey comments from the “seen by all” box, and

c. Summary statements of the major accomplishments over throughout the period of evaluation and areas for improvement of the department chair/school-dean. This part of the survey report should be grounded in the charge given to the departmental chair by the college dean.

XII. Department Chair/School-Dean’s Response
The review committee will give the department chair/school-dean the survey report, except for the part that containing the written comments that are intended only for the college dean their immediate supervisors (Section XI. Survey Report).

The review committee will encourage the department chair/school-dean to respond to the survey report before it is presented to the unit department constituency. The department chair/school-dean will have five working days to provide a written response to the report of the review committee’s report.

The survey report will be augmented along with the department chair/school-dean’s response (if a response is supplied); these two documents along, along with the chair’s/dean’s self-evaluation report, will from here on be called the “unitDepartment Evaluation Report”.

If the college dean informs the review committee that the department chair/school-dean has decided not to seek reappointment, then all review material will be destroyed by the review committee will destroy all review material. The college dean will dissolve the review committee. The college dean will inform the unit department constituency about the department chair/school-dean’s decision at the time of dissolution of the review committee.
XIII. Presentation of Unit Department Evaluation Report

The review committee will arrange a closed faculty and staff meeting to circulate the Department Evaluation Report. Copies of the Department Evaluation Report will not be taken outside the meeting room. All the circulated copies of the Department Evaluation Report will be destroyed after the meeting, at which they will circulate the unit Department Evaluation Report. Copies of the unit Department Evaluation Report will not be taken outside the meeting room. All the circulated copies of the unit Department Evaluation Report will be destroyed after the meeting. The purpose of the meeting is the presentation of unit the Department Evaluation Report, and not for additional discussion of the department chair/school dean’s performance in the past.

The purpose of the meeting two-fold: (a) the presentation of the Department Evaluation Report by the Reappointment Evaluation Committee and (b) as a final chance for the faculty and staff to discuss in closed session elements of the Department Evaluation Report and/or other topics thought to be relevant to the evaluation. The arbiter determining if a subject is relevant is the Department Reappointment Review Committee.

For the period of review, the review committee will ensure two copies of the unit Department Evaluation Report are available for viewing by the unit department constituency at two secure sites where no copies can be made, as unauthorized copying compromises the integrity of the process. One site will be situated in the office of the college dean. The other site will be situated in the unit department.

XIIIIV. Balloting

The final ballot goes to the constituency identified in the unit department charter; the Senate Administrative Assistant (SAA), on request from the chair of the review committee, conducts the actual online process for balloting through the procedure outlined in Procedure 507.1.1. As outlined in Procedure 507.1.1, the ballot will read:

(Name of department chair/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 results (two sets of ballots if faculty and staff vote separately), to the chair and the external member of the review committee. The review committee chair will inform the SAA of the receipt of the ballot results of the ballot and ask the SAA to delete all the voting results in the senate office. The department chair/school-dean (first) and the unit department constituency (second) will be informed of the ballot results by the review committee.

**XIV. Unit Department Evaluation Report to the College Dean**

A file containing a copy of the unit Department Evaluation Report and the ballot results of the ballot will be forwarded to the college dean. Upon receipt of this file, the college dean will notify the review committee to destroy any remaining copies of the unit Department Evaluation Report and any other material related to the review process.

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

**XVI. Final Report by the College Dean**

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

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. The practice of sound financial management within the unit department,

d. Management and guidance of personnel within the unit department,

e. Definition of goals within the department and progress of the unit department toward these established goals, and

f. A confidential appendix is allowed that is not shared with the unit department in cases where the college dean 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 will meet with the department chair/school-dean to discuss the final report of the evaluation, ballot results, and the reappointment recommendation.
XVII. Implementation of the Results

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

If the unit department constituency of either faculty or staff (or both combined, if a single ballot was conducted for the entire unit department 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 department constituency of either faculty or staff (or both combined, if a single ballot was conducted for the entire unit department constituency), the college dean will provide a written explanation of the reasons for that decision to the members of the academic unit department.

At a meeting with the unit department, the college dean shall present the administration’s decision and discuss the contents of the final report. The department chair/school dean will not be present at this meeting. Not including the confidential appendix, the final evaluation report of the evaluation, not including the confidential appendix, by the college dean will be shared with the unit department and forms the basis for the discussion in the meeting.

XVIII. Closure and Storage of Evaluation Material

All evaluation material will be kept in the office of the college dean's office, and will be supplied to the next review committee (Section VII. 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.

XIXVIII. 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 promptly in a timely manner. The evaluation process should be done with expediency - the recommended timeline is as follows:

**Weeks 1 & 2:** The college dean requests the department chair/school dean to form the review committee and write the self-evaluation report. (Section IV. Review Process Initiation, and Section VI. Department Chair/School Dean's Self-Evaluation)
**Week 3:** The college dean 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 and the unit department constituency on the review committee’s structure, purpose and membership. (Section VII. First Meeting of the Unit Review Committee). The review committee shares the chair’s self-evaluation report with the department constituency, and then schedules a meeting of the department constituency following the distribution of this report.

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

**Week 5:** The unit department constituency approves the survey instrument(s). (Section VIIIIX. Unit Department Constituency Input)

**Weeks 6-7:** The review committee sends the survey instrument(s) and list of email addresses to the SAA who conducts the survey and returns the results. (Section IX. Conduct of Survey, and Senate Procedure 507.1.1)

**Week 8:** The review committee writes the survey report. (Section XI. Survey Report)

**Week 9:** The review committee sends the survey report to the department chair/school dean and solicits her/his their response. The review committee compiles the unit department evaluation report. (Section XII. Department Chair/School-Dean’s Response)

**Week 10:** The review committee calls a meeting of the unit department constituency for the presentation of the unit department evaluation report and to establish a secure site where the unit department constituency can view the report. (Section XIII. Presentation of Unit Department Evaluation Report).

**Week 11:** Ballot for the reappointment is conducted (Section XIV. Balloting and Senate Procedure 507.1.1).

**Week 12:** The review committee sends the unit Department Evaluation Report and the ballot results to the college dean. The college dean informs the review committee of the receipt of unit Department Evaluation Report and ballot results. The review committee destroys all evaluation related material. (Sections XIV. Unit Department Evaluation Report to the college dean).
**Week 13:** The college dean writes the final report and meets with the department chair/school dean to discuss the final report and the recommendation for the reappointment. (Section XVI. Final Report by the college dean).

**Week 14:** The college dean calls the unit department constituency meeting to discuss the final report and the decision of the administration on the reappointment. (XVII. Implementation of the Results).