

04.20.2022



**UNIVERSITY OF WISCONSIN SYSTEM BOARD OF REGENTS  
SPECIAL REGENT COMMITTEE ON GOVERNANCE ISSUES**

Tuesday, April 26, 2022

4:30-6:00 p.m.

Via Webex

1. Calling of the Roll
2. Approval of the record of the September 28, 2021 meeting of the UW System Board of Regents Special Regent Committee on Governance Issues
3. Presentation and discussion: Regent Orientation Process
4. Presentation and discussion: Equity, Diversity and Inclusion, and the Role of UW System
5. Evaluation of Chancellors and President
6. Adjourn

April 26, 2022

## **REIMAGINING REGENT ORIENTATION**

### **REQUESTED ACTION**

For discussion.

### **SUMMARY**

Reimagined Regent orientation focuses on instilling in Regents an understanding of the structure of higher education and their fiduciary and governance responsibilities. The proposal features a renewed Regent handbook, the implementation of a Regent mentor program, and the facilitation of Board assessments. Based on research conducted of peer systems and national best practices, the reimagined orientation allows Regents to engage with campus and System leadership through multiple avenues and focuses on a discussion-based model.

### **Presenter**

- Olivia Woodmansee, Administrative Specialist, Office of the Board of Regents

### **BACKGROUND**

Per Regent Policy Document 2-2, "Statement of Expectations for Board Members" all Regents are required to participate "in an orientation session for new Board members to include review of Wisconsin's Code of Ethics for Public Officials and Employees, Wisconsin Open Meetings Law, Wisconsin's Public Records Law, and conflict of interest training." The current orientation session for Regents occurs in the summer of their first year, lasts roughly three (3) hours, and engages System Administration employees.

In March 2014, a Board Assessment was conducted by the Office of the Board of Regents to gather Regent input on a number of items, one of which being Board orientation. Many of the suggestions taken from this assessment have yet to be implemented and are still relevant, such as "consider informally pair[ing] new Regents with a longer serving Regent," "emphasize that serving as a Regent is a big responsibility and UW System is a big operation", and "divide orientation over the course of two or three years."

Furthermore, the Association of Governing Boards (AGB) has published articles, training, and books surrounding Board orientation, each emphasizing its importance. In these models, it is noted that a “flipped orientation” model allows Regents to fully utilize their in-person time. With the flipped model, members are given materials such as modules and documents ahead of time, so that the orientation is spent on discussion. AGB also notes the importance of allowing Board members to be on campuses and experience the impact of higher education.

In the past four months, a proposal for a reimagined Regent orientation has been developed and after feedback from the Special Regent Committee on Governance Issues and Chancellors, will be prepared for implementation for newly appointed Regents this spring.

### **Related Policies**

- Regent Policy Document 2-2, “Statement of Expectations for Board Members”

### **ATTACHMENTS**

- A) Draft Orientation Agendas

## Draft Orientation Agendas

### Initial Orientation Session Agenda (5 hours)

#### **Welcome & Overview | *System President, Board Secretary***

*Involves:* Introductions, overview of agenda, handout of Board Handbook (hard copy)

#### **Regent Overview | *Board Secretary, Regent Mentors***

*Involves:* Impact of Regents, Expectation for work, Questions surrounding modules/materials provided, Reimbursement of Regents, overview of statutory authority and RPD 2-2

#### **Requirements of Regents | *General Counsel***

*Involves:* Code of Ethics, Open Meetings/Closed Session/Confidentiality, Public Records & Email, Defense & Indemnity

#### **Campus Engagement | *Chancellors***

*Involves:* Chancellors discussing function of System Administration, campuses, how Regent's support campuses, role of campus liaisons, answer Regent questions, Regent engagement of campus community members

#### **Lunch | *Campus leaders (shared governance, cabinet, etc.)***

*Involves:* Overview of various roles on campuses and how they support campus mission, overview of campus structures

#### **Relationships | *OPAC, Gov Relations, Mentor***

*Involves:* Open discussion on Regent questions for engagement of legislators, media, campuses

#### **Committees | *Board Secretary***

*Involves:* Discussing questions arising from committee module

#### **Organization & Structure of UW System Administration | *Board Secretary, VPs of UWSA***

*Involves:* Description of functions of System Administration, briefly reviewing organizational chart, discussion & questions Regents have

#### **Specialty Presentation (based on the request of the Regents)**

*Involves:* Regents asking for specialty presentations on topics they would like more information on (e.g. sustainability, funding models, etc.)

#### **Wrap Up & Next Steps | *Board Secretary***

*Involves:* Answering any lingering questions, providing next steps (in handbook) of contacts, determining committee preferences (if any)

Second Orientation Session Agenda (5 hours)

**Welcome & Overview | *Board Secretary***

*Involves:* Overview of agenda, addressing any immediate questions

**Capital Planning Orientation | *AVP of Capital Planning, VP of OUR***

*Involves:* Presentation on Capital Planning and Budget Process

**Annual & Biennial Budget Orientation | *VP of Finance***

*Involves:* Presentation on the Annual and Biennial Budget process

**Lunch | *Chancellor***

**Major Programs Overview | *System Administration and Chancellors***

*Involves:* An overview of the major programs being developed at campuses/with System Administration at the time

**Pursuing Initiatives | *Board Secretary, Regent Mentor***

*Involves:* Discussion on how Regents can pursue initiatives they are interested in, Regent-led discussion

**Specialty Presentation (based on the request of the Regents)**

*Involves:* Regents asking for specialty presentations on topics they would like more information on (e.g. sustainability, funding models, etc.)

**Orientation Evaluation | *Board Secretary***

*Involves:* Regents taking brief survey regarding Regent orientation and how it could be improved for the future

April 26, 2022

## **THE ROLE OF UW SYSTEM IN ADVANCING EQUITY, DIVERSITY, AND INCLUSION ON UW CAMPUSES**

### **REQUESTED ACTION**

For information only.

### **SUMMARY**

Dr. Artanya Wesley, Vice Chancellor of Student Affairs at UW-Whitewater, has been working with Interim President Michael J. Falbo to determine how the UW System can leverage and utilize the Office of Equity, Diversity, and Inclusion (EDI) at UW System Administration to champion and pioneer inclusive and equitable practices and strategies. Dr. Wesley will discuss her methodology, findings, and recommendations on next steps.

### **Presenter:**

- Artanya Wesley, Vice Chancellor of Student Affairs, UW-Whitewater

### **BACKGROUND**

At the September 2021 meeting of the Special Regent Committee on Governance Issues, Dr. Warren Anderson, UW System Administration's Senior Equity, Diversity, and Inclusion Officer, presented on efforts by the UW System and its institutions to establish a systemwide vision and common metrics related to equity, diversity, and inclusion (EDI). Since January 2022, the Senior Equity, Diversity, and Inclusion Officer position has been vacant due to Dr. Anderson's leaving to take a position at another university. Before a search begins for the next senior leader in the Office of EDI, a set of values and guiding principles for the UW System must be established, as well as an understanding of current efforts on each campus. From this framework, a position description can be generated to meet the largest needs and gaps within the System. Dr. Artanya Wesley, in consultation with campus Senior Diversity Officers, has begun developing this framework.

## **PERFORMANCE ASSESSMENTS OF HIGHER EDUCATION EXECUTIVES**

### **REQUESTED ACTION**

For information only.

### **SUMMARY**

Performance assessments of higher education executives seek to determine the extent to which a chief executive of an institution or system has achieved agreed-upon goals and expectations for his or her position. An effective assessment process can recognize successes and identify development opportunities to ensure that executive leaders are meeting the strategic goals of the system and institutions. Assessing the performance of a chief executive of a university system or institution is a fundamental governing board responsibility.

#### **The Role of Governing Boards in the Presidential Performance Assessment Process**

The role of a governing board in the performance assessment process for a chief executive depends on the specific position and reporting relationship between the executive and the governing board. System heads, as well as institutional heads in states where each institution has a governing board, are evaluated directly by the board. In systems with one governing board, such as the UW System, the governing board often delegates the responsibility for evaluating institutional heads to the system chief executive.

When performance assessments are delegated to a system head, the board still has a vested interest in ensuring these evaluations are meaningful. The board may accomplish this in many ways. A board may establish an assessment committee, or assign oversight responsibilities to an existing committee, to guide the performance assessment process. Governing boards also often adopt a formal policy to establish the process to be used by system heads to evaluate institutional chief executives. Some boards identify specific criteria for evaluating institutional heads. The board may, in consultation with the system head, establish systemwide annual goals that could provide a framework for institutional goal setting. The board may also play a consultative role throughout the assessment process to ensure that the performance assessment information collected meets the strategic vision and goals of the system.

## Assessment Procedures and Criteria

This review describes UW System's process for evaluating UW Chancellors. It identifies some common practices and criteria used by systems in other states to assess the performance of chief executives. Whether a review is conducted by a board or a system head, this review found that assessment procedures and criteria are generally consistent. The review identifies a model that integrates strategic, future-oriented criteria into the traditional assessment process. Finally, the review identifies topics for the committee to consider as it examines the UW System's performance assessment process for UW System chief executives.

### Presenter

- Jess Lathrop, Executive Director and Corporate Secretary of the Board of Regents

## BACKGROUND

This paper reviews common practices used by systems and institutions in other states to assess the performance of chief executives in higher education. It compares those practices to approaches used to assess the UW System President and UW Chancellors.

The literature generally refers to the evaluation of executive positions in higher education, regardless of the titles used within a specific university system, as presidential assessments. A presidential assessment is a periodic review of the extent to which the chief executive of an institution or system has achieved agreed-upon goals and expectations for the position. Performance assessments provide a mechanism for identifying strengths, as well as development opportunities for improving a chief executive's performance. The process can also provide a governing board with a better understanding of the issues faced by the institution or system. The reviews often serve as the basis for determining compensation. Assessing the performance of a university system or institutional chief executive is a fundamental governing board responsibility.

The Association of Governing Boards of Universities and Colleges (AGB) has published a variety of resources, which may be found on their website, related to promoting effective presidential assessment practices.<sup>1</sup> This paper relies heavily on one such resource, Assessing and Developing College and University Presidents: An Enterprise Leadership Approach, by Terrence MacTaggart, published by AGB in 2020. This book describes common approaches used by higher education governing boards to conduct presidential assessments. It also identifies new approaches, intended to respond to the special challenges in today's higher education environment, along with traditional assessment approaches.<sup>2</sup>

---

<sup>1</sup> See: <https://agb.org/knowledge-center/board-fundamentals/presidential-assessment/>

<sup>2</sup> MacTaggart, 2020, Intro., Section 2, para.1.



Another organization, the American Council of Trustees and Alumni's (ACTA) Institute for Effective Governance also published a "how-to" guide, [Assessing the President's Performance](#). Although targeted at institutional Boards of Trustees, the guide provides another useful, broad summary of the steps that a governing board may use to implement a performance assessment of an institutional chief executive.<sup>3</sup>

## **UW System Chancellor Performance Assessment Process**

UW System Chancellors are evaluated by the UW System President each year. The President's Office typically sends guidelines and instructions to the Chancellors to guide the evaluation process. The process includes goal setting, a self-assessment, a face-to-face review between the President and Chancellor, and closed session discussion of the performance review with the Board of Regents.

The guidelines identify key performance metrics related to financial management, administrative management, educational performance, research and economic development and fundraising, and workforce management and diversity. They also include ten leadership competencies, with instructions that the UW Chancellor provide evidence of one or more of the following:

- (a) Promoting the UW System.
- (b) Establishing a shared vision and focus.
- (c) Working collaboratively and fostering an environment of trust.
- (d) Fostering a culture of diversity, equity and inclusion.
- (e) Fostering a climate of ethical leadership and accountability.
- (f) Fostering an environment that stimulates teaching, learning and scholarship.
- (g) Effective execution of mission through programs, plans and resources.
- (h) Promoting and cultivating internal/external relationships.
- (i) Working collaboratively with shared governance entities.
- (j) Effective communication skills and managing conflict in a constructive respectful manner.

The self-assessment process requires chancellors to:

- 1. Evaluate their performance related to annual goals;
- 2. Comment on key performance metrics;
- 3. Provide a talent management narrative;
- 4. Provide examples of how one or more leadership competencies were met;
- 5. Identify barriers or challenges to accomplishing goals;
- 6. Identify how the president could be more helpful in mitigating or eliminating barriers the chancellor faced in the previous year;
- 7. Establish goals for the following year.

---

<sup>3</sup> See: [Assessing the President's Performance - American Council of Trustees and Alumni \(goacta.org\)](#)

Examples of the guidelines and instructions used in recent years are included as Attachments 1 and 2.

One component of UW System's performance assessment process for UW Chancellors focuses on a review of a series of metrics that relate to financial management, administrative management, educational performance, and research and development. Each administrative skill is measured with three to four specific metrics that were displayed in a scorecard format to allow for comparisons over time and between institutions. The metrics also included measures related to employee and student diversity. An example of the metrics from one institution collected for the 2019-20 assessment is included in Attachment 3.

## **Effective Performance Assessment Practices**

Traditional presidential assessments are usually based on a self-assessment written by the president. The self-assessment describes the extent to which the chief executive has met annual goals established by the board in the prior year and includes an assessment of the level of success meeting the criteria and competencies expected of the position.<sup>4</sup>

### Leadership Traits and Competencies

One goal of a performance assessment process is to determine whether and how a president has demonstrated certain leadership skills over the past year. MacTaggart identifies the following significant leadership traits: Strategic leadership, board relations, educational leadership, organizational leadership, financial management, crisis leadership, fundraising, government relations, and values and integrity.<sup>5</sup>

A 2016 report by the American Association of State Colleges and Universities (AASCU), provides a more comprehensive list, based on its research, of core competencies for effective state university presidents.<sup>6</sup> These include:

#### **A. Management Competencies**

1. *Knowledge of the Academic Enterprise.* The president possesses an appreciation for the state university, its culture, and its students.
2. *Business Enterprise Management.* The president has the ability to apply business and financial knowledge proactively to create, develop, and secure resources from various sources and to implement innovative methods to grow the university.

---

<sup>4</sup> MacTaggart, 2020, Chapter 2, Section 1, para. 1.

<sup>5</sup> MacTaggart, 2020, Chapter 2, Section 1, para. 5.

<sup>6</sup> American Association of State Colleges and Universities. (2016). *Competencies for State College and University Presidents*. Washington, D.C.: American Association of State Colleges and Universities, pages 6-8. (<https://www.aascu.org/publications/CompetenciesforSCUPresidents.pdf>)

3. *Resource Development and Stewardship*. The president effectively manages financial, technological, human capital, enrollment, physical property and other resources.

#### B. Interpersonal Competencies

1. *Formal and Informal Communication*. The president communicates effectively in both formal and informal settings.
2. *Positively Engaged*. The president maintains a visible and active presence and an appropriate level of involvement with both external and internal stakeholders.
3. *Relationship Development and Maintenance*. The president develops and maintains purposeful interpersonal connections and relationships...in order to advance the institutional mission.
4. *Climate Creation and Maintenance*. The president intentionally shapes a campus climate that fits the growing needs of the university. He or she maintains and fosters a welcoming, diverse, and inclusive campus environment as well as engages in collaboration and entrepreneurship within and across units.

#### C. Personal Characteristics

1. *Integrity*. The president behaves in an ethical, trustworthy, transparent, consistent, accountable, honest, committed, and socially responsible way. He or she sets high standards for staff, faculty, students and the community.
2. *Servant Leader*. The president engages in stakeholders, in a way that conveys empathy and primary concern for and commitment to increasing their well-being, achievement and success.
3. *Continuous Self-Development*. The president maintains self-awareness and attention to continuous self-improvement and growth.
4. *Resilience*. The president demonstrates strength in the face of adversity.

#### D. Leadership Competencies

1. *Problem-solving*. The president applies systems-level thinking in order to define problems, gathers and integrates relevant quantitative and qualitative information, generates and identifies potential solutions, and evaluates the best course of action against identified criteria with an integrated-systems and results-oriented focus.

2. *People and Team Development.* The president effectively supervises and delegates, selects, builds, and develops diverse and cohesive groups of individuals who can work together to achieve the institutional mission.
3. *Strategic Vision.* The president develops, articulates, advocates, and executes a clear vision for the university's future that others will accept, support, and advance. This includes orchestrating effective change management via short- and long-term strategic thinking.
4. *Adversity Leadership.* The president manages, identifies, addresses, and responds to emergencies, crises, social issues, and controversies on campus in a prompt and effective manner. This involves an understanding of and continuous monitoring of relevant issues.

E. Additional Traits (Relevant personality traits)

1. The president possesses traits that support and exemplify positive expectations of success (i.e., hope, optimism, self-efficacy, confidence)
2. The president possesses traits that are indicative of an achievement orientation (i.e., needs for achievement, autonomy, personal growth and development)

The guidelines and instructions used by UW System for evaluating UW Chancellors also includes assessment criteria. A few other systems incorporate assessment criteria directly in their performance evaluation policies. California State University System incorporates a list of desired leadership attributes in its policy. Some systems and institutions use a form to guide the assessment of these skills. Attachments 4-6 includes three examples of forms that are used in other states to guide the assessment of a higher education chief executive's leadership traits, along with other competencies.

Annual Review Process

AGB identifies the following seven steps for implementing an annual review process. This process assumes that the president reports directly to a board. In practice, the chancellor or president of individual institutions in some systems, including the UW System, are evaluated by the system head, and the system head reports the findings to the board. However, since system heads report directly to the board, those assessments are conducted by the governing board, as described in the process below.

1. *Develop a board policy on annual assessment.* An organization should have a written policy that outlines the annual review process, including its purposes, timing, the role of the chair and an assessment committee, and the criteria for evaluation.

2. *The board selects an assessment committee.* When a governing board is directly responsible for conducting the assessment, a board assessment committee is created to oversee the process. The performance assessment process also provides board members with an opportunity to become better acquainted with the work and performance of a system or institution.
3. *The assessment committee chair and president share expectations.* This discussion covers the formal process and the length of the self-assessment.
4. *The president prepares the self-assessment.* The self-assessment is prepared by the president to describe progress toward agreed-upon goals and objectives, and address other criteria as requested.
5. *The board/committee reviews and discusses the self-assessment.* AGB notes that some higher education policies require the chair and the assessment committee to review a draft of the self-assessment before it is revised and submitted to the entire board. Others request that the president submit the draft to the entire board initially.
6. *The board discusses post-assessment action.* The chair and members of the assessment committee should personally communicate any action or decision from the review to the president. The results of the discussion should be conveyed in writing and become part of the president's confidential personnel file.<sup>7</sup>

### Enterprise Model

MacTaggart argues that traditional assessments emphasize the accomplishments of the past year and do not focus sufficiently on the future. He presents a new model, that builds on traditional assessment techniques, that seeks to supplement efforts to assess past performance with criteria to assess the president's skills in addressing future challenges and opportunities. Under this model, the effectiveness of a president as a "change architect" becomes a "...major, sometimes the critical, measure of presidential performance that enables the college, university, or system to adapt its culture and behavior to the realities it faces."<sup>8</sup>

Under the traditional model, self-assessments are often "...dominated by a long narrative describing the executive's performance and accomplishments while sidestepping two fundamental questions: Is this college or university in a stronger competitive position than twelve months ago? What is the president's agenda for the future?"<sup>9</sup> Self-assessments under MacTaggart's "enterprise model," should, "...present an objective, data-informed summary of the institution's strategic position combined with the president's narrative that interprets and fleshes out the numbers. The self-assessment should balance meaningful metrics with commentary that

---

<sup>7</sup> Based in part on Presidential Assessments FAQ, Association of Governing Boards of Universities and Colleges, <https://agb.org/faqs/presidential-assessments/>

<sup>8</sup> MacTaggart, 2020, Chapter 2, Section 2, para. 4

<sup>9</sup> MacTaggart, 2020, Chapter 2, Section 1, para. 5.

highlights the political, social, and relational aspects of the president's performance."<sup>10</sup> MacTaggart identifies some specific metrics that relate to an institution's strategic position, including trends in:

- Student enrollment, retention, graduation, and success after graduation;
- Financial measures, including net income, debt, liquidity ratios, reserve capacity, and consolidated financial indicators; and
- Comparative rankings, where relevant and from multiple sources as indicators of brand strength.<sup>11</sup>

Under the enterprise model, annual goals should be "...linked explicitly to the larger strategic agenda for improving the institution's competitive and financial position..."<sup>12</sup> Assessments of presidents of universities governed by a system board "...typically require compliance with system priorities and regulations."<sup>13</sup> The following are a few examples of questions developed by MacTaggart that illustrate how an enterprise perspective can be incorporated into traditional criteria used to assess presidential leadership skills. A more extensive list covering each of the nine leadership traits he identified may be found in his book.

#### Examples Illustrating Enterprise Leadership Assessment Criteria

Strategic leadership	Does the president use the strategic plan as the guide for decisions and investments? Does the president successfully engage the academic community in pursuing institutional strategy?
Educational leadership	How does the president visibly support academic quality and values? Are distinctive academic programs and educational experiences highlighted in institutional marketing? How well does the president support innovation on the academic side?
Organizational leadership	Has the president recruited and developed a high-functioning team? Is the organizational structure and chart aligned with strategic priorities? How are metrics, benchmarks, feedback and the like used in decision making and operations?

Source: Taggart, T. (2020). *Assessing and Developing College and University Presidents: An Enterprise Leadership Approach*. Washington DC: Association of Governing Boards of Universities and Colleges, Chapter 2, Section 3.

<sup>10</sup> MacTaggart, 2020, Chapter 2, Section 2, para. 2.

<sup>11</sup> MacTaggart, 2020, Chapter 2, Section 2, para. 3.

<sup>12</sup> MacTaggart, 2020, Chapter 2, Section 2, para. 4.

<sup>13</sup> MacTaggart, 2020, Chapter 2, Section 2, para. 4.

## Comprehensive 360 Assessments

Many higher education systems supplement the annual assessment process with a periodic, comprehensive 360 assessment. A comprehensive assessment allows for a “deep-dive” into larger, strategic issues faced by the institution. Unlike annual reviews, comprehensive assessments solicit input on the president’s performance from dozens of stakeholders representing a variety of internal and external perspectives.

To conduct a comprehensive assessment, a governing board typically establishes an assessment committee and contracts with an outside consultant to interview stakeholders, collect, and analyze other data, and facilitate the comprehensive review process. The chair of the committee along with the president and the consultant may work together to identify a list of stakeholders to interview and to identify other materials for review.

Like the annual assessment, the president completes a self-assessment, but with a broader and more strategic perspective than is reflected in the annual assessment. This self-assessment, along with the results of interviews and other data and information collected during the review process, is used by the consultant to prepare a report assessing the performance of the executive. According to MacTaggart, the nature and scope of the review may result in decisions that are of “...higher stakes such as contract renewal and compensation,” and, “...conclude with major expectations of the president for the future.”<sup>14</sup> Comprehensive assessments are completed over 2-4 months and are typically conducted once every two to five years.<sup>15</sup>

## Other Types of Assessments

MacTaggart notes that a year is often too long to wait to assess the performance of a president, especially for a new president. The typical annual review does not lend itself to allowing leadership to judge the response to “...(c)risises, emergencies, and problems, as well as opportunities...” that may arise between assessments.<sup>16</sup> Timely advice, especially to a new president, can be essential for ensuring an appropriate response to difficult situations.

He notes that several university systems have one or two senior officers meet with new presidents after they have completed their first 90 days to discuss any significant issues. He said that these check-ins may merge assessment with “...development in the form of coaching.”<sup>17</sup> Check-ins with more experienced executives, even if held less frequently than with new presidents, may also be beneficial.<sup>18</sup>

---

<sup>14</sup> MacTaggart, 2020, Chapter 3, Section 1, para. 3.

<sup>15</sup> MacTaggart, 2020, Chapter 3, Section 1, para. 3.

<sup>16</sup> MacTaggart, 2020, Chapter 2, Section 4, para. 1.

<sup>17</sup> MacTaggart, 2020, Chapter 2, Section 4, para. 2.

<sup>18</sup> MacTaggart, 2020, Chapter 2, Section 4, para 2.

Other continuous assessment methods described by MacTaggart include after-action reviews and reports of major initiatives and assessment roundtables at board meetings.<sup>19</sup> Assessment roundtables provide time at the end of a closed session for board members to comment on the president's performance related to important issues facing the system or institution. MacTaggart describes how one board provides for a roundtable four times a year. The board ensures the discussion remains close to the topic of the president's performance.<sup>20</sup> They also maintain strong discipline over the amount of time spent on the discussion and if there are no concerns, the meeting is adjourned without further discussion.<sup>21</sup>

MacTaggart also describes a process for implementing what he refers to as focused assessments, which are special investigative performance assessments that review presidential leadership and behavior in the face of a specific incident or set of circumstances. A focused assessment might be implemented for such events as recovering from a crisis, plans for a merger or acquisition, a desire for an institution to move up in league or rank, or for allegations of impropriety.<sup>22</sup>

#### Reviews for System vs. Institutional Heads

The performance assessment processes reviewed generally did not distinguish between assessment processes for system heads and institutional heads. In practice, since system heads report directly to a board, procedures for assessing a system head typically involve establishing a board committee to lead the assessment. Unless an institutional head reports directly to an institutional governing board, the responsibility for leading assessments of institutional heads is often delegated to the system head. In general, however, most components of the performance assessment process such as procedures for identifying general leadership traits and criteria to guide the assessment and identifying annual goals, apply equally to both system and institutional heads.

Additional criteria also may be considered for assessing the performance of a head of a public university system. According to MacTaggart, system heads need to be, "...adroit in the world of politics, public finance, and legislative advocacy, as well as the art of managing, coordinating, or orchestrating the work of college and university leaders within the system."<sup>23</sup> He cites a former public university system head who recommended that, in addition to the other goals the board may have identified, they include the following criteria for evaluating executive performance:

- Political insight and effectiveness;
- A positive relationship with campus heads;
- Strategy setting and positive relationships with the board;

---

<sup>19</sup> MacTaggart, 2020, Chapter 2, Section 4, pars. 5-7.

<sup>20</sup> MacTaggart, 2020, Chapter 2, Section 4, para. 6.

<sup>21</sup> MacTaggart, 2020, Chapter 2, Section 4, para. 6.

<sup>22</sup> MacTaggart, 2020, Chapter 4.

<sup>23</sup> MacTaggart, 2020, Chapter 1, Section 6, para. 8.



- Advocacy with the governor, legislature, and regulatory agencies; and
- The mental toughness essential to getting things done in the system.”<sup>24</sup>

## **Presidential Performance Assessment in Other States**

A review of performance assessment policies in other states shows that boards use a variety of approaches to assess the chief executives of the university system and institutions. Assessment processes often vary depending on the institution’s reporting structure, specifically in determining who leads the assessment process. Assessment criteria also vary between institutions and from year to year to reflect the specific strategic priorities identified in the goal-setting process of an institution or system. A review of nine university system policies reveals that the systems adopted approaches reflecting several of the methods described in this review. Some examples include:

- The University of California System, the University System of Maryland, the University of North Carolina System, the University of Texas System, Minnesota State System, and the Pennsylvania State System of Higher Education policies establish specific board responsibilities for assessing the performance of the system chief executive. Several of these policies also specifically delegate authority to the system head to conduct assessments of the institutional heads.
- The University of California System, California State University System, the University of Maine System, the University of North Carolina System, the Pennsylvania State System of Higher Education, and the University of Texas System policies all provide for periodic comprehensive assessments as part of their presidential performance assessment process.
- The University of California System, California State University System policies incorporate specific criteria for assessing a president’s performance.
- The University System of Georgia, the University of Maine System, the University System of Maryland, and Minnesota State University System performance assessment policies are linked to decisions related to compensation.
- California State University System and the University of Texas System policies include provisions describing evaluation procedures for new system presidents.
- Annual goal setting is an important part of the assessment process used to establish criteria for the next annual assessment. The University of California System’s policy includes a requirement that goals and objectives be established as part of the performance assessment process. Although an individual institution that was not included in this review of system policies, the Office of the President at Northern Illinois University’s website illustrates one

---

<sup>24</sup> MacTaggart, 2020, Chapter 1, Section 6, para. 9.

example of how mutually agreed upon goals and objectives can be developed and presented.  
25

Attachment 7 summarizes performance assessment processes from nine university systems. Examples of two system performance assessment policies are included in Attachment 8-9.

## Topics for Consideration

The comprehensive “Chancellor Performance Guidelines,” which were sent with the UW System’s 2018-19 performance assessment instructions to UW Chancellors, largely reflect generally accepted presidential performance assessment practices. The guidelines require each Chancellor to prepare a self-assessment. The guidelines include an optional fifth-year process, like a comprehensive assessment, that would allow for broader stakeholder feedback on the Chancellor’s performance. The guidelines identified leadership traits, key performance metrics and criteria related to talent management and leadership competencies. They provide a separate process for establishing goals for new presidents. Finally, they established an overall process for conducting the assessment process. The following are a few additional issues that could be considered for revising the UW System’s performance assessment process:

1. Ensure that a full range of leadership traits, as they relate to strategic priorities, are considered each year. The UW System self-assessment guidelines suggest that each chancellor should provide examples of how they have met one or more leadership competencies identified in the guidelines. The guidelines could consider methods to review a fuller range of traits. They could also frame the discussion of leadership traits so as not only to demonstrate past performance in those skills but how those accomplishments may help meet unexpected future challenges and opportunities.
2. Ensure appropriate metrics are used in the assessment process to illustrate strategically important issues and trends, continuing to utilize the Office of Policy Analysis and Research to provide data to consistently measures key goals across institutions. The instructions could direct Chancellors to discuss specific trends and metrics that are relevant to system goals. A narrative and appropriate comparisons analyzing the most significant trends demonstrated by metrics could put the data in context and improve their usefulness.
3. Consider replacing the optional five-year review with a Comprehensive 360 Assessment. UW System guidelines describe procedures for an optional five-year review that would provide each chancellor with feedback from selected stakeholders. However, collecting stakeholder information is a challenging proposition. Comprehensive assessments are typically facilitated by a consultant to ensure that useful information is collected and that appropriate methods are used to collect and analyze the information. A consultant can also ensure that the process and conclusions remain objective.

---

<sup>25</sup> See: <https://www.niu.edu/president/priorities/index.shtml>

4. Consider adopting a formal process for selecting system-level annual goals. Annual goals should directly relate to strategic institutional and system issues. Goals should be developed after proper consultation and agreement with the Board or, for UW Chancellors, with the UW System President.
5. The guidelines state that the UW System President will discuss the annual performance of UW Chancellors with the Board of Regents in closed session. Efforts should be made to ensure the information provided is meaningful to the Board's efforts to understand each UW Chancellors' performance and institution. The specific goals of the discussion and the type of information to be shared could be determined after consultation with the Board.
6. Consistent with practices in other university systems, consider establishing an assessment committee or, alternatively, assigning assessment oversight responsibilities to an existing board committee or to a new committee created to oversee broader personnel and compensation issues.
7. Establish a formal Board of Regent policy to guide the performance assessment process. Currently, the procedures for assessing the performance of a UW Chancellor are included in system guidelines provided to UW Chancellors as part of the assessment process, with a comprehensive description of the process outlined most recently in the 2018-19 guidelines. The guidelines do not describe procedures for assessing the performance of the UW System President.

Most university systems have established a formal governing board or system policy to guide the process for assessing the performance of both the university system and institutional heads. A formal Board of Regents policy would provide the Board of Regents with an opportunity to ensure the process aligns with their expectations. Procedures could identify the roles and responsibilities of the Board in evaluating the UW System President and UW Chancellors.

## Bibliography

- American Association of State Colleges and Universities. (2016). *Competencies for State College and University Presidents*. Washington, D.C.: American Association of State Colleges and Universities. Retrieved March 29, 2022, from <https://www.aascu.org/publications/CompetenciesforSCUPresidents.pdf>
- American Council of Trustees and Alumni. (2016). *Assessing the President's Performance: A "How To" Guide for Trustees*. Washington, D.C.: American Council of Trustees and Alumni, Institute for Effective Governance. Retrieved from [https://www.goacta.org/wp-content/uploads/ee/download/assessing\\_the\\_presidents\\_performance.pdf](https://www.goacta.org/wp-content/uploads/ee/download/assessing_the_presidents_performance.pdf)
- Isaac, K. D. (2021, July 30). Doing DEI Better. *Inside Higher Ed*. Retrieved March 30, 2022, Retrieved from <https://www.insidehighered.com/advice/2021/07/30/three-steps-institutions-must-take-successful-diversity-equity-and-inclusion>
- MacTaggart, T. (2020). *Assessing and Developing College and University Presidents: An Enterprise Leadership Approach*. Washington DC: Association of Governing Boards of Universities and Colleges. Kindle

## RELATED REGENT POLICY DOCUMENTS AND RELEVANT STATUTES

- Section 36.09(1)(e), Wis. Stats., “Responsibilities.”
- Regent Policy Document 6-4, “Selection Process for System President, Chancellors, Vice Chancellors and UW System Senior Leadership Positions.”
- Regent Policy Document 6-5, “Executive Salary Structure.”

## ATTACHMENTS

### A. UW System Performance Assessment Process

**Attachment 1:** 2019 University of Wisconsin System Chancellor Performance Evaluation Guidelines

**Attachment 2:** 2020 University of Wisconsin System Chancellor Performance Evaluation Guidelines

**Attachment 3:** Example of Chancellor Evaluation Metrics: University of Wisconsin System Accountability Measures

### B. Examples of Standardized Performance Assessment Forms

**Attachment 4:** University of California Performance Management for Senior Administrators

**Attachment 5:** Louisiana State University Annual Appraisal Form of the President’s Performance and Effectiveness

**Attachment 6:** Presidential Performance Evaluation (President/Individual Trustee Report) Cowley College

### C. Presidential Performance Assessment in Other States

**Attachment 7:** Summary of University System Governing Board Policies to Presidential Assessments

**Attachment 8:** The California State University Policies and Procedures for Review of Presidents

**Attachment 9:** Pennsylvania State System of Higher Education Board of Governors Policy 2013-02: *Evaluating the Chancellor* and 2002-03-A: *Evaluating Presidents*

## ATTACHMENT 1



### University of Wisconsin System Chancellor Performance Management Summary

---

Chancellor Name	Performance Review Period
[Name]	July 1, 2018 – June 30, 2019
<b>Campus:</b> University of Wisconsin – [Institution name here]	

Please provide the information requested. (You may provide supplemental information should you wish to do so).

1. **Goals.** List your goals for the current year.
2. **Self-Assessment.** Evaluate your performance with respect to accomplishing the goals listed above.
3. **Review and comment on Key Performance Metrics** (Quantitative data – Section 5.1, and provide the talent management narrative described in 5.1.2(b).)
4. **Leadership Competencies.** Provide an example(s) of how you have met one or more of these competencies (Qualitative data – Section 5.2)
5. **Barriers and/or challenges.** What, if any, barriers or challenges did you encounter in accomplishing your goal(s).
6. **How might I be more helpful** or mitigate and/or eliminate barriers you face or have faced?
7. **List your goals** for the next review period.

## **ATTACHMENT 1**

### **University of Wisconsin System Chancellor Performance Management Guidelines**

#### **1.0 PREAMBLE**

The Chancellor Performance Management process is intended to be an on-going professional development process that enhances effectiveness and fosters the success of executive leaders of UW institutions. The process begins with the new chancellor orientation/onboarding with goal-setting and continuous feedback and culminates with an annual Chancellor Performance Review.

The Chancellor Performance Review is an essential aspect of the performance management process established by the UW System President to establish leadership competencies and ensure the success of Chancellors in areas under their purview. The performance review is a communication mechanism between the President and each Chancellor to support professional development and ensure continuous improvement of individual and institutional performance.

#### **2.0 RATIONALE**

The Chancellor Performance Management process is intended to achieve the following:

- (a) Meet State and UW System requirements and expectations for review of the performance of Chancellors.
- (b) Provide a process for continuous communication of performance expectations and formal and informal feedback on progress toward meeting shared goals.
- (c) Establish a shared understanding of performance goals and expectations to ensure success for new and continuing Chancellors.
- (d) Provide recognition, direction, and feedback on overall performance expectations, special projects, and specific goals.
- (e) Establish the basis for possible annual merit/market salary increases.
- (f) Establish a mechanism for reciprocal feedback between the Chancellor and the President on each other's performance.
- (g) Address the need and/or interest in learning and professional development.
- (h) Achieve understanding of any differences and proactively resolve them if possible.
- (i) Assessment of leadership competence at the Chancellor level and throughout their institutions in assuming additional responsibility for initiatives of and compliance with Regent, state, and federal requirements.

#### **3.0 CHANCELLOR PERFORMANCE REVIEW PERIOD**

July 1 – June 30 (Fiscal Year)

## ATTACHMENT 1

### 4.0 OVERVIEW OF REVIEW PROCESS

The following outlines the process of Chancellor Performance Reviews in effect for the 2018-19 review period.

#### 4.1 First Year Chancellors

- (a) *Orientation and Goal-Setting.* During the first year of employment, the Chancellor will meet with the System President as part of an orientation process that will also involve other UW System officers for specific topics. Following, or as part of the initial orientation meeting, goals will be established for the first year. These goals will be the basis for the review during the spring when reviews take place for all Chancellors.
- (b) *Mid-Cycle Review.* Six months into the first year, a meeting will be scheduled with the new Chancellor and System President to assess progress toward goals and for a dialogue on how the first year is progressing. This may be by teleconference or face-to-face following an Administrative Staff Meeting.
- (c) *End of First Year.* At the end of the first year, a more focused face-to-face assessment will take place between the Chancellor and System President providing an opportunity for discussion of the first year. Typically this will be part of the performance management process in the spring.

#### 4.2 All Chancellors

- (a) *Performance Pre-Review.* The UW System President initiates the annual performance review process by writing to each Chancellor sixty days before the end of the review period. The President identifies areas to be addressed in a written response, and the Chancellor's written response becomes the basis for a face-to-face review session between the President and the Chancellor. Typical areas covered in the review are institutional quantitative metrics; qualitative measures and an assessment of progress toward goals established during the end of the preceding cycle.
- (b) *Performance Review and Discussion.* The President and the Chancellor meet for a face-to-face review. The President prepares a written assessment of the Chancellor's performance, documents mutually agreed-upon goals and establishes a development plan for the next performance review cycle.
- (c) *Stakeholder Feedback – Fifth Year. [Optional]* The stakeholder feedback is a review process designed to provide the opportunity for the Chancellor being reviewed to obtain feedback from selected stakeholders on leadership, performance and areas of professional development. This step is at the discretion of the president and chancellor.
- (d) *Final Steps.* The President discusses the annual performance review with the Board of Regents in closed session. Following the discussion with the Board of Regents, the President prepares a written summary of the performance review.

## ATTACHMENT 1

The president's summary is shared with the Chancellor in draft form before being filed for future reference and as the basis for the following year's performance review. The written summary of the chancellor's performance review and the stakeholder feedback are considered to be a public record under Wisconsin law, and must be released upon request.

### 5.0 PERFORMANCE REVIEW CONTENT

Chancellors shall be reviewed based on leadership competencies and performance in key areas to include management of the academic enterprise, talent development and leadership.

#### 5.1 Key Performance Metrics

**5.1.1 Management of the Academic Enterprise** - the effective management and deployment of institutional resources in key areas: financial management, administrative management, educational performance, research and economic development and fundraising. Where indicated, the Office of Policy Analysis (OPAR) will provide metrics directly to the President prior to meeting with Chancellor.

- (a) Financial Management – [5-year trend, OPAR]
  - Composite Financial Index (CFI)
  - Education and related spending per degree
  - Tuition fund balances
  - Tuition margin ratio
- (b) Administrative Management – [5-year trend, OPAR]
  - Administrative expenditures as a percentage of overall expenditures
  - Average credits attempted by bachelor's degree recipients (Any UW; Same UW)
  - Tuition and fees as a percentage of median family income
- (c) Educational Performance – [5-year trend, OPAR]
  - Graduation rates: 4-Year; 6-Year totals
  - Retention rate: 1-Year
  - Equity gap: Graduation and
  - Degrees conferred: Undergraduates; all levels total
- (d) Research and Economic Development – [5-year trend, OPAR]
  - Research; public service
  - Degrees in STEM and Health
- (e) Fundraising –Private funding received during performance review period. **Chancellor provides.**



## **ATTACHMENT 1**

### **5.1.2. Talent Management/Development**

- (a) Workforce Diversity Profile — [5-year trend, OPAR]
- (b) **Chancellor provides** evidence (narrative) of one or more of the following:
  - 1) Attracting and retaining high quality talent.
  - 2) Promoting employee professional development.
  - 3) Celebrating outstanding performance.

### **5.2 Leadership Competencies**

#### **5.2.1 Chancellor provides** evidence (narrative) of one or more of the following:

- (a) Promoting the UW System.
- (b) Establishing a shared vision and focus.
- (c) Working collaboratively and fostering an environment of trust.
- (d) Fostering a culture of diversity, equity and inclusion.
- (e) Fostering a climate of ethical leadership and accountability.
- (f) Fostering an environment that stimulates teaching, learning and scholarship.
- (g) Effective execution of mission through programs, plans and resources.
- (h) Promoting and cultivating internal/external relationships.
- (i) Working collaboratively with shared governance entities.
- (j) Effective communication skills and managing conflict in a constructive respectful manner.

## ATTACHMENT 2



### University of Wisconsin System Chancellor Performance Evaluation Summary

---

**Please provide a response to the following 7 items in a separate document of 5-6 pages total.**

- 1. Status of 2018-19 Goals.** Briefly evaluate your progress to the goals you noted in your 2018-19 evaluation. *For newer chancellors, refer to the goals you established upon starting in your position.*
- 2. Current/Future Goals.** Summarize your top 3 goals at present through the year ahead (goals may be same as above).
- 3. Challenges.** Summarize the top 3 barriers or challenges to accomplishing your goals.
- 4. Review and comment on Key Performance Metrics.** From among the Accountability Measures and Employee and Student Diversity data provided to you, select and briefly comment on any of 2-4 categories (e.g. "Educational Performance", "Student Diversity") and/or sub-categories (e.g. "6-year Graduation Rate", "Composite Financial Index"), with a focus on metrics of unique strength or challenge for your institution.
- 5. Leadership Competencies.** Among the following, select and briefly comment on how you have met any of 2-4 of these competencies:
  - a. *Promoting the UW System.*
  - b. *Establishing a shared vision and focus.*
  - c. *Working collaboratively and fostering an environment of trust.*
  - d. *Fostering a culture of diversity, equity, and inclusion.*
  - e. *Fostering a climate of ethical leadership and accountability.*
  - f. *Fostering an environment that stimulates teaching, learning and scholarship.*
  - g. *Effective execution of mission through programs, plans and resources.*
  - h. *Promoting and cultivating internal/external relationships.*
  - i. *Working collaboratively with shared governance entities.*
  - j. *Effective communication skills and managing conflict in a constructive, respectful manner.*
- 6. Fundraising.** Provide a summary of fundraising goals and results from the performance period.
- 7. UW System President Support.** Describe how the President might better assist you in mitigating or eliminating existing barriers and challenges.

## ATTACHMENT 2



# University of Wisconsin System Chancellor Performance Evaluation Guidelines

## PURPOSE

The Chancellor Performance Management process is intended to achieve the following:

- Meet State and UW System expectations for review of the performance of chancellors.
- Provide a process for continuous communication of performance expectations and formal and informal feedback on progress toward meeting shared goals.
- Provide recognition, direction, and feedback on overall performance expectations, special projects, and specific goals.
- Establish the basis for possible annual merit/market salary increases.
- Establish a mechanism for reciprocal feedback between the chancellor and the President on each other's performance.

## CHANCELLOR PERFORMANCE REVIEW PERIOD

July 1, 2019 – December 31, 2020. Data on Key Performance Metrics is provided through FY19, the most recent finalized data available on the public, statutorily-required [UW System Accountability Report](#).

## OVERVIEW OF REVIEW PROCESS

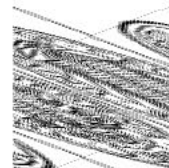
*Performance Pre-Review.* The UW System President initiates the annual performance review process by writing to each Chancellor and identifying areas to be addressed in a written response. The Chancellor's written response is sent in advance of a review session, and serves as the basis for discussion between the President and the Chancellor.

*Performance Review and Discussion.* The President and the Chancellor meet for a review. The President assesses the Chancellor's performance and goals for the next performance review cycle.

*Final Steps.* The President discusses the annual performance review with the Board of Regents in closed session. Following the discussion with the Board of Regents, the President provides the Chancellor with a summary of the performance review. Any written summary of the chancellor's performance review is considered to be a public record under Wisconsin law, and must be released upon request.

## PERFORMANCE REVIEW CONTENT

Chancellors will be reviewed based on leadership competencies and performance in key areas to include management of the academic enterprise and talent development/management.



**Attachment 4**  
**University of California**  
**Performance Management for Senior Administrators**

<b>Employee's Name:</b>		<b>Employee's Office:</b>	
<b>Performance Year:</b>		<b>Time in Position:</b>	

- 1. SELF-ASSESSMENT OF TOP GOALS AND ACCOMPLISHMENT:** Each employee will prepare a self-assessment regarding the top value-added accomplishments and contributions over this review period (e.g., goals accomplished, problems solved, value added program changes), attaching it to this evaluation.
- 2. LEADERSHIP COMPETENCY AND ACHIEVEMENT:** Assess the employee's accomplishments and contributions as they relate to the following competencies. Please use the section at the end of this form, *Manager's Comments on Performance*, to provide clarifying remarks, areas in need of improvement, or to highlight particular accomplishments or strengths.

<p><b>1. Vision:</b> Takes a long-term view and builds a shared vision with others that is understood at all levels of the organization; acts as a catalyst for organizational change. Influences others to translate vision into action.</p> <div><input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Above Expectations Performance <input type="checkbox"/> Satisfactory Performance</div> <div><input type="checkbox"/> Improvement Needed Performance <input type="checkbox"/> Unsatisfactory Performance</div>
<p><b>2. Leadership:</b> Demonstrates the ability to bring new strategic concepts to the organization. Anticipates issues affecting the enterprise and comes forward with workable solutions. Able to organize and motivate people to achieve stated goals. Encourages collaboration among staff across divisional boundaries and discourages working in silos. Exercises, if appropriate, intersegmental and national higher education leadership.</p> <div><input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Above Expectations Performance <input type="checkbox"/> Satisfactory Performance</div> <div><input type="checkbox"/> Improvement Needed Performance <input type="checkbox"/> Unsatisfactory Performance</div>
<p><b>3. Accountability and Governance:</b> Develops goals and objectives that support the strategic objectives of the organization, both locally and systemwide. These goals and objectives will include compliance with applicable regulatory and university requirements. Adheres to University principles of transparency and openness in working with all constituents.</p> <div><input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Above Expectations Performance <input type="checkbox"/> Satisfactory Performance</div> <div><input type="checkbox"/> Improvement Needed Performance <input type="checkbox"/> Unsatisfactory Performance</div>
<p><b>4. People Management:</b> Sets clear expectations and high standards for work team. Provides environment and opportunities for individual growth and career development. Provides clear, specific and timely performance feedback; recruits, mentors and retains talented managers and employees; provides effective coaching, delegates effectively and rewards superior performance.</p> <div><input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Above Expectations Performance <input type="checkbox"/> Satisfactory Performance</div> <div><input type="checkbox"/> Improvement Needed Performance <input type="checkbox"/> Unsatisfactory Performance</div>





**University of California**  
**Performance Management for Senior Administrators**

<b>Employee's Name:</b>		<b>Employee's Office:</b>	
<b>Performance Year:</b>		<b>Time in Position:</b>	

- |  |  |
|--|--|
| <p><b>5. Creativity and Innovation:</b> Develops and encourages creative and innovative approaches to addressing issues and challenges. Offers a variety of alternatives and approaches to solving problems. Receptive to change.</p> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Exceptional Performance<br/><input type="checkbox"/> Above Expectations Performance<br/><input type="checkbox"/> Satisfactory Performance</div><div><input type="checkbox"/> Improvement Needed Performance<br/><input type="checkbox"/> Unsatisfactory Performance</div></div>  |  |
| <p><b>6. Interpersonal and Communication Skills:</b> Demonstrates proficient written and verbal communication/presentation skills, including the ability to present complex ideas and issues in a clear, concise manner both internally and, if necessary, externally. Willing to accept and consider differing viewpoints and constructive feedback.</p> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Exceptional Performance<br/><input type="checkbox"/> Above Expectations Performance<br/><input type="checkbox"/> Satisfactory Performance</div><div><input type="checkbox"/> Improvement Needed Performance<br/><input type="checkbox"/> Unsatisfactory Performance</div></div>  |  |
| <p><b>7. Work Productivity and Quality:</b> Proactive and consistently achieves high levels of productivity and quality in work products. Meets deadlines and operates efficiently and within the University's policies and procedures. Seeks to determine whether programs and activities add value to the University and the campuses. Works collaboratively and effectively with campus leadership and representatives from other segments.</p> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Exceptional Performance<br/><input type="checkbox"/> Above Expectations Performance<br/><input type="checkbox"/> Satisfactory Performance</div><div><input type="checkbox"/> Improvement Needed Performance<br/><input type="checkbox"/> Unsatisfactory Performance</div></div>   |  |
| <p><b>8. Diversity:</b> Demonstrates an active and engaged commitment to diversity. Works to establish a climate that welcomes and promotes respect for diversity of race, color, national origin, religion, sex, gender identity, pregnancy, physical or mental disability, medical condition, ancestry, marital status, age, sexual orientation, citizenship, or status as a covered veteran in the University. Ensures diverse representation on search committees, supplemental outreach efforts, etc. Promotes equity in advancements by describing review process for new staff and administrators, encouraging participation in career advising or mentoring programs, etc.</p> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Exceptional Performance<br/><input type="checkbox"/> Above Expectations Performance<br/><input type="checkbox"/> Satisfactory Performance</div><div><input type="checkbox"/> Improvement Needed Performance<br/><input type="checkbox"/> Unsatisfactory Performance</div></div> |  |
| <p><b>9. Principles of Community:</b> Fosters a positive working and learning environment, by maintaining a climate of fairness, cooperation, civility and professionalism. Practices and integrates these basic principles in all interactions.</p> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Exceptional Performance<br/><input type="checkbox"/> Above Expectations Performance<br/><input type="checkbox"/> Satisfactory Performance</div><div><input type="checkbox"/> Improvement Needed Performance<br/><input type="checkbox"/> Unsatisfactory Performance</div></div>   |  |



**University of California**  
**Performance Management for Senior Administrators**

<b>Employee's Name:</b>		<b>Employee's Office:</b>	
<b>Performance Year:</b>		<b>Time in Position:</b>	

**10. Resource Management and Financial Budget:** Develops strategic goals and objectives to achieve accountability and efficient stewardship of University resources (operational, financial, and human), in a manner consistent with systemwide objectives and initiatives.

- |   |   |
|---|---|
| <input type="checkbox"/> Exceptional Performance        | <input type="checkbox"/> Improvement Needed Performance |
| <input type="checkbox"/> Above Expectations Performance | <input type="checkbox"/> Unsatisfactory Performance     |
| <input type="checkbox"/> Satisfactory Performance       |   |

**11. Client Service:** Understands that UC is a large, complex organization with many internal and external clients. Carries out UC's organizational philosophy to provide the best possible services in support of its mission: teaching, research and public service. Determines whether a program or activity impedes or advances the University's goals.

- |   |   |
|---|---|
| <input type="checkbox"/> Exceptional Performance        | <input type="checkbox"/> Improvement Needed Performance |
| <input type="checkbox"/> Above Expectations Performance | <input type="checkbox"/> Unsatisfactory Performance     |
| <input type="checkbox"/> Satisfactory Performance       |   |

**12. Health and Safety:** Understands that safety and environmental issues are essential elements of ensuring the continued success of UC and its employees. Maintains a safe, healthy and environmentally sound workplace.

- |   |   |
|---|---|
| <input type="checkbox"/> Exceptional Performance        | <input type="checkbox"/> Improvement Needed Performance |
| <input type="checkbox"/> Above Expectations Performance | <input type="checkbox"/> Unsatisfactory Performance     |
| <input type="checkbox"/> Satisfactory Performance       |   |



**University of California**  
**Performance Management for Senior Administrators**

Employee's Name:		Employee's Office:	
Performance Year:		Time in Position:	

3. **MANAGER'S COMMENTS ON PERFORMANCE:** Please provide comments on accomplishments and areas of improvement:

Manager's Comments:

**Overall Appraisal Rating:**

- ☐ **Exceptional Performance** - is significant overachievement of expectations.
- ☐ **Above Expectations Performance** - is often beyond expectations.
- ☐ **Satisfactory Performance** - consistently fulfills expectations.
- ☐ **Improvement Needed Performance** - is inconsistent performance, with expectations only partially achieved. Deficiencies should be addressed in the performance appraisal.
- ☐ **Unsatisfactory Performance** - is the failure to achieve the majority of expectations. Deficiencies should be specifically addressed in the performance appraisal.

**Reviewer:**

**Employee:**

\_\_\_\_\_  
Name and Date

\_\_\_\_\_  
Name and Date

## ATTACHMENT 5

### ANNUAL APPRAISAL FORM OF THE PRESIDENT'S PERFORMANCE AND EFFECTIVENESS LOUISIANA STATE UNIVERSITY

#### LEADERSHIP ABILITY

	Poor	Fair	Good	Excellent	Not Observed
Provides leadership in developing, communicating, and implementing.	1	2	3	4	N
Inspires others to do their best.	1	2	3	4	N
Delegates authority and responsibilities appropriately.	1	2	3	4	N
Builds teamwork among colleagues and subordinates.	1	2	3	4	N
Provides sound fiscal management.	1	2	3	4	N
Keeps current regarding trends and issues in higher education.	1	2	3	4	N
Contributes to developing and enhancing the academic quality of the university.	1	2	3	4	N

ADDITIONAL COMMENTS

#### DECISION MAKING AND PROBLEM SOLVING

	Poor	Fair	Good	Excellent	Not Observed
Consults with appropriate individuals before making decisions.	1	2	3	4	N
Gathers information needed for sound decision making.	1	2	3	4	N
Considers alternative solutions to problems before making a decision.	1	2	3	4	N
Makes sound decisions in a timely manner.	1	2	3	4	N

ADDITIONAL COMMENTS



## CONCERN FOR FACULTY AND STAFF

	Poor	Fair	Good	Excellent	Not Observed
Recognizes and awards accomplishments of outstanding faculty and staff.	1	2	3	4	N
Creates a climate of respect and high morale.	1	2	3	4	N
Facilitates employees' professional development.	1	2	3	4	N
Listens carefully and asks questions when needed.	1	2	3	4	N
Is accessible to faculty and staff.	1	2	3	4	N
Responds to issues of concern to faculty.	1	2	3	4	N

ADDITIONAL COMMENTS

## CONCERN FOR STUDENTS

	Poor	Fair	Good	Excellent	Not Observed
Communicates well with students.	1	2	3	4	N
Promotes an environment which nourishes individual student growth and achievement.	1	2	3	4	N
Assists faculty and staff in developing student leaders.	1	2	3	4	N
Puts students first and wants students to succeed.	1	2	3	4	N

ADDITIONAL COMMENTS

## MANAGEMENT

	Poor	Fair	Good	Excellent	Not Observed
Assigns work effectively and fairly.	1	2	3	4	N
Arranges/manages resources as to facilitate the accomplishment of work.	1	2	3	4	N
Sets priorities for action.	1	2	3	4	N
Communicates performance expectations clearly.	1	2	3	4	N
Provides feedback to subordinates.	1	2	3	4	N

Effectively recruits and selects appropriately qualified staff.	1	2	3	4	N
Provides for meaningful staff orientation and professional development.	1	2	3	4	N
Evaluates staff effectively and fairly.	1	2	3	4	N
Oversees legal affairs function.	1	2	3	4	N

**ADDITIONAL COMMENTS**

## EXTERNAL RELATIONS

	Poor	Fair	Good	Excellent	Not Observed
Portrays a progressive and professional image of the university.	1	2	3	4	N
Relates to and communicates with the external community.	1	2	3	4	N
Is accessible to and involved with the community.	1	2	3	4	N
Encourages partnerships with the community, business, industry, and other educational institutions.	1	2	3	4	N
Is politically astute.	1	2	3	4	N
Exhibits good media presence.	1	2	3	4	N

**ADDITIONAL COMMENTS**

## FISCAL LEADERSHIP

	Poor	Fair	Good	Excellent	Not Observed
Works to increase state appropriations for the university.	1	2	3	4	N
Works with businesses, corporations, and individuals to create new revenue sources	1	2	3	4	N
Works to increase funds generated by external grants and contracts.	1	2	3	4	N
Supports the development of ideas into fundable opportunities.	1	2	3	4	N

**ADDITIONAL COMMENTS**

## BOARD RELATIONS

	Poor	Fair	Good	Excellent	Not Observed
Keeps all of the Supervisors timely informed of pressing issues.	1	2	3	4	N
Keeps all of the Supervisors timely informed of future issues.	1	2	3	4	N
Maintains a good relationship with members of the Board of Supervisors.	1	2	3	4	N
Facilitates the proper relationship between the Board of Supervisors and the Administration.	1	2	3	4	N
Seeks guidance from the Board timely on important issues when necessary.	1	2	3	4	N

**ADDITIONAL COMMENTS**

## OVERALL PERFORMANCE AND EFFECTIVENESS

	Poor	Fair	Good	Excellent	Not Observed
Overall, rate the performance and effectiveness of the President.	1	2	3	4	N

**ADDITIONAL COMMENTS ON OVERALL PERFORMANCE**

## Presidential Performance Evaluation (President/Individual Trustee Report)

Name of President: \_\_\_\_\_

Board Chairperson: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_

How Used: President self-evaluates using this instrument and submits to Board of Trustees prior to Board evaluation. Board of Trustees collectively rate President's performance based on Board observation of President's performance. Review of completed evaluation conducted during executive session of Board's meeting in June.

Frequency of Evaluation: Annually

Disposition of Forms: **This document is confidential.** The President is given a copy of final evaluation, as well as a copy being retained by Board Chair

A. Checklist Rating.

Directions: Place an X in the column that best reflects your judgment on each of the following items. A comment is required for any *needs improvement* or *unsatisfactory* rating. Item #s refer to job description.

	Excellent (Exceeds Expectations) 4	Good (Meets Expectations) 3	Needs Improvement (Below Expectations) 2	Unsatisfactory 1	N/A (Insufficient information, no basis for judgment) 0	
						Comments:
<b>Board-President Relationship:</b> Provides the Board with adequate information and makes sound recommendations, properly performs duties of the board on its behalf, and implements Board policies. Maintains proper balance with respect to bringing policy matters to the Board and retaining administrative matters without Board involvement. Oversees preparation of all materials for Board meetings for sound policy decisions. #1, 2, 3, 13						
<b>Community Relations:</b> Is aware of community needs, promotes community involvement, and interacts with community people and organizations positively and effectively. Fosters a high level of credibility with all community stakeholders. #7, 9, 10, 13						

<div> <div>Excellent (Exceeds Expectations)</div> <div>Good (Meets Expectations)</div> <div>Needs Improvement (Below Expectations)</div> <div>Unsatisfactory</div> <div>N/A (Insufficient information, no basis for judgment)</div> <div>43210</div> <div>Comments:</div> </div>						
<b>Legislative Relations:</b> Represents the Board and provides leadership in informing and educating local legislators of issues of importance to the college. Participates in activities supporting these issues. Keeps the internal college community informed of legislative issues. Involves college staff, faculty, and students in legislative affairs when appropriate. Officially represents the college in contacts with local, state, and national governmental agencies. #6,10,11, 16						
<b>College Relations:</b> Maintains cordial and effective working relationships with local school districts and counterparts from other colleges and universities. Works well with the College Foundation and other direct support organizations of the college. Meets social obligations of the presidency, demonstrates ability to represent the college in public forums. Promotes partnerships with other govt, civic, business, and educational institutions. #7, 8, 10, 11, 13, 14, 16						
<b>Classified/Admin/Faculty Relationships:</b> Works effectively with staff to maintain and/or improve employee relations, keeps faculty and staff informed, and actively listens and responds to college matters and concerns. Has the confidence and respect of faculty and staff. #5, 6, 7, 9, 14, 16						

	<div> <div>Excellent (Exceeds Expectations)</div> <div>4</div> </div>	<div> <div>Good (Meets Expectations)</div> <div>3</div> </div>	<div> <div>Needs Improvement (Below Expectations)</div> <div>2</div> </div>	<div> <div>Unsatisfactory</div> <div>1</div> </div>	<div> <div>N/A (Insufficient information, no basis for judgment)</div> <div>0</div> </div>	Comments:
<b>Educational Program:</b> Identifies, understands, and implements the academic mission of the college. Engenders confidence as an educational leader, is up-to-date in curriculum and instructional trends and development, and effectively promotes general, transfer, and CTE education. Is responsive and innovative with respect to changes in the community and the delivery of educational services. #2,6, 7, 8, 12, 17						
<b>Leadership Skills:</b> Identifies and analyzes problems and issues confronting the college, makes sound decisions, and promotes an atmosphere which encourages growth. Demonstrates a leadership style that inspires others. #6, 7, 13, A, B						
<b>Fiscal Management:</b> Anticipates future needs for personnel, resources, and facilities; maintains necessary budget controls; operates the college in a fiscally prudent manner; and adheres to all applicable fiscal policies. #1, 4, 9, 12, 17						
<b>Job Knowledge and Performance:</b> Understands and performs job duties as defined by board policies and job description, and executes mission and goals of the college. Has clear knowledge and understanding of a comprehensive community college and communicates the same to others. #1, 2, 7, 9, 12, 17						

<div> <div> <div>Excellent (Exceeds Expectations)</div> <div>Good (Meets Expectations)</div> <div>Needs Improvement (Below Expectations)</div> <div>Unsatisfactory</div> <div>N/A (Insufficient information, no basis for judgment)</div> </div> <div> <div>4</div> <div>3</div> <div>2</div> <div>1</div> <div>0</div> </div> </div> <div>Comments:</div>						
<b>Institutional Commitment:</b> Goals are consistent with the college mission and strategic plan and acts in the best interest of the college. Demonstrates vision with respect to the future of the college. Promotes nondiscrimination and climate supporting diversity in all forms. #2, 7, 9, 14						
<b>Professional Development:</b> Includes own development needs in annual plan, knowledgeable about current trends for college presidents, participates in professional associations and activities, and engages in independent or formal study and/or research. #5, 6						
<b>Personal Qualities:</b> Recognizes problems, gathers and evaluates facts, and reaches sound conclusions. Maintains high standards of ethics, honesty, and integrity in all personal and professional matters. Communicates effectively and appropriately in dealing with all stakeholders. Devotes adequate time and energy to effectively complete job. #13, 15, 16, A, B, C, D, E, F, G						

B. Overall Summary of President’s Performance and Comments:

President’s Acknowledgement here removed.

President’s Comments:

I, \_\_\_\_\_ acknowledge receipt of the evaluation \_\_\_\_\_.  
(Printed Name of President) (Signature) (date)

Board Chair’s Signature: \_\_\_\_\_ Date: \_\_\_\_\_

The Cowley College Board of Trustees:

\_\_\_\_\_ Will allow automatic renewal of the President’s employment contract for an additional period of one year. (Requires >= 50% vote of the Board of Trustees.)

\_\_\_\_\_ Will give written notice of non-renewal of the President’s employment contract to the President by July 1, 20\_\_\_\_\_. (requires majority vote of the Board of Trustees.)



Presidential Performance Evaluation  
(Goal Setting Form)

The President and the Board of Trustees will share in goal setting. This form shall be due by September 1 preceding each evaluation in June of the next year.

Name of President: \_\_\_\_\_

Planning Period: \_\_\_\_\_

<u>Goal Type</u>	<u>Goal</u>	<u>Attainment Indicator</u>
<b>Performance Goals</b>	1.	
	2.	
	3.	
	4.	
<b>Professional Development Goals</b>	1.	

<u>Goal Type</u>	<u>Goal</u>	<u>Attainment Indicator</u>
Professional Development Goals, cont'd.	2. 2.	
	3.	
	4.	

Date of Planning Conference: \_\_\_\_\_

President's Signature: \_\_\_\_\_

Board Chair's Signature: \_\_\_\_\_

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Presidential Performance Evaluation (Final Composite Trustee Evaluation)

Name of President: \_\_\_\_\_

Board Chairperson: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_

How Used: President self-evaluates using this instrument and submits to Board of Trustees prior to Board evaluation. Board of Trustees collectively rate President's performance based on Board observation of President's performance. Review of completed evaluation conducted during executive session of Board's meeting in June.

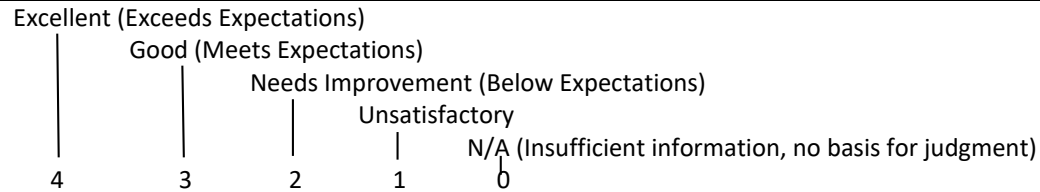
Frequency of Evaluation: Annually

Disposition of Forms: **This document is confidential.** The President is given a copy of final evaluation, as well as a copy being retained by Board Chair

A. Checklist Rating.

Directions: Place an X in the column that best reflects your judgment on each of the following items. A comment is required for any *needs improvement* or *unsatisfactory* rating. Item #s refer to job description.

	Excellent (Exceeds Expectations) 4	Good (Meets Expectations) 3	Needs Improvement (Below Expectations) 2	Unsatisfactory 1	N/A (Insufficient information, no basis for judgment) 0	
						Comments:
<b>Board-President Relationship:</b> Provides the Board with adequate information and makes sound recommendations, properly performs duties of the board on its behalf, and implements Board policies. Maintains proper balance with respect to bringing policy matters to the Board and retaining administrative matters without Board involvement. Oversees preparation of all materials for Board meetings for sound policy decisions. #1, 2, 3, 13	<i>Mean:</i>  <i>Median:</i>					
<b>Community Relations:</b> Is aware of community needs, promotes community involvement, and interacts with community people and organizations positively and effectively. Fosters a high level of credibility with all community stakeholders. #7, 9, 10, 13	<i>Mean:</i>  <i>Median:</i>					



Comments:

**Legislative Relations:** Represents the Board and provides leadership in informing and educating local legislators of issues of importance to the college. Participates in activities supporting these issues. Keeps the internal college community informed of legislative issues. Involves college staff, faculty, and students in legislative affairs when appropriate. Officially represents the college in contacts with local, state, and national governmental agencies.  
#6,10,11, 16

*Mean:*

*Median:*

**College Relations:** Maintains cordial and effective working relationships with local school districts and counterparts from other colleges and universities. Works well with the College Foundation and other direct support organizations of the college. Meets social obligations of the presidency, demonstrates ability to represent the college in public forums. Promotes partnerships with other govt, civic, business, and educational institutions.  
#7, 8, 10, 11, 13, 14, 16

*Mean:*

*Median:*

**Classified/Admin/Faculty Relationships:** Works effectively with staff to maintain and/or improve employee relations, keeps faculty and staff informed, and actively listens and responds to college matters and concerns. Has the confidence and respect of faculty and staff.  
#5, 6, 7, 9, 14, 16

*Mean:*

*Median:*

<div> <div> <div>Excellent (Exceeds Expectations)</div> <div>Good (Meets Expectations)</div> <div>Needs Improvement (Below Expectations)</div> <div>Unsatisfactory</div> <div>N/A (Insufficient information, no basis for judgment)</div> </div> <div> <div>4</div> <div>3</div> <div>2</div> <div>1</div> <div>0</div> </div> </div> <div>Comments:</div>		
<b>Educational Program:</b> Identifies, understands, and implements the academic mission of the college. Engenders confidence as an educational leader, is up-to-date in curriculum and instructional trends and development, and effectively promotes general, transfer, and CTE education. Is responsive and innovative with respect to changes in the community and the delivery of educational services. #2,6, 7, 8, 12, 17	<div>Mean:</div> <div>Median:</div>	
<b>Leadership Skills:</b> Identifies and analyzes problems and issues confronting the college, makes sound decisions, and promotes an atmosphere which encourages growth. Demonstrates a leadership style that inspires others. #6, 7, 13, A, B	<div>Mean:</div> <div>Median:</div>	
<b>Fiscal Management:</b> Anticipates future needs for personnel, resources, and facilities; maintains necessary budget controls; operates the college in a fiscally prudent manner; and adheres to all applicable fiscal policies. #1, 4, 9, 12, 17	<div>Mean:</div> <div>Median:</div>	
<b>Job Knowledge and Performance:</b> Understands and performs job duties as defined by board policies and job description, and executes mission and goals of the college. Has clear knowledge and understanding of a comprehensive community college and communicates the same to others. #1, 2, 7, 9, 12, 17	<div>Mean:</div> <div>Median:</div>	

<div> <div> <div>Excellent (Exceeds Expectations)</div> <div>Good (Meets Expectations)</div> <div>Needs Improvement (Below Expectations)</div> <div>Unsatisfactory</div> <div>N/A (Insufficient information, no basis for judgment)</div> </div> <div> <div>4</div> <div>3</div> <div>2</div> <div>1</div> <div>0</div> </div> </div> <div>Comments:</div>		
<b>Institutional Commitment:</b> Goals are consistent with the college mission and strategic plan and acts in the best interest of the college. Demonstrates vision with respect to the future of the college. Promotes nondiscrimination and climate supporting diversity in all forms. #2, 7, 9, 14	Mean:  Median:	
<b>Professional Development:</b> Includes own development needs in annual plan, knowledgeable about current trends for college presidents, participates in professional associations and activities, and engages in independent or formal study and/or research. #5, 6	Mean:  Median:	
<b>Personal Qualities:</b> Recognizes problems, gathers and evaluates facts, and reaches sound conclusions. Maintains high standards of ethics, honesty, and integrity in all personal and professional matters. Communicates effectively and appropriately in dealing with all stakeholders. Devotes adequate time and energy to effectively complete job. #13, 15, 16, A, B, C, D, E, F, G	Mean:  Median:	

B. Overall Summary of President's Performance and Comments:

---



---

President’s Acknowledgement here removed.

President’s Comments:

I, \_\_\_\_\_ acknowledge receipt of the evaluation \_\_\_\_\_.  
(Printed Name of President) (Signature) (date)

Board Chair’s Signature: \_\_\_\_\_ Date: \_\_\_\_\_

The Cowley College Board of Trustees:

- \_\_\_\_\_ Will allow automatic renewal of the President’s employment contract for an additional period of one year. (Requires >= 50% vote of the Board of Trustees.)
- \_\_\_\_\_ Will give written notice of non-renewal of the President’s employment contract to the President by July 1, 20\_\_\_\_\_. (requires majority vote of the Board of Trustees.)

## ATTACHMENT 7

## Summary of University System Governing Board Policies Related to Presidential Assessments

University System	System /Institution Assessment	Annual Review/ Assessment Criteria	Comprehensive Review
<p><b>University of California System</b></p> <p>Regents Policy 1500: Statement of Expectations of the President of the University  <a href="https://regents.universityofcalifornia.edu/governance/policies/1500.html">https://regents.universityofcalifornia.edu/governance/policies/1500.html</a></p> <p>Regent 7702 SMG Performance Management Review Process  <a href="https://regents.universityofcalifornia.edu/policies/7702.pdf">https://regents.universityofcalifornia.edu/policies/7702.pdf</a></p> <p>Performance Management of Senior Administrators form  <a href="https://regents.universityofcalifornia.edu/policies/smgperform.pdf">https://regents.universityofcalifornia.edu/policies/smgperform.pdf</a></p> <p>Regent Policy 7306: Policy on Performance of Officers  <a href="https://regents.universityofcalifornia.edu/governance/policies/7306.html">https://regents.universityofcalifornia.edu/governance/policies/7306.html</a></p>	<p>Policy 1500 delegates authority to the System President to Evaluate Chancellors (institutions).  Policy 7702 outlines management performance expectations for the President and Chancellor, along with other senior management.  Policy 7306 delegates authority to the System President to investigate matters regarding a Chancellors performance of duties.  A copy of the policy is included in the appendix.</p>	<p>Sections III. B, C, and D of Policy 7702 establishes processes and criteria for conducting an annual performance evaluation. The criteria include vision, leadership, people management, creativity and innovation, interpersonal and communication skills, work productivity and quality, resource management and financial budget, diversity, client service, health service, and principles of community. Assessments of senior managers who have dual reporting responsibilities are required to include a review of compliance with university policies.</p> <p>The policy incorporates an assessment form that outlines specific assessment criteria, including expectations related to diversity and equity.</p>	<p>Section III of Policy 7702 provides for a five-year leadership development assessment to provide broader perspective than is usual with an annual performance evaluation. This is viewed as a managerial coaching and development exercise rather than an evaluation of achievement toward specific goals. The format is to be developed by each campus/location.</p>



University System	System /Institution Assessment	Annual Review/ Assessment Criteria	Comprehensive Review
<p><b>California State University System</b> Policies and Procedures for Review of Presidents <a href="https://www.calstate.edu/csu-system/about-the-csu/leadership/presidents/Documents/csu-presidential-review-policy.pdf">https://www.calstate.edu/csu-system/about-the-csu/leadership/presidents/Documents/csu-presidential-review-policy.pdf</a></p> <p><a href="https://www.calstate.edu/csu-system/about-the-csu/leadership/presidents/Documents/csu-presidential-review-criteria.pdf">https://www.calstate.edu/csu-system/about-the-csu/leadership/presidents/Documents/csu-presidential-review-criteria.pdf</a></p>	<p>This policy applies to institutional heads (presidents) who report to institutional Board of Trustees.</p> <p>A copy of the policy is included in the appendix.</p>	<p>Each president has a review conference with the chancellor once a year, which focus on progress toward meeting campus missions and goals, program accomplishments, campus activities, problems and proposed solutions, the state of the campus. The chancellor may report results and findings to the Board of Trustees.</p> <p>The policy outlines specific criteria to be considered, including general administrative effectiveness, working relations with the system and campus, educational leadership, community relations, major achievements, and personal characteristics.</p> <p>New presidents meet with the chancellor during first year to discuss the president's assessment of the state of the campus and goals and objectives.</p>	<p>The policy provides for both a triennial and a six-year review. The triennial review involves the chancellor seeking additional advice and input from appropriate sources in the CSU community.</p> <p>The six-year review utilizes assessments made by an advisory committee composed of individuals from off-campus.</p> <p>Compensation decisions are made during the triennial and six-year review periods.</p>

University System	System /Institution Assessment	Annual Review/ Assessment Criteria	Comprehensive Review
<p><b>University System of Georgia</b>  <a href="https://www.usg.edu/regents/bylaws#heads_of_institutions_of_the_university_system">https://www.usg.edu/regents/bylaws#heads_of_institutions_of_the_university_system</a>  Performance Assessment of Presidents  <a href="https://www.usg.edu/policymanual/section2/C311">https://www.usg.edu/policymanual/section2/C311</a></p>	<p>Bylaws indicate that the Board is responsible for periodic evaluation of the Chancellor and that the Board shall issue an annual compensation letter.</p> <p>Policy 2.3 delegates the evaluation of University System of Georgia institution presidents to the chancellor.</p>	<p>Regent level policies do not define assessment criteria but say that evaluations shall be an ongoing process, which consists of open communication between the Chancellor and the President on individual and institutional goals and objectives and methods and processes used to achieve them. Evaluations are to be factored into the annual appointment renewal for each President.</p>	<p>Not described in Regent Policy</p>
<p><b>University of Maine System</b></p> <p>Section 203.1, Chancellor-Evaluation Process  <a href="https://www.maine.edu/board-of-trustees/policy-manual/section-203-1/">https://www.maine.edu/board-of-trustees/policy-manual/section-203-1/</a></p> <p>Section 204.1, President-Evaluation Process  <a href="https://www.maine.edu/board-of-trustees/policy-manual/section-204-1/">https://www.maine.edu/board-of-trustees/policy-manual/section-204-1/</a></p> <p><b>University of Maine System</b></p>	<p>The University of Maine Board of Trustees' established two separate evaluation policies with one for evaluating the chancellor (system head) and the second for evaluating presidents (institutional heads) within the system. The policies generally include similar requirements, with the chancellor's review conducted by the Board and the presidents' reviews conducted by the chancellor.</p>	<p>Requires the Board of Trustees to conduct an annual review of the chancellor (system head) and the chancellor to conduct an annual review of each president in May. The president is required to submit a self-assessment, together with a statement of proposed goals for the coming fiscal year, in March. The chancellor meets with the president summarizing the performance review. The chancellor will report to the board on the outcome Before extending the president's contract or recommending any adjustment in compensation.</p>	<p>For presidents, a comprehensive review is conducted In the third year of service and every four years thereafter. The chancellor confers with the president and selects an external reviewer to conduct the review. The reviewer works with the chancellor to establish the review process, develop criteria for assessing the president's performance and leadership, develop assessment tools, determine the parties to be consulted and identify all issues to be considered.</p> <p>At a minimum, the review is to include a self-assessment statement prepared by the</p>

University System	System /Institution Assessment	Annual Review/ Assessment Criteria	Comprehensive Review
(continued)		<p>For the chancellor, the Board Chair, the Vice Chair and the Chair of Human Resources and Labor Relations' committee establish a Review Group, chaired by the Board Chair. The Chancellor submits a self-assessment, together with a statement of proposed goals for the coming fiscal year, in March. These are distributed to all Board members along with a request for written input on the chancellor's performance. The Review Group meets with the chancellor and prepares a letter summarizing the findings. The review group reports back to the Board on the outcome of the review before any adjustments to the chancellor's compensation is made or his or her contract is extended.</p>	<p>President addressing criteria and interviews with or otherwise obtaining feedback from all board members, representatives of faculty, students, Board of Visitors and other parties to be determined. Final report is shared with the Board and will recommend any adjustment to compensation for upcoming year.</p> <p>Similarly, a comprehensive review is conducted of the chancellor in the third year of service and every four years thereafter. The process is generally the same as the comprehensive review process for presidents, except that it is overseen by the Board's Review Group.</p>
<p><b>University System of Maryland</b></p> <p>VII-5.00 Policy on Performance Evaluation of the Chancellor and the Institution Presidents of</p>	<p>Regent Bylaws require the Board of Regents to annually evaluate the Performance of the Chancellor of the USM.</p> <p>The Bylaws also delegate authority to evaluate the performance of</p>	<p>The Bylaws require the Board to establish a committee to conduct the Chancellor's evaluation and to report the results to the full Board.</p> <p>The Bylaws also require the Chancellor to report the results of</p>	None identified.

University System	System /Institution Assessment	Annual Review/ Assessment Criteria	Comprehensive Review
<p>the University System of Maryland  <a href="https://www.usmd.edu/regents/bylaws/SectionVII/VII500.pdf">https://www.usmd.edu/regents/bylaws/SectionVII/VII500.pdf</a></p>	<p>each institution's president to the Chancellor.</p>	<p>the evaluation of each president to the select committee of the Board of Regents along with any consequent recommendations regarding compensation.</p>	
<p><b>Minnesota State System</b>  1A.3, System Administration, Chancellor, Part 3, "Evaluation"  <a href="https://www.minnstate.edu/board/policy/1a03.html">https://www.minnstate.edu/board/policy/1a03.html</a></p>	<p>Board policies appear to only address the evaluation of the chancellor (system head).   A copy of the policy is included in the appendix.</p>	<p>Requires the chancellor to be evaluated by the board annually based on goals and objectives approved by the Chancellor Performance Review Committee. The Committee is appointed annually of four members including Board Chair and Vice Chair. The Committee:</p> <ul style="list-style-type: none"> <li>• Meets annually in October to codify mutually agreeable goals and objectives, methods for requesting information from other individuals, and timeline.</li> <li>• Reviews the chancellor's self-appraisal and meet with chancellor to at least annually to discuss performance and identify priorities for upcoming year.</li> <li>• Provides the chancellor with a written evaluation and upon completion of review, meet with the Board and the chancellor to report on the results.</li> <li>• Recommends to the Board action on merit salary increase</li> </ul>	<p>None identified.</p>

University System	System /Institution Assessment	Annual Review/ Assessment Criteria	Comprehensive Review
<b>Minnesota State System (Continued)</b>		or other terms of employment.	
<b>University of North Carolina</b>  <a href="https://www.northcarolina.edu/apps/policy/doc.php?id=66">https://www.northcarolina.edu/apps/policy/doc.php?id=66</a>	The Board of Governors' policy addresses both the president (system head) and chancellors' (institution heads) evaluations.	The policy requires the president to submit a self-assessment covering goals and accomplishments to the Board of Governors. An assessment committee consisting of the officers of the Board and the chairs of the Board's standing committees will review the report with the President and prepare a written response, which is placed in the president's personnel file. Similarly, each chancellor provides the president with a self-assessment, which is reviewed with the president. The results of the review are placed in the chancellor's file.	<p>The policy requires replacing the annual reviews for both the president and chancellors with a comprehensive assessment every fourth year. The comprehensive assessment for the president includes the Board of Governors, while the comprehensive assessment for chancellors includes the Board of Trustees. The policy requires the committee to retain an outside consultant for the presidential comprehensive review. It allows for retaining an outside consultant for a chancellor's comprehensive assessment. In both cases, the reviews seek input from major campus constituencies.</p> <p>In the second spring after the appointment of a chancellor and every four years thereafter, the Board of Trustees reviews the performance of the chancellor. An assessment committee of the Board will ask each trustee to fill out a questionnaire developed the</p>

University System	System /Institution Assessment	Annual Review/ Assessment Criteria	Comprehensive Review
<b>University of North Carolina (Continued)</b>			<p>President's office. The results are shared with the president and reviewed in a meeting with the chancellor, the chair of the Board and the President.</p>
<p><b>Pennsylvania State System of Higher Education Board of Governors</b></p> <p>Policy 2013-02: "Evaluating the Chancellor" <a href="https://www.passhe.edu/in side/policies/BOG_Policies/Policy%202013-02.pdf">https://www.passhe.edu/in side/policies/BOG_Policies/Policy%202013-02.pdf</a></p> <p>Policy 2002-03-A E, "Evaluating Presidents," <a href="https://www.passhe.edu/in side/policies/BOG_Policies/Policy%202002-03-A.pdf">https://www.passhe.edu/in side/policies/BOG_Policies/Policy%202002-03-A.pdf</a></p>	<p>The Board of Governors has two separate evaluation policies. One for evaluating the chancellor (system head) and one for evaluating presidents (institutional heads).</p> <p>A copy of the policies is included in the Appendix.</p>	<p>The Board's Chancellor Evaluation Committee evaluates the chancellor each year. Evaluation materials, including a chancellor's self-assessment, are submitted to the Executive Committee. The chancellor is required to identify individual and system performance goals with specific performance indicators at the beginning of each annual evaluation year.</p> <p>Presidents are evaluated by a committee of members appointed by the Chair of the Council of Trustees. The committee works in collaboration with the Office of the Chancellor to assess the President's performance of the defined duties and</p>	<p>The chancellor is also subjected to a triennial evaluation, which is also conducted by the Board's Chancellor Evaluation Committee and supported by an external consultant. The chancellor is required to identify individual and system performance goals with specific performance indicators at the beginning of each triennial evaluation year.</p> <p>Presidents are also subject to a triennial evaluation. The triennial evaluation is conducted by an evaluation committee. The chancellor, the president, and the Chair of the Council of Trustees identifies a consultant to assist the committee. The assessment will seek formal, systematic input from</p>

University System	System /Institution Assessment	Annual Review/ Assessment Criteria	Comprehensive Review
<b>PASSHE (Continued)</b>		responsibilities, progress toward meeting the goals and objectives that were agreed upon at the beginning of the evaluation period, consistent with university and System strategic directions, plans and goals. The President outlines individual and university performance goals with specific performance indicators at the beginning of each evaluation year. These indicators serve as a basis for the performance evaluation.	university constituencies as part of the review.
<b>University of Texas System</b>  Rule 20201: Presidents  <a href="https://www.utsystem.edu/board-of-regents/rules/20201-presidents">https://www.utsystem.edu/board-of-regents/rules/20201-presidents</a>	This policy applies to presidents (institutional heads).	Within 12 months of beginning service as president, the new president will provide the Board with a statement outlining a vision and plans for the future of the institution. The presentation may be deferred for six months, if deemed appropriate by the Chancellor and the appropriate Executive Vice Chancellor after consultation with the Chairman of the Board. Each president is required to have an annual performance evaluation, conducted by the Chancellor and the appropriate Executive Vice Chancellor, and presented to the Board for discussion.	Each president will receive a comprehensive performance review by the appropriate Executive Vice Chancellor, the Chancellor, and the Board at the conclusion of each five-year period, beginning after the first year of service as president. The review will include an interview with the Board in Executive Session during which the president will outline his or her renewed vision and plans for the future of the institution.

## ATTACHMENT 8

# THE CALIFORNIA STATE UNIVERSITY POLICIES AND PROCEDURES FOR REVIEW OF PRESIDENTS

### **I. Coverage:**

This document establishes policies and procedures for the review of presidents in the California State University.

### **II. Responsibilities:**

Decisions regarding appointment, salary, and continuity of presidents are made by the Board of Trustees upon recommendation of the chancellor.

### **III. Objectives:**

The objectives of the review are to provide the chancellor and the Board of Trustees with an understanding of the unique characteristics of the campus, a continuing assessment of campus operations and educational effectiveness, and an assessment of the leadership and management performances of the executive.

The review provides the presidents with an evolving understanding of their roles, their rights and their responsibilities; the plans, goals and expectations mutually agreed to by the president and the chancellor; and the criteria against which progress is measured. The review is also to provide an opportunity for open and frank discussions between the president and the chancellor of the conditions or state of the campus accomplishments, desirable courses of action, progress, and ideas for improvement or redirection of effort.

The review also provides the chancellor with information upon which to reassess CSU missions, goals, policies and the resources needed to facilitate and enhance campus activities.

### **IV. Procedures:**

#### **A. Frequency of Review**

1. The scheduling of reviews will be determined by the date of assumption of duties.
2. Newly Appointed Presidents:

Newly appointed presidents meet with the chancellor during the first year of service (preferably between the third and ninth month of the executive's incumbency). The president discusses his/her assessment of the state of the



campus, goals and objectives and possible plan(s) for their implementation. During this meeting the president makes an assessment of the needs of the campus and proposes goals and objectives and plans for action; after discussion with the chancellor an agreement is reached on needs and expectations.

One year later, there is a discussion between the president and the chancellor on progress, achievements, any changes in original plans or directions and general performance.

Approximately two years later, the president becomes part of the regular three-year review process.

### 3. Annual Conference:

Each president has a review conference with the chancellor once a year. These meetings focus on progress toward meeting campus missions and goals, program accomplishments, campus activities, problems and proposed solutions, the state of the campus and supplement the continuing interchanges about campus and system events between the president and the chancellor. The chancellor, following completion of an annual conference, may report results and findings to the Board of Trustees.

### 4. Triennial Review:

At the outset of the third academic year of the president's tenure, and every three years thereafter, the chancellor will conduct a review based upon the information collected pursuant to B.1. below which will be discussed with the president concerned in the annual conference (A.3. above). The chancellor, following completion of the triennial review, will report results and findings to the Board of Trustees. The chancellor will distribute to the board a summary document which also defines goals and criteria for subsequent reviews.

Depending on the circumstances, the board or the chancellor, with the concurrence of the board, may initiate a brief meeting of the board with the president in conjunction with the review.

### 5. Six-Year Review

A regular review of the campus and the stewardship of the president, involving an off-campus committee, occurs approximately every six years.

The chancellor, the board, or the president may request accelerated reviews.

## B. Background Information and Its Collection

### 1. Triennial Review:

The triennial review is based on information about activities of the campus collected by the chancellor in whatever manner is deemed appropriate. The president being reviewed presents information about the progress being made and the state of the campus.

The chancellor will request factual information from appropriate sources in the CSU community including, but not limited to, the ongoing leadership of the local academic senate, the student association, the alumni organization and the appropriate community-based advisory group. The chancellor will also request information from other faculty of distinction, alumni or community individuals, campus administrators, and Chancellor's Office personnel. The chancellor may utilize information gained from such sources as everyday working relations with the president, and internal and external reports on programs, operations and achievements.

The chancellor will issue an "open letter" to the affected campus to inform of the routine review, the time frame, the criteria, and the methodology. The letter will also give direction to anyone who is not contacted either randomly or by virtue of office held but feels compelled to participate. Petitions and unsigned letters will continue to be disregarded.

After the Board of Trustees has received and discussed a triennial review, the chancellor will prepare a brief report to the campus community that brings conclusion to the review and informs the campus community of the major findings and the goals for the president and the campus for the next period.

The chancellor and the president have the option to augment the triennial review framework when deemed beneficial for the president, the campus, or both. Aspects of the six-year review methodology or other models may be appropriate.

### Confidentiality:

Confidentiality will be preserved in obtaining information and in preparing the report.

### 2. Six-Year Review:

The six-year review will utilize assessments made by an advisory committee composed of individuals from off-campus. The chancellor, in consultation with the president, will appoint three persons to an advisory committee, two of whom may be from outside the CSU. The chair of the Board of Trustees will appoint a fourth member from the current membership of the board to the advisory committee.

When assessing a campus, the advisory committee utilizes information obtained from visits to the campus, review of written reports and interviews with members of the campus community, the community at large and appropriate CSU personnel. The advisory committee's assessment is directed toward the review of campus operations and the president's stewardship. The review shall be in the same academic year as the WASC review, whenever possible.

#### Questionnaires:

Questionnaires or other survey instruments will not be used.

#### Report of the Advisory Committee:

The advisory committee makes a confidential written report of its findings to the chancellor. Prior to submitting its final report to the chancellor, the committee furnishes a draft copy of its findings to the president of the campus being reviewed, and affords an opportunity for the president to make a written response and to discuss the findings with the committee. Upon receipt of the committee's final report, the chancellor furnishes a copy of the final report to the president and affords the president an opportunity to make a written response. The chancellor discusses the committee's findings and the response with the president.

Following completion of a six-year review of a campus, the president of that campus will be invited to meet with the Board of Trustees in closed session.

#### Confidentiality:

Confidentiality will be preserved in obtaining information, in implementation of the procedures, and in the reporting procedure.

### C. Salary Assessment

1. During the triennial and six-year performance reviews, or at other times for compelling reasons, a salary assessment will be conducted by the chancellor.
2. The assessment will be based on criteria established in the November 2019 Board of Trustees Policy on Compensation (codified in RUFP 11-19-10).
3. Following completion of the triennial and six-year reviews, the chancellor will report the findings of the salary assessment to the Board of Trustees and the trustees may evaluate the appropriateness of any salary adjustment.

4. The chancellor, with the concurrence of the board, shall present the recommended salary adjustment later during that meeting or at the next open meeting of the Board of Trustees. The salary adjustment will be retroactive to the presidential appointment anniversary date.

## **V. CRITERIA FOR PRESIDENTIAL ASSESSMENT**

General criteria for consideration of both the operations and condition of the campus as well as the leadership and management effectiveness of the president include, but are not limited to, such factors as the following:

### **1. General Administrative Effectiveness Including Management of Human, Fiscal and Physical Resources:**

Evidence in campus operations of effective planning and decision making; development of and delegation to a management team; accomplishment of plans and objectives; flexibility in approach to solving problems and willingness to change programs and methods to keep up with current needs and developments; commitment to equal employment and programmatic opportunities and wise utilization of faculty and staff.

### **2. Working Relations with the System and the Campus:**

Evidence in campus operations that there are open lines of communications; work is accomplished effectively with and through others; the suggestions of others are solicited and considered in good faith and that the executive and the management team have established credibility.

Evidence that the president, in serving as executive officer of the campus, maintains a perspective of the mission of the CSU and cognizance of the special demands placed on the system; participates productively in deliberations in systemwide academic and administrative matters.

### **3. Educational Leadership and Effectiveness:**

Evidence in campus operations of development, maintenance and renewal of academic plans and programs that meet long-range needs; periodic evaluation of educational progress and accomplishments; the establishment of an environment that stimulates teaching, learning, scholarship, professional development and the pursuit of support to enhance academic programs and innovation.

#### **4. Community Relations:**

Evidence in campus operations of community understanding of and support for the campus; good relations with the media; service to and from the community, alumni support, effective “Town and Gown” activities; local, regional and national reputation; and an effective institutional advancement program, including fundraising.

#### **5. Major Achievements of the Campus and the President.**

#### **6. Personal Characteristics:**

Evidence in campus operations of the president’s knowledge of the job, judgment, leadership, planning and organizing ability, drive, vision, human relations and communications skills, objectivity and fairness, ability to articulate ideas and concepts, ability to innovate, ability to take into account the public relations and political implications of his/her actions, ability to deal with many different problems and events at the same time, ability to withstand any criticism and to direct opposition into productive channels, ability to get to the key parts of complex problems, evidence of having facts before making decisions and ability to promote coordination and efficiency of programs and operations.

Adopted January 25-26, 1994

Modified November 13-14, 2001

Modified January 28-29, 2020

Board of Trustees CSU

**THE CALIFORNIA STATE UNIVERSITY  
CRITERIA FOR PRESIDENTIAL ASSESSMENT**

General criteria for consideration of both the operations and condition of the campus as well as the leadership and management effectiveness of the president include, but are not limited to, such factors as the following:

**1. General Administrative Effectiveness Including Management of Human, Fiscal and Physical Resources:**

Evidence in campus operations of effective planning and decision making; development of and delegation to a management team; accomplishment of plans and objectives; flexibility in approach to solving problems and willingness to change programs and methods to keep up with current needs and developments; commitment to equal employment and programmatic opportunities and wise utilization of faculty and staff.

**2. Working Relations with the System and the Campus:**

Evidence in campus operations that there are open lines of communications; work is accomplished effectively with and through others; the suggestions of others are solicited and considered in good faith and that the executive and the management team have established credibility.

Evidence that the president, in serving as executive officer of the campus, maintains a perspective of the mission of the CSU and cognizance of the special demands placed on the system; participates productively in deliberations in systemwide academic and administrative matters.

**3. Educational Leadership and Effectiveness:**

Evidence in campus operations of development, maintenance and renewal of academic plans and programs that meet long-range needs; periodic evaluation of educational progress and accomplishments; the establishment of an environment that stimulates teaching, learning, scholarship, professional development and the pursuit of support to enhance academic programs and innovation.

**4. Community Relations:**

Evidence in campus operations of community understanding of and support for the campus; good relations with the media; service to and from the community, alumni support, effective "Town and Gown" activities; local, regional and national reputation; and an effective institutional advancement program, including fundraising.

**5. Major Achievements of the Campus and the President.**

**6. Personal Characteristics:**

Evidence in campus operations of the president's knowledge of the job, judgment, leadership, planning and organizing ability, drive, vision, human relations and communications skills, objectivity and fairness, ability to articulate ideas and concepts, ability to innovate, ability to take into account the public relations and political implications of his/her actions, ability to deal with many different problems and events at the same time, ability to withstand any criticism and to direct opposition into productive channels, ability to get to the key parts of complex problems, evidence of having facts before making decisions and ability to promote coordination and efficiency of programs and operations.



## PA State System of Higher Education Board of Governors

---

**Effective:** January 24, 2013

Page 1 of 4

### **Policy 2013-02: Evaluating the Chancellor**

**See Also:** 24 P.S. §§ 20-2001A, et seq.;  
Board of Governors' Policy 2002-02

**Adopted:** January 24, 2013

**Amended:**

---

#### **A. Purpose**

In order to promote a systematic analysis for improvement of the Pennsylvania State System of Higher Education (PASSHE) and to meet performance expectations and requirements of the Board of Governors (hereinafter Board), an evaluation system for the assessment of a Chancellor's leadership, performance and development is established. The purpose of evaluating the Chancellor is to assess the quality and substance of administrative performance in the context of the PASSHE mission, vision and strategic goals. The role of the Chancellor is complex and diverse. Accordingly, the performance evaluation process must reflect this role and scope of a Chancellor's administrative duties and the Board's expectations while fostering and encouraging professional growth and development in professional competence and leadership, not only for the Chancellor, but also for the System as well.

#### **1. Annual evaluation of performance promotes accountability**

The annual evaluation establishes accountability for a Chancellor's decisions. While administrative decisions are, in part, governed by Act 188, PASSHE and Board policies, other factors that drive these decisions include legal limitations, ethical obligations and economic realities. The actions of the Chancellor are integral to the success of PASSHE and the persons affected by PASSHE – students, faculty, staff, the community, trustees, alumni and supporters.

#### **2. Annual evaluation provides an objective context for assessing performance**

The various roles of the Chancellor are part of a much larger framework, thus they are embedded within PASSHE. Actions taken by the Chancellor have important and long-term impact as to how the System operates and affects constituencies.

#### **3. Annual evaluation promotes and strengthens effective leadership**

Leadership should be based on demonstrated results. Annual evaluation, when conducted, increases understanding and appreciation for the Chancellor's tasks and accountability for the outcomes.

#### **4. Annual evaluation provides systematic evidence of effectiveness**

Annual evaluation provides an orderly and structured process for gathering objective evidence about performance. The evaluation should be based on well-defined criteria that include process and outcome data. Systematic methodology clearly specifies who will evaluate the Chancellor, when the evaluation should be conducted and in what manner. In addition, the evaluation framework specifies how evaluation results will be disseminated and used.

#### **5. Annual evaluation provides a means for determining PASSHE goal achievement**

Development of PASSHE requires effective leaders who embrace and promote its vision, mission and goals. By focusing at least in part on performance outcomes, the evaluation process requires that System goals be periodically reviewed and progress toward those goals be detailed.

#### **6. Annual Evaluation provides a means for leadership development**

Development of the Chancellor is a key outcome of the evaluation process. The growth and development of the Chancellor have benefits for the individual and PASSHE. The development plan should be based on opportunities derived from the evaluation process.

### **B. Evaluation Process**

Upon the selection of the Chancellor and as part of the Chancellor's orientation, the Board's Executive Committee, led by the Chairperson, will explain the performance evaluation process. The Chairperson or designee will provide a summary of the process including, but not limited to, its purpose, participant roles and responsibilities, schedule, substance and procedures. The following is an explanation of the two types of performance evaluation and professional development plans that are to be conducted under this policy.

- 1. Annual Evaluation** - This evaluation is conducted every year by the Board's Chancellor Evaluation Committee consisting of at least three members of the Board, including the Chair of the Human Resources Committee, appointed annually by the Chairperson of the Board. The Chancellor Evaluation Committee will be supported by the staff of the Office of the Chancellor. The results of this evaluation are to be submitted to the Executive Committee, along with the Chancellor's self-assessment, for consideration and action by the Board. At the conclusion of the evaluation process, the Chancellor shall receive the annual evaluation in writing from the Chairperson of the Board. The Chairperson will have the responsibility of disseminating the outcome of the evaluation process to constituents.
- 2. Triennial Evaluation** - This process differs from the Annual Evaluation in that it is performed every third year and is supported by an external consultant from a list of approved experts maintained by the Office of the Chancellor's procurement department. The Board's Chancellor Evaluation Committee selects the consultant from this approved list to work in collaboration with the committee in conducting the Chancellor evaluation.



### **C. Roles and Responsibilities**

**Board Chairperson** – The Chairperson of the Board is responsible for appointing the Chancellor's Evaluation Committee, assuring the policy of the Board and all legal requirements are followed and the results are communicated to the Chancellor and appropriate constituents.

**Chancellor** – The Chancellor shall prepare a written self-evaluation of performance for the evaluation period. This self-evaluation shall report on achievement of, or progress toward achieving, the mission, goals and strategies that were agreed upon by the Chancellor, the Chairperson of the Board and the Executive Committee at the beginning of the evaluation period.

**Chancellor Evaluation Committee** – The Chancellor Evaluation Committee, consisting of three members of the Board appointed annually by the Chairperson of the Board shall, be responsible for conducting the annual evaluation of the Chancellor and the triennial evaluation of the Chancellor in conjunction with a consultant.

**Consultant** – The Board's Chancellor Evaluation Committee will identify an experienced consultant to assist in the triennial evaluation process. The consultant's role is to work with the Chairperson of the Board and the Chancellor Evaluation Committee in preparing an objective and thorough process based on this policy. In addition to supporting the performance evaluation process, the consultant may be asked to provide professional development and mentoring support to the Chancellor and/or Board.

**Office of the Chancellor's Liaison** - A Chancellor's Liaison will be appointed by the Board Chairperson to work with the Evaluation Committee. The Liaison will assist the committee in the performance review process, including the identification of constituents to engage in the process and participation as appropriate in the activities of the Committee.

### **D. Performance Goals and Indicators**

At the beginning of each annual and triennial evaluation year, the Board Chairperson will outline individual and System performance goals with specific performance indicators reflective of PASSHE's long-term strategic plan and goals. This will occur in consultation with the Board Chairperson and Executive Committee. This information will subsequently serve as a key element of the performance evaluation of the Chancellor. During the year, the Chancellor is responsible for informing the Board Chairperson and the Executive Committee of his or her progress, any major changes as well as any operational or other issues that may impact the Chancellor's ability to achieve the agreed upon goals. Prior to the end of the performance evaluation period, the Chancellor will complete a self-evaluation of his or her performance detailing individual, leadership team and PASSHE accomplishments and current PASSHE performance data.

## **E. Board of Governors' Evaluation Committee Report**

The Chancellor Evaluation Committee will prepare a summary report using performance data from the System Research Office, the results of the PASSHE evaluation process, verbatim compilation of constituent feedback and any additional evaluation data that may be available for the committee's review. This written report will be submitted to the Board in accordance with a schedule approved by the Board Chairperson.

## **F. Evaluation Summary Prepared for Board of Governors Review**

A complete evaluation summary will include:

- Annual PASSHE performance outcomes (System Accountability Reports);
- Board's assessment of the Chancellor's performance;
- The Chancellor Evaluation Committee's compilation of constituent feedback and evaluation of the Chancellor's performance; and
- The Chancellor's self-assessment.

The Board Executive Committee will review the completed evaluation of the Chancellor in making its decisions regarding the extension of the Chancellor's contract and determining compensation.

## **G. Professional Development Plan**

A key focus of the performance evaluation process is the continuing professional and leadership development of each Chancellor. In order to achieve this goal, the Board Chairperson, Human Resources Committee Chair and mentor (as appropriate) will create a confidential professional development plan with the Chancellor.

## **H. Chancellor Evaluation Review**

Based on a timeline provided by the Board Chairperson, the Executive Committee will meet with the Chancellor to plan for the upcoming performance year and review the results of the current year's performance evaluation.

## **I. Effective Date**

This Policy is effective immediately.



# PA State System of Higher Education Board of Governors

---

**Effective:** April 11, 2002

Page 1 of 4

## **Policy 2002-03-A: *Evaluating Presidents***

**See Also:** 24 P.S. §§ 20-2001A, *et seq.*;  
Board of Governors' Policy 2002-02

**Adopted:** April 11, 2002  
**Amended:** April 8, 2010, January 22, 2015

---

### **A. Purpose**

In order to promote a systematic analysis for improvement at each University and to meet performance expectations and requirements of the Pennsylvania's State System of Higher Education (PASSHE), an evaluation system for the assessment of a President's performance and development is established.

The purpose of evaluating a President is to assess leadership and administrative performance in the context of the University's and the System's mission, vision, and strategic goals. The role of any University President is complex and diverse. Accordingly, the performance evaluation process must reflect this role and scope of a President's leadership and administrative duties and expectations while fostering and encouraging professional growth and development not only for the President but for the University as well.

#### **1. Evaluation of performance promotes accountability**

The evaluation ensures accountability for a President's decisions. While administrative decisions are, in part, governed by Act 188 and Board of Governors' policies, other factors that drive these decisions also include legal limitations, ethical obligations, and economic realities. The actions of the President are integral to the success of the University and the persons affected by the University -- students, faculty, staff, the community, trustees, alumni, and supporters.

#### **2. Evaluation provides an objective context for assessing performance**

The role of the President is part of a much larger University framework; actions taken by Presidents have important and long-term impact on how a University operates and affects University constituencies.

#### **3. Evaluation promotes and strengthens effective leadership**

Leadership should be based on demonstrated results. Evaluation increases understanding and appreciation for the President's tasks and accountability for the outcomes.

#### **4. Evaluation provides systematic evidence of effectiveness**

Evaluation provides an orderly and structured process for gathering objective evidence about performance. The evaluation should be based on well-defined

criteria that include process and outcome data. Systematic methodology clearly specifies who will evaluate the President, when the evaluation should be conducted, and in what manner. In addition, the evaluation framework specifies how evaluation results will be disseminated and used.

5. Evaluation provides a means for determining University goal achievement

Development of the University requires effective leaders who embrace and promote the University's goals. By focusing at least in part on performance outcomes, the evaluation process requires that institutional goals be periodically reviewed and progress towards those goals be detailed.

6. Evaluation provides a means for leadership development

Development of the President is a key outcome of the evaluation process. The growth and development of the President has benefits for the individual and the University. The development plan should be based on opportunities derived from the evaluation process.

## **B. Evaluation Process**

Upon the selection of the President and as part of the President's orientation, the Chancellor will explain the performance evaluation process. The Chancellor will provide a summary of the process including, but not limited to, its purpose, participant roles and responsibilities, schedule, substance and procedures. The following is an explanation of the two types of performance evaluation and professional development plans that are to be conducted under this policy.

1. **Annual Evaluation** – The goal of the annual evaluation is to ensure that continuing and substantial progress towards the achievement of goals and objectives described below is made each year. This evaluation is conducted by the University Council of Trustees led by an evaluation committee of at least three members appointed by the Chair of the Council of Trustees whose chair shall be named by the Chair of the Council of Trustees. The committee will work in collaboration with the Office of the Chancellor to complete the following tasks:

- a. an assessment of the President's performance of the defined duties and responsibilities.
- b. an assessment of the achievement of, or progress toward achieving, the goals and objectives that were agreed upon by the Chancellor, the Chair of the Council of Trustees, and the President at the beginning of the evaluation period consistent with university and System strategic directions, plans and goals.
- c. a review of university performance results provided by the Chancellor.

Constituency interviews will not be a part of the annual evaluation; however, it is expected that the trustees' ongoing engagement of university constituencies in matters of importance to the university will inform the evaluation process. The results of this evaluation are to be submitted to the Board of Governors' Human Resources Committee, along with the Chancellor's assessment, for review by the committee and consideration and action by the Board. At the conclusion of the evaluation process, the President shall receive the annual evaluation in writing from the Chancellor and Chair of the University's Council of Trustees. The Chair of the Council of Trustees will disseminate the outcome of the evaluation process to university constituents including students, faculty and staff after sharing such information with the president.

2. **Triennial Evaluation** – The goal of the triennial evaluation is to ensure that continuing and substantial progress towards the achievement of goals and objectives described below is made each year along with systematic input from constituencies. This evaluation is conducted every third year by the University Council of Trustees led by an evaluation committee of at least three members appointed by the Chair of the Council of Trustees, whose chair shall be named by the Chair of the Council of Trustees. The Chancellor, in consultation with the President and the Chair of the Council of Trustees, will identify a consultant with expertise in presidential and university leadership to assist the committee. The committee will work in collaboration with the Office of the Chancellor to complete the following tasks:
  - a. an assessment of the President's performance of his or her defined duties and responsibilities. This will include formal, systematic input from University constituencies.
  - b. an assessment of the achievement of, or progress toward achieving, the goals and objectives that were agreed upon by the chancellor, the Chair of the Council of Trustees, and the President at the beginning of the evaluation period consistent with University and System strategic directions, plans and goals.
  - c. a review of University performance results provided by the Chancellor.
3. The results of this evaluation are to be submitted to the Board of Governors' Human Resources Committee, along with the Chancellor's assessment, for review by the Committee and consideration and action by the Board. The Chair of the Council of Trustees will disseminate the outcome of the evaluation process to University constituents including students, faculty and staff after sharing such information with the President.

## **C. Roles and Responsibilities**

**President** – The President shall prepare a written self-evaluation of performance for the evaluation period. This self-evaluation shall report on the achievement of, or progress toward achieving, the goals and objectives that were agreed upon by the Chancellor, the Chair of the Council of Trustees, and the President at the beginning of the evaluation period consistent with University and System strategic directions, plans and goals.

**Consultant** – The Chancellor will identify and fund the cost of consultants experienced in presidential and university leadership to assist in the Triennial Evaluation process. The consultant's role is to work with the evaluation committee in preparing an objective and thorough process based on this policy and to bring an objective, external perspective on the President's leadership in enabling the University to achieve its strategic directions, plans and goals. In addition to supporting the performance evaluation process, the consultant may be asked to provide professional development and mentoring support to a President and/or Council of Trustees.

**The University Council of Trustees Evaluation Committee** - The Chair of the Council of Trustees will appoint a committee each year of at least three members for the purpose of administering the Council of Trustees evaluation procedures described in this policy and Act 188 of 1982.

**Chancellor's Liaison** - A Chancellor's Liaison will be appointed by the Chancellor to work with the evaluation committee. The Liaison will assist the committee in the performance review process

#### **D. Performance Goals and Indicators**

At the beginning of each evaluation year, the President will outline individual and University performance goals with specific performance indicators reflective of the University and the System's Strategic directions, plans and goals in consultation with the Chancellor and the University's Council of Trustees. This information will subsequently serve as a key element of the performance evaluation of the President. During the year, the President is responsible for informing the Chancellor and the University's Council of Trustees of his or her progress, any major changes as well as any operational or other issues that may impact the President's ability to achieve the agreed upon goals and objectives. Prior to the end of the performance evaluation period, the President is to complete a self-evaluation of his or her performance detailing individual, leadership team and university accomplishments and current University performance data.

#### **E. Evaluation Committee Report**

Each evaluation committee will prepare a report incorporating the assessments of the President's performance, performance results provided by the Chancellor and any additional evaluation materials that may be available for the committee's review.

#### **F. Evaluation Report Prepared for Board Review**

A complete evaluation report will include:

1. Annual university performance results;
2. Chancellor's assessment of the President's performance;
3. Council of Trustees' evaluation committee report of the President's performance;  
and
4. President's self-evaluation.

The Board of Governors will review the completed evaluations of presidents in making its decisions regarding the extension of president employment agreements and determining compensation.

#### **G. Professional Development Plan**

A key focus of the performance evaluation process is the continuing professional and leadership development of each President. In order to achieve this goal, the Chancellor and each Council of Trustees Chair will develop a professional development plan with the President.

#### **H. Chancellor and Council of Trustees Evaluation Review**

Based on a schedule and timeline provided by the Chancellor, each President will meet with the Chancellor, the Chair of the Council of Trustees and the chair of the evaluation committee to plan for the upcoming performance year and review the results of the current year performance evaluation. The chair of the evaluation committee will communicate the results of the review to trustees and subsequently to constituencies through an executive summary posted on the University website after sharing such information with the president.

#### **I. Effective Date:** This policy will set forth the President's evaluation process effective July 1, 2015.