APR: Dean’s Evaluation Process

Western Carolina University

March 5, 2010

Introduction

The evaluation of deans serves two purposes. First, it is a developmental tool to promote effectiveness for both the deans and the university. As such, the elements within the evaluation relate to those activities that assure success for both the individual and the university over time. Second, it is a process to assess individual performance. This portion of the evaluation is sensitive to skills and accomplishments that manifest themselves over both the short-term and long-term. Therefore, the evaluation is organized into annual and three year timeframes that incorporate critical elements of a dean’s leadership and management skill set as well as the role a dean plays in helping the university meet initiatives related to its mission and vision.

Annual Evaluation

Job Targets

*Characteristics.* In June of each year, the Deans are required to submit to the Provost annual job targets that cover specific areas of work expected during the year. Targets may span a relatively short period of time, several months, or several years. However, the set, usually fewer than 10, should always be high level activities critical to the success of the college and university. They should never include on-going routine activities that all deans are to perform. These routine activities will be covered via survey data. Of course, some routine items may occasionally become a critical activity. For example, hiring a key staff member to resolve an ongoing issue may rise to the level of a job target. These can be submitted to the Provost for discussion. All job targets should be stated as outcomes that can be measured and documented. [Job targets are submitted using the template included in appendix A.]

*Categories*. As shown in appendix A, job targets must address four categories of dean responsibilities:

* Vision and Leadership
* Management
* Resource Development
* University Initiatives Supporting Mission/Vision

Although the meaning of vision and leadership, management, and resource development is rather straight forward, deans are urged to review the annual survey included in appendix B, to better understand how Western defines each conceptually. The fourth category, University Initiatives Supporting Mission/Vision, obviously will change over time. The Provost will notify the deans annually of any changes. Currently, the priorities related to Mission/Vision include the following:

* Retention
* Recruitment
* Engagement
* QEP
* UNC-Tomorrow

*Evidence*. Deans must provide evidence to demonstrate the degree to which they accomplished each job target. If the evidence is self evident (e.g. opened a building on a certain date, convened a new advisory group for the college), deans can simply list the event on the job target matrix. If the evidence requires elaboration or is in a form that requires inspection (e.g. new mission and vision for college, new budgeting process for college), the dean should enter “See Portfolio” in the job target template and include the artifact in the portfolio.

Survey: Formative Assessment of Dean’s Administrative Attributes

The Office of Assessment will administer the survey(s) of administrative attributes [See Appendix B] each April to college/school faculty, department heads and support staff. The summary report(s) will be shared with the dean and the dean and Provost will review the results together. The purpose of the annual survey is to provide constructive feedback from constituents so the deans can effectively lead their units.

Occasionally, the dean or Provost may wish to include other constituent groups in the annual survey process should their feedback be time sensitive and important to the dean’s formative development. However, surveying other constituent groups should not be a regular practice because it will be required during the three year evaluation. [Note: These surveys may be tailored to fit the desired feedback from the constituent groups. The dean will work with the Provost and the Office of Assessment to customize the survey instrument(s) to meet your needs.]

Third Year Evaluation

Deans will undergo an extensive evaluation every three years. This evaluation will include a summary assessment of their accomplishments, as evidenced by their job targets and their administrative performance as evidenced by survey results. The three year evaluation builds upon the annual evaluation and includes most of its information and processes. The major difference between the annual evaluation and the three year evaluation is the focus on cumulative outcomes and breadth of coverage.

Oversight of Evaluation

The Provost through the Executive Assistant will oversee the dean evaluation process. In addition, the Director of Assessment will provide technical support as needed. Third year evaluations will be led by a dean per as selected by the Provost in consultation with the dean being evaluated. The peer’s role is not to evaluate the dean but to act as liaison to constituent groups (e.g. they may conduct focus groups) and to gather and summarize data. Peers will have the support of the offices of the Provost and Assessment. All deans will be expected to participate as a peer liaison. In addition to providing needed oversight in the evaluation process, peer led evaluation should have the following positive effects:

* Increases communication
* Reinforces a team atmosphere
* Reduces ‘silo’effect
* Promotes productive interpersonal behavior

Rotation. Deans will be placed on a three year rotation according to the schedule below:

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| **Third Year Evaluation Schedule** |
| **Dean** | **Year**  | **Dean** | **Year**  |
| Educational Outreach | 2009 | Fine and Performing Arts | 2010 |
| Graduate School | 2009 | Health and Human Science | 2010 |
| Honors College | 2009 | Education and Allied Sciences | 2012 |
| Arts and Science | 2010 | Kimmel School\* | 2011 |
| Business  | 2010 | Library\* | 2011 |

\*For 2010 only faculty surveys will be administered

*Primary Accomplishments:Job Targets.* Deans will submit results for their third year job targets just as they have for the annual evaluation. In addition, they will also submit a self appraisal [not to exceed two pages] that summarizes their performance over the three year period. This appraisal should highlight the most important accomplishments, explain why some outcomes weren’t reached and indicate the activities they wish to pursue in the future.

*Administrative Performance: Survey of Key Constituents.* During the third year the evaluation of the deans’ administrative performance will be expanded to include all key constituent groups. At minimum the groups will include (1) Faculty, (2) Department Heads, (3)Support Staff of the College and (4) the Council of Deans.Other University Administrators (Includes VCs and Associate VCs from outside the Provost Division) may also be included. Surveys will be developed for each of these constituencies.

In addition, each dean will be asked to identify key constituent groups that should assess his/her performance. This could include students, alumni, community partners and the like. Once the deans and provost agree to the groups, a matrix like the following will be completed:

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| **Dean of the Graduate School** |
| **Constituent Group** | **Frequency** | **Required** | **Method** |
| Faculty, Dept. Heads., Staff | Annual | Standard | Survey |
| Council of Deans | 3rd Year | Standard | Survey |
| Other University Administrators | 3rd Year | Standard | Survey |
| Graduate Council | 3rd Year | Mutual  | Survey |
| Graduate Assistants | 3rd Year | Optional | Focus Groups |

*Portfolio*. The portfolio is the vehicle by which deans present their evidence for evaluation. It should be organized into two major sections: Primary Accomplishments and Administrative Performance. Each section should begin with a summary statement that is also a self-appraisal. The remainder of each section should include evidence/documentation that supports the evaluation. Deans should make every effort to prepare concise portfolios. They should provide sufficient evidence to demonstrate their performance, but should avoid superfluous material. Portfolios are due to the Office of the Provost in May of the review year.

Portfolio Content

1. Section I: Primary Accomplishments
	1. Summary and Self Appraisal (Two page Maximum)
	2. Job Target Templates
		1. Year 1
			1. Template
			2. Evidence
		2. Year 2
			1. Template
			2. Evidence
		3. Year 3
			1. Template
			2. Evidence
2. Section II: Administrative Performance
	1. Summary and Self Appraisal Two Page Maximum
	2. Survey Summaries
		1. Survey of Administrative Attributes: Faculty
		2. Survey of Administrative Attributes: Department Heads
		3. Survey of Administrative Attributes: Support Staff
		4. Survey of Administrative Attributes: Provost Council
		5. Survey of Administrative Attributes: Other University Administrators
		6. Survey of Administrative Attributes: One or more tailored to unique target populations

**Appendix A: Job Target Template**

**JOB TARGETS**

For FY 20\_ \_-20\_ \_

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| **Name** |  | **Unit** |  |
| **Job Targets** | **Major Strategies** | **Performance Indicator** | **6 Month Evaluation** | **Final Evaluation** |
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| **Evaluator’s Comments**: |
| **Employee’s Signature**: | **Date**: |
| **Supervisor’s Signature**: | **Date**: |

Instructions:

1. List no more than 10 job targets for the planning cycle. Targets should be major tasks that go beyond normal day to day operations. For example, hiring faculty or staff is a typical job expectation of deans whereas developing a new assessment program is not.
2. Job targets should be expressed as a product or outcome. Use action verbs like create, implement, produce, resolve, increase. However, action verbs do not always produce acceptable targets. For example, “Serve on the strategic planning committee” doesn’t produce a product, whereas “create a planning process for academic affairs” is an acceptable target because it produces a specific product/outcome.
3. List the major strategies that you will use to address the target. Although you may have many ideas, only list a couple (maximum of 4) to illustrate your action plan.
4. To fairly evaluate your performance we need to agree on how we will both know when you have accomplished the target. Therefore, in the column labeled evidence, one or more performance indicators that can be used to measure the completion of the target. Examples: Target: Increase the number of international students attending WCU; Performance Indicator: Fall 06 attendance = 120. Target: Implement an assessment program for the College; Performance Indicator: All Departments have acceptable assessment plans on file, No less than 8 departments have filed assessment reports to demonstrate implementation.

**Appendix B:** **Dean Evaluation Surveys**

The evaluation of deans serves two purposes. First, it is a developmental tool to promote effectiveness for both the deans and the university. As such, the elements within the evaluation relate to those activities that assure success for both the individual and the university. Second, it is a process to assess individual performance. This portion of the evaluation is sensitive to skills and accomplishments that manifest themselves over both the short-term and long-term. Therefore, the evaluation is organized into annual and three year timeframes that incorporate critical elements of a dean’s leadership and management skill set as well as the role a dean plays in helping the university meet initiatives related to its mission and vision. The Provost discusses the results of the survey with each dean to promote effective performance and a positive work culture. The areas of evaluation are:

 Vision and Leadership

 Management

 Resource Development

 University Initiatives Supporting Mission/Vision

All surveys items:

1) include a space for comments after each section (Vision and Leadership, Management, etc.)

2) have the rating scale:

 very satisfied—satisfied—neither satisfied nor dissatisfied—dissatisfied—very dissatisfied—don’t know

3) reference the term “college” to include the Kimmel School and the Library

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| Dean Evaluation by FACULTY (fixed term, tenure track, tenured—no Leadership Team members in this survey) |

Rate your level of satisfaction with your dean concerning each of the items within the four categories below that define the major expectations of the dean’s responsibilities. IF YOU DO NOT HAVE SUFFICIENT KNOWLEDGE TO RATE AN ITEM, PLEASE INDICATE “DON’T KNOW”.

My dean …….

Vision and Leadership

1. Promotes a college culture to support mission and vision
2. Advances clear and appropriate vision for the college
3. Is perceived as an effective leader within the university
4. Fosters a climate of continuous improvement
5. Promotes effective planning and visioning
6. Is perceived to be good problem solver
7. Makes decisions to support the college’s mission and vision

Management

1. Interacts and responds in a professional manner
2. Is open to ideas and feedback
3. Keeps faculty informed about important college and university issues
4. Responds timely to business that affects me
5. Allows appropriate levels of independence and decision making at the departmental level
6. Has the capacity to deal with unanticipated events and crises (ex. Budget cuts, personnel issues, bad publicity, etc.)
7. Manages resources effectively to fund college priorities

Resource Development

1. Advocates for adequate resources to advance the mission of the college
2. Creates opportunities for faculty professional development
3. Is working to expand extramural funding to support college programs.

University Initiatives Supporting Mission/Vision

1. Integrates the college’s strategic goals with the QEP
2. Promotes university enrollment goals, including retention and graduation rates
3. Supports engagement activities consistent with the university mission

Summary rating

1. Overall, how satisfied are you with this dean?

Open ended:

1. Overall, what are the major strengths of this dean?
2. Overall, how could this dean improve?

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| Dean Evaluation by LEADERSHIP TEAM |

Rate your level of satisfaction with your dean concerning each of the items within the four categories below that define the major expectations of the dean’s responsibilities. IF YOU DO NOT HAVE SUFFICIENT KNOWLEDGE TO RATE AN ITEM, PLEASE INDICATE “DON’T KNOW”.

My dean…..

Vision and Leadership

1. Promotes a college culture to support mission and vision
2. Advances a clear and appropriate vision for college
3. Is perceived as an effective leader within the university
4. Fosters a climate of continuous improvement
5. Promotes effective planning
6. Demonstrates leadership during times of crises or challenge
7. Is perceived to be a good problem solver
8. Makes decisions to support the college’s mission and vision
9. Advocates for my department/division

Management

1. Encourages me to express my opinions and to offer suggestions about college issues
2. Advocates for and implements retention and recruitment efforts for students
3. Interacts with me in a professional manner
4. Keeps me informed about important college and university issues
5. Responds timely to business that affects me.
6. Allows appropriate levels of independence and decision making at the department/division level
7. Has the capacity to deal with unanticipated events and crises (ex. Budget cuts, personnel issues, bad publicity, etc.)
8. Manages resources effectively to fund college priorities
9. Takes responsibility for his/her actions
10. Gives others appropriate credit for successes
11. Solicits and considers feedback before making decisions
12. Provides me with constructive feedback regarding my performance
13. Is accessible to me (as appropriate)
14. Is responsive to me (as appropriate)
15. Conducts timely and efficient meetings
16. Prioritizes internal funding requests consistent with college mission and objectives
17. Promotes retention of qualified faculty and staff

Resource Development

1. Advocates for adequate resources to advance the mission of the college
2. Creates opportunities for faculty professional development
3. Is working to expand extramural funding to support college programs
4. Encourages and assists in my professional development
5. Manages college resources for program effectiveness
6. Develops outside support and visibility for the college and its programs through networking and prospect development

University Initiatives Supporting Mission/Vision

1. Integrates the college’s strategic goals with overall goals of the university (e.g., UNC-Tomorrow, QEP, etc.)
2. Promotes university enrollment goals, including retention and graduation rates
3. Supports engagement activities consistent with the university mission

Summary Responses:

1. Overall, how satisfied are you with this dean?

Open ended:

1. Overall, what are the major strengths of your dean?
2. Overall, how could your dean improve?

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| Dean Evaluation by SUPPORT STAFF (All full time support staff within the college) |

. IF YOU DO NOT HAVE SUFFICIENT KNOWLEDGE TO RATE AN ITEM, PLEASE INDICATE “DON’T KNOW”.

My Dean:

1. Overall, how satisfied are you with this dean?

Open ended:

1. Overall, what are the major strengths of this dean?
2. Overall, how could this dean improve?

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| Dean Evaluation by COUNCIL OF DEANS |

Rate your level of satisfaction with this dean’s effectiveness in the following areas.

1. Maintains good interpersonal relationships with me as a Council of Deans member
2. Interacts with me in a professional manner.
3. Supports university goals
4. Works effectively with me to address Council agendas
5. Keeps me well-informed of college activities as appropriate
6. Provides leadership in solving problems presented to the Council
7. Provides leadership and/or support in developing appropriate agendas for the Council of Deans
8. Provides leadership to the Council concerning enrollment growth issues
9. Advocates effectively for his/her college/division
10. Supports the University mission and Vision
11. Fosters collaboration among the Council members
12. Responds timely to business that affects the Council of Deans

Summary Ratings:

1. Overall, how satisfied are you with this dean as a colleague?

Open ended:

14. Overall, what are the major strengths of this dean?

15. Overall, how could this dean improve?