

(Related Documents: U17-2006, U16-2006, U5-2005, U11-2004, U7-2003, U6-2003, and Policy on Retirement Age and Retirement Policy for Executives, High Policymakers, and Administrative Officers, Board of Trustees May 3, 2003)

Review Procedures for Chancellors

(University Faculty Council April 13, 1993; April 12, 2005; October 24, 2006)

Preamble

The President is responsible for the evaluation of his direct reports and for the organization of the process conducted to that end. In addition to the President's annual assessment of Chancellors, the President, in collaboration with the University Faculty Council, will employ the fifth-year review of Chancellors using the following review procedures of the University Faculty Council.

Commented [UFC1]: UFC accepts this change. (June 2006)

Chancellors shall have their performance and their responsibilities evaluated regularly by a process referred to as Review. The purpose of such Reviews is to provide the President, the Trustees, and the Chancellor with broadly-gathered information concerning the quality of leadership provided by the Chancellor, to recognize and encourage success, to identify areas in need of improvement and plans for addressing them, and to provide campuses all constituencies, including the campuses, the opportunity to assess campus leadership and the campus community's role in supporting it. Costs of the Review process shall be underwritten by the Office of the President.

Commented [UFC2]: UFC accepts this change. (June 2006)

The President must have latitude in determining which issues s/he will emphasize in reviewing the performance of a chancellor, but the Board of Trustees encourages the President to consider, among other things, the following areas of responsibility:

- Execution of the policies and strategies of the Board and the President
- Administration of all academic, faculty, and student programs and issues
- Financial performance of the campus
- Academic progress of the campus
- Relationship of the campus to the geographic region served
- Staff and faculty development and all Human Relations issues
- The intangibles of creativity, growth, spirit, and vision

Commented [UFC3]: UFC accepts this change. (June 2006)

Principles for Chancellor Reviews

1. **Baseline Data.** The evaluation should be conducted on the basis of a job description provided by the President and reports of previous reviews. The Chancellor under review shall provide the Review Committee with a written assessment of his or her specific campus and personal performance goals and shall meet with the Review Committee to provide an overview of the Chancellor's role and activities, to discuss campus issues of particular importance, to indicate the range of constituencies bearing on the Chancellor's activities, and to make suggestions concerning groups or individuals whose comments should be sought by the Review Committee.
2. **Review Coordination.** The process should be coordinated by a designee of the President.

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3. **Fifth Year Review Components.** The fifth year evaluation should include information from the following:
 - a) the annual reviews of the Chancellor conducted by the President during the review period;
 - b) the results of a faculty review process outlined in this document and input gathered from other constituencies including, but not limited to, campus staff, students, alumni, community leadership, and Indiana University personnel;
 - c) information provided by the Chancellor under review describing her/his accomplishments.
4. The evaluation process should include input from a peer reviewer knowledgeable of the role of the Chancellor at comparable institutions.
5. All reports and pertinent data should be submitted to the President and be utilized in accordance with his direction and this policy.
6. The evaluation process must be conducted with dignity, confidentiality, and respect for all parties involved.
7. The President shall consult the UFC Agenda Committee on any exceptions to the principles or procedures contained in this policy. Any exceptions to the principles and procedures contained in this document must be agreed upon by the President and the Agenda Committee of the University Faculty Council

Commented [UFC4]: The inclusion of annual review materials in the Fifth-Year review is at the discretion of the President. This sentence can be removed at the President's discretion. (June 2006)

Commented [UFC5]: The principle of consultation before acting on exceptions to university policy is a tradition at Indiana University that the UFC would like to see maintained. The concept of "consultation" is key here. (June 2006)

Chancellor Review Procedures

1. **Frequency of Review.** The Review shall be conducted early in the fifth year in office and in recurring intervals of five years thereafter.
2. **Organization of Review.** Early in the Spring term of the year preceding a Chancellor's review, the President of the University or his designee shall send notice to the faculty council on that campus, and other relevant constituencies, announcing the formation of a Review Committee. The Review Committee shall be selected according to the following provisions:
 - A. Because the responsibilities of the Chancellor bear directly on the teaching and research mission of the campus, a majority of the members of the Review Committee shall be from the faculty of the campus. The President shall seek nominations for these appointments from the appropriate elected campus nomination committee that will submit one third one hundred percent more names than the total to be selected by the President. The nominees should be broadly representative of campus faculty and except in unusual circumstances, nominees should be tenured faculty.
 - B. The nomination committee shall compile a list of faculty nominees that is broadly representative of campus faculty; except in unusual circumstances, nominees should be

Commented [UFC6]: UFC accepts this change. (June 2006)

Commented [UFC7]: UFC maintains that "a majority" of the Review Committee members should be from the faculty. The advisory nature of the committee does not interfere with presidential authority. (June 2006)

Commented [UFC8]: UFC accepts this change. (June 2006)

Commented [UFC9]: UFC maintains that "tenured" faculty ensure a credible review and can act free from intimidation or fear of reprisal. There may be cases where non-tenure track faculty (i.e. clinical or research faculty) or tenure-track faculty may be included and those cases should be treated as exceptions. (June 2006)

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tenured faculty. ~~D. In addition to receiving nominations for the Review Committee from the campus faculty council, University Faculty Council, representative student and staff bodies, the President shall also solicit nominations for non-faculty nominees from representative student and staff bodies, and from the Chancellor under review to ensure that there is appropriate representation of the community and other constituencies significantly involved with the Chancellor and campus.~~

Commented [UFC10]: This concept is now included above. (June 2006)

Commented [UFC11]: UFC proposes removing this section completely because we now only have one chancellor with vice presidential responsibilities. We will include this provision in the forthcoming review procedures for vice presidents/other academic administrators. (June 2006)

Commented [UFC12]: UFC accepts this change. (June 2006)

Commented [UFC13]: UFC accepts this change. (June 2006)

E. The President shall review the lists of nominees with the Chancellor, who may object with cause to the appointment of individuals.

F. ~~The President shall appoint the Review Committee Chair, after consultation with and approval of the campus Faculty Council Agenda/Executive Committee.~~

Commented [UFC14]: The key point here is consultation before action so the UFC accepts this change. (June 2006)

3. **Timing.** The President ~~and the faculty leader of the campus faculty council~~ shall convene the Review Committee before the close of the spring semester, or shortly before the beginning of the fall semester, in such a manner that at least one semester is available for completion of the Review process. The Review process is expected to be completed within one academic year. ~~The faculty leader of the campus faculty council shall be present at the first meeting.~~

Commented [UFC15]: To illustrate that the review process is a collaborative effort between the faculty council and the President the faculty leader should be included in the first meeting of the committee. (June 2006)

4. **Peer Reviewer.** A Peer Reviewer shall be appointed by the President to assist the Committee. The Peer Reviewer shall be an academic administrator knowledgeable of the role of the Chancellor at comparable institutions. The President, in consultation with both the Chair of the Review Committee and the Chancellor, shall prepare a list of not fewer than three names of individuals qualified for this role. The President will recruit the Peer Reviewer. The Peer Reviewer shall compile a single report, to be submitted directly to the Review Committee Chair and to the President. The Chancellor under review will have the opportunity to respond, in writing, to the Peer Review report at the time it is submitted. The Review Committee's final report shall take note of the Peer Reviewer's report.

5. **Outside Advisor.** An outside advisor (such as a higher education consultant) may be used to assist the Review Committee with its processes at the joint request of the President and the Review Committee who will agree on the procedures for this optional assistance for the Review.

6. **Basic Data Objectives.** In all areas not specified in this policy, the Review Committee shall be free to establish its own procedures, provided that it consults with all university constituencies affected by the Chancellor under review and responds with data to the following questions as a minimum:

A. Has the Chancellor provided leadership to the campus in guiding it to set clear goals and objectives? Are these appropriate for the campus?

B. How successfully has the Chancellor involved ~~faculty, staff, and students relevant constituencies~~ in developing and adopting these goals?

C. To what extent does the Chancellor facilitate the achievement of these goals?

Commented [UFC16]: UFC accepts this change. (June 2006)

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- D. How effectively does the Chancellor represent the campus to persons outside the campus?
- E. How successful has the Chancellor been in managing the campus in the face of pressures?
- F. How is the campus perceived on a system, state, and national level?
- G. How effectively has the Chancellor implemented the University's policies, including the Affirmative Action Plan?

7. Data Collection, Confidentiality, and Impartiality. The Review Committee shall gather data pertaining to the performance of the chancellor from representatives of various constituencies including campus and university-level administrators, Chancellors of other IU campuses, staff, students, community members, and faculty of the Chancellor's campus including members of faculty governance. The Committee shall include input from groups and individuals noted by the Chancellor as well informed about the Chancellor's performance.

Commented [UFC17]:
Accepted October 24, 2006

The primary means for gathering information shall consist of personal interviews and constituent surveys. Other mechanisms for gathering information may include documentary review, and solicited or unsolicited letters. Individual comments received outside the official survey or interview process must be submitted by identifiable individuals. Anonymous comments will not be included. Open meetings to gather information pertinent to the Review are discouraged. The Review Committee shall meet with a representative of University Counsel to discuss issues of confidentiality prior to the collection of performance information.

8. Interviews. Members of the Review Committee shall conduct personal interviews and may record their observations in a diary or journal.

9. Surveys. The Review Committee shall supervise the administration of survey instruments early during the Fall term.

For faculty, the instrument shall include a total of not more than twenty multiple-option questions, of which approximately two-thirds shall have been formulated and approved by the University Faculty Council, intended for administration in all Chancellors' surveys. The remaining questions shall be designed by the faculty council of the campus of the Chancellor under review, and relate to campus-specific issues. The survey instrument shall include space designated for clarifying comments related to answers to the multiple-option questions.

The faculty survey shall be developed and administered with the guidance of a professional survey agency. The survey will be administered to tenured, tenure-track, and non-tenure track faculty members. Data for different faculty appointment categories shall be disaggregated in reporting. Summary survey results shall be reported confidentially to the President, the Chancellor under review, the Review Committee, and the agenda committee/executive committee of the campus faculty council. A summary of these survey results will be included in the final report of the Review Committee.

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The use of surveys to gather information from other constituencies (e.g., community members, staff, alumni) shall be considered by the Review Committee. Should a decision be made to conduct such surveys, they shall be developed and administered with the guidance of the same survey agency used for the faculty survey.

A transcript of all written comments, screened for self-identifying features, shall be prepared and sent to the President and the Chancellor under review by the survey agency.

7. **Data Collection, Confidentiality, and Impartiality.** The President shall provide any annual reviews of the Chancellors. In addition, the Review Committee shall gather data through documentary review, administration of constituent surveys, solicitation of confidential letters and confidential interviews with campus and university level administrators, with Chancellors of other IU campuses, and with representatives from a variety of constituencies including staff, students, community members, and faculty of the Chancellor's campus, including members of faculty governance. The Committee shall include input from groups and individuals noted by the Chancellor as well informed about the Chancellor's performance. Open meetings to gather information pertinent to the Review are discouraged. The Review Committee shall devise its procedures to ensure and convey to participants the assurance of full confidentiality, so far as can be guaranteed under the law, and of the openness of the Review Committee to all information and views.

Commented [UFC18]: The inclusion of annual review materials in the Fifth-Year review is at the discretion of the President. This sentence can be removed at the President's discretion. (June 2006)

Individual comments received outside the official survey or interview process must be submitted by identifiable individuals. Anonymous comments will not be included. The review committee must assure the confidentiality of respondents by not linking a specific comment with a specific individual.

Commented [UFC19]: UFC agrees that unsolicited anonymous comments should not be included in the review. Maintaining the confidentiality of individuals willing to submit comments is crucial for a credible review process. UFC accepts this change. (June 2006)

8. **Survey.** The Review Committee shall supervise the administration of a survey instruments to the campus faculty early during the Fall term.

Commented [UFC20]: UFC accepts this change. (June 2006)

For faculty, the instrument shall include a total of not more than twenty multiple option questions, of which approximately two thirds shall have been formulated and approved by the University Faculty Council, intended for administration in all Chancellors' surveys. The remaining questions shall be designed by the faculty council of the campus of the Chancellor under review, and relate to campus specific issues. The survey instrument shall include space designated for clarifying comments related to answers to the multiple option questions.

Commented [UFC21]: UFC accepts this change. (June 2006)

The faculty survey shall be developed and administered with the guidance of a professional survey agency. The survey will be administered to tenured, tenure track, and non tenure track faculty members. Data for different faculty appointment categories shall be disaggregated in reporting. Summary survey results shall be reported confidentially to the President, the Chancellor under review, the Review Committee, and the agenda committee/executive committee of the campus faculty council. A summary of these survey results will be included in the final report of the Review Committee.

Commented [UFC22]: UFC accepts this change. (June 2006)

Commented [UFC23]: UFC accepts this change. (June 2006)

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A transcript of all written comments, screened for self-identifying features, shall be prepared and sent to the President and the Chancellor under review by the survey agency. The use of surveys to gather information from other constituencies (e.g., community members, staff, alumni) shall be considered by the Review Committee. Should a decision be made to conduct such surveys, they shall be developed and administered with the guidance of the same survey agency used for the faculty survey. ~~The use of surveys to gather information from other constituencies (e.g., community members, staff, alumni) shall be considered by the Review Committee. Should a decision be made to conduct such surveys, they shall be developed and administered with the guidance of the same survey agency used for the faculty survey.~~

~~A transcript of all written comments, screened for self-identifying features, shall be prepared and sent to the President and the Chancellor under review by the survey agency.~~

Commented [UFC24]: UFC accepts this change. (June 2006)

- 10. Reporting.** Prior to submitting a final report to the President, the Review Committee shall meet separately with the Chancellor being reviewed and then with the President to discuss the findings of the report. The Chancellor shall be given an opportunity to provide the Review Committee with a written response to its findings. The Review Committee then shall provide a final written report to the President containing a summary of its findings and recommendations and the response of the Chancellor. These recommendations may include consideration of the need to conduct a “Focused Review,” described below.

If there are serious disagreements within the Review Committee about the content of the report, a Minority Report may be submitted with the Review Committee report. The President shall respond to the Review Committee, discussing actions to be taken as a result of the Committee’s findings and recommendations, including whether or not a Focused Review will be conducted.

The Committee’s final report, any minority reports, and the President’s response shall be made available to the Chancellor under review, the UFC Agenda Committee and the executive committee of the campus faculty council.

After receiving the report, the UFC Agenda Committee and the executive committee of the campus faculty council will invite the Review Committee chairperson to present an oral summary report in Executive Session to their respective councils, following *Academic Handbook* procedures.

~~The President shall consult with the leader of the campus faculty council and the Chair of the Review Committee, and then the President and the Chair shall, the Chair of the Review Committee, and the leader of the campus faculty council shall~~ determine what elements of the final report, minority reports, and the President’s response should be included in a public summary document; however, the summary document must include an accurate characterization of the results of any surveys conducted by the Review Committee. The

Commented [UFC25]: UFC accepts this change. (June 2006)

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Review Committee report, the minority report, and the public summary may not quote directly from confidential documents.

- 11. Focused Reviews.** In cases where reviews identify a significant number of problems in campus leadership, it is appropriate for the Review Committee to recommend that a Focused Review plan for improvement be developed between the President and the Chancellor under review. In such cases, the President shall report back to the Review Committee Chair within three months that a plan for improvement has been agreed upon between the President and the Chancellor, and determine in consultation with the Review Committee Chair the timing of a Focused Review. The President will ask the Review Committee Chair to ~~The Review Committee Chair shall~~ notify the UFC Agenda Committee when a Focused Review has been requested, the specific timeline for completion of the Focused Review, and the areas of concern under review. The focused review shall be conducted during either the second or third year after completion of the original Review.

Commented [UFC26]: UFC accepts this change. (June 2006)

The issues considered in a Focused Review will be restricted to those issues identified in the original Review report as problems to be addressed. The original Review survey instrument will not be re-used for the Focused Review. The procedures used to conduct the Focused Review, including the appointment of a committee to conduct the review, will be determined by the President. The President will report to the UFC Agenda Committee and the leadership of campus faculty council on the results of the Focused Review.

- 12. Effective Date.** This policy shall become effective as of the 2005-2006 academic year upon approval of the Board of Trustees.

Commented [UFC27]: UFC accepts this change. (June 2006)