Review of University Administrative Offices

UA-?? (To be determined by the Office of Policy Administration)

About This Policy
Effective Date: 4/25/2023
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Responsible University Administrator: President, Indiana University
Responsible University Office: Office of Human Resources, University Faculty Council
Policy Contact: IU Human Resources askHR@iu.edu University Faculty Council Office ufcoff@iu.edu

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Scope

These procedures apply to reviews conducted on the following University Administration (UA) offices that report to the University President:

- Capital Planning and Facilities
- Communications and Marketing
- Diversity, Equity, and Inclusion
- Finance and Administration
- General Counsel
- Human Resources
- International Affairs
- Research
- Student Success
- University Information Technology
- University Relations

Policy Statement

A. The review of University Administrative offices is the responsibility of the President.

B. University Administrative offices should be reviewed once every five years with 2-3 reviews completed each year. Each review should be completed within a three-month timeframe and should be conducted during the academic year to maximize participation from faculty and students.

C. The review should cover:
   1. The structure and operation of the office,
   2. The scope of responsibilities assigned to it,
   3. The adequacy of its resources, and
   4. The performance and leadership of the senior administrators in the office.

D. The review process should be transparent and include an executive summary of the review results that is made public to the IU community. However, all participants in a review are expected to maintain confidentiality while the review is underway.

E. Reviews shall include a structure to assure open communication among the participants about the process and the results. These reviews are designed to be collaborative and ultimately provide support and guidance to the President and the office, and the result should be meaningful data regarding the effectiveness of the office, which may inform its future operating procedures and practices.

Reason For Policy

Regular reviews of IU administrative offices provide a mechanism to measure the successes and the opportunities for growth within the highest levels of Indiana University. The focus on offices, rather than just reviewing their leaders, allows a more comprehensive look at the services provided and whether the office is meeting the needs of the IU community.

Procedures

A. The Review Committee

1. Reviews shall be conducted by a Review Committee appointed by the University President. The Review Committee chair will be from an outside firm with expertise in such reviews selected by the University President. The Committee shall be composed of 7-10 members appointed by the University President in consultation with the Executive Committee of the University Faculty Council (UFC) and appropriate governance groups representing other affected constituencies such as staff and students.
2. Faculty membership should be weighted relative to the extent to which the office affects the academic mission of the university. As such, committees reviewing International Affairs, Research, and Student Success, should have substantial faculty membership.
    a. All committees must have at least one faculty member.
    b. Faculty members shall be selected from a list supplied by the UFC Executive Committee, which shall strive for diversity among appointment classifications and perspectives in compiling the list.
3. One member of the committee should be an outside expert in that functional area. ~~A member of Internal Audit should serve as an ex-officio member of the committee whose primary role will be to guide the committee chair on the internal processes of the university.~~

B. Components of a Review

1. Self-report: Prior to convening a review committee, the administrator of the office under review, shall complete a concise self-report that addresses key areas such as strategic vision, success metrics, policies and procedures, diversity, equity and inclusion initiatives, fiscal responsibility and compliance with relevant University policies, and state and federal laws.
2. Surveys: An anonymous survey on multiple dimensions of the office, including but not limited to the areas identified in Section C of the Policy Statement, will be given to the primary stakeholders affected by the actions of the office, as determined by the Review Committee. The survey questions should be consistent across all reviews and focus on the experience of stakeholders including the quality of service offered, the ease of interacting with the office and the trust constituents have in it. It shall include questions about specific components, offices and programs within the office being reviewed. The Review Committee may use the services of the IU Center for Survey Research.
3. Targeted Focus Groups: The Review Committee will host targeted, structured, small, focus groups with members of the office's primary constituents. Other IU offices that the office partners closely with should be included in these discussions and the Committee should ensure input from all campuses and may solicit individual feedback as appropriate.
4. Committee Assessment: The Review Committee will complete an assessment of operations of the office in the areas identified in the self-report and Section C of the Policy Statement. The Committee will work with various offices across the University to collect the necessary data for this assessment.

C. Final Report

1. The committee will submit to the University President a final report summarizing the findings of the survey, focus groups and committee assessment. The report should highlight key strengths and successes, areas for improvement, and any recommendations for future initiatives for the office. The President should share the final reports of the International Affairs, Research and Student Success reviews with the UFC co-chairs. A copy of the report should be sent to IU Human Resources for archiving and to retain a historical record of these reviews.
2. A succinct executive summary of the report composed only of high-level observations and recommendations should be developed and shared with key stakeholders and the university community.

History

This policy is the result of a collaborative effort between the UFC and IU Human Resources. It was approved by the Vice President and Chief Human Resources Officer and the UFC on April 25, 2023.

Portions of this policy replace ACA-10, Review Procedures for Administrators. Future revisions should involve both the University Faculty Council and IU Human Resources.