

## **Process for the Evaluation of Academic Deans**

### **July 13, 2010**

This process has been formulated through a series of iterations from the Rutgers University Senate and the president of the University, and applies to the academic dean of each academic unit of the University.

1. Each academic dean shall normally be evaluated by faculty, staff and students in the unit every five years, but an evaluation can be triggered at any time by the Senior Vice President for Academic Affairs (SVPAA), the dean's chancellor, by the dean, or by the unit's faculty. The latter proceeds as follows: a petition by 25% of the unit's tenured faculty, or by 25% of the students of the unit, to the faculty secretary of the unit, or equivalent person, triggers a secret ballot docketed for the next faculty meeting where the question of whether to have an out-of-cycle evaluation of the dean, to commence at the current semester, is decided by majority vote of those voting. An evaluation by petition can only be requested once between regular evaluations.
2. The initial evaluation for newly appointed deans should be earlier than the fifth year so that evaluations by faculty, staff and students should not coincide with the 5-year review by the dean's chancellor. Such evaluations should be carried out in year 4, since this is expected to allow enough time for the deans to act on suggestions resulting from the evaluation. A single semester should normally suffice for completion of the evaluation.
3. At the direction of the SVPAA, the dean's chancellor will meet with the unit faculty and the dean to initiate the process. In most cases, the unit faculty will also be the "appropriate constituency body." In units where the faculty do not regularly meet as a body, an appropriately representative body shall be identified by the respective chancellor at the onset of the evaluation process.
4. The University Senate will be informed by the SVPAA in case of major delays or irregularities.
5. An ad hoc Dean Evaluation Committee (DEC), the majority of which must be faculty members<sup>1</sup>, will be formed by the dean's chancellor as follows:
  - a. The appropriate governance body of the unit will submit a slate of ten faculty members<sup>1</sup> or 50% of the faculty, whichever is smaller, from within the unit, from which three will be chosen.

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<sup>1</sup>Full time faculty members with three or more years of service at Rutgers, who (with the exception of RBHS) are tenured, and who do not hold administrative appointments other than department chairs, graduate directors or undergraduate directors.

- b. The Executive Committee of the University Senate will submit a slate of eight faculty members<sup>1</sup> from without the unit, from which two will be chosen. Faculty from related units should be preferred in the composition of the slate.
    - c. Up to three administrators may be appointed by the dean's chancellor.
6. The DEC will meet as a body to elect its chair.
7. The dean will be asked by their chancellor to submit to the committee, within a reasonable timeframe, a statement detailing responsibilities and accomplishments that will include data as well as his/her vision and strategic plan for the unit. A formal job description, if it exists, will also be forwarded to the DEC. The dean's statement should be made available to those providing input to the process.
8. The DEC, in consultation with the dean's chancellor, will decide on whether to include in its membership representatives from among the staff, students, alumni, or other constituencies (from within or without the unit or even the University) with whom the dean may have substantial contact. In so doing, the DEC must ensure that the majority of its members are faculty<sup>1</sup>. The DEC will also decide on the manner of choosing such members. In the case of student membership, the student representative(s) should be chosen from among student senators representing the unit, and/or officers of the appropriate student governing association.
9. The DEC will then meet and formulate a plan for the review with advisory input from the dean and the dean's chancellor. In so doing, the committee shall enjoy significant latitude, but will need to ensure that meaningful faculty (including PTLs and annuals), student and staff input is received during the evaluation process, and that the process provides for anonymity of respondents who request it. Furthermore, in addition to any unit-specific questions or criteria, DEC's will include in the review process evaluations of the dean in the following areas, as appropriate to the individual unit:
  - Quality of relationship with, and care for, students
  - Quality of collegial relationship between the dean and the faculty and/or fellows
  - Performance in personnel issues involving faculty and staff
  - Performance of financial and strategic management of the unit's resources
  - Overall performance
- a. A survey should be formulated by the DEC. Provision should be made for narrative comments as well as a series of multiple-choice evaluations. The multiple-choice evaluations will include the five performance areas listed above plus any unit-specific additions from the unit faculty.

Generic templates for a faculty and a staff survey are appended as Appendix I (faculty) and Appendix II (staff). They are only meant to be of assistance to the

DEC, which can add, amend, or delete elements as appropriate for the particular unit. These surveys have been formulated based on the initial survey used by the School of Communication and Information. Nevertheless, all previous survey formats should be kept by the Center for Teaching Advancement and Assessment Research (“CTAAR”) and be made available to the DEC for consideration.

Analysis of the data will be programmed so that means and other statistics will be standard outputs, along with anonymous listing of the narrative comments. This summary of respondents’ input is all that will be made available to those having access to survey results. The surveys must provide privacy assurances for the faculty, staff, students and other respondents. Use of an electronic survey is recommended, but for units using an online survey, non-electronic copies of the survey instrument will be provided to faculty, students or staff who do not wish to participate in the electronic version, and the DEC will need to determine how to protect the confidentiality of those respondents and how to ensure that their views are included in the overall evaluation. Response rates for the survey by type of respondent (tenured and tenure-track faculty, other faculty, student, administrative and non-administrative staff, other) should be reported along with the survey results.

Units may wish to collect additional data, such as:

- Respondent’s familiarity with dean’s performance in position
- Quality of faculty and program development
- Fairness and ethics
- Leadership
- Communication
- Functional competence
- Commitment to diversity
- Interpersonal skills

- b. The survey will be carried out by CTAAR. Numerical results will be tabulated by CTAAR, and the written comments will be provided. Nevertheless, evaluating the data and formulating the report is the task of the DEC.
  - c. The committee or a subcommittee of the DEC will write a summary of the written comments and will correlate them with the numerical results (if any). The DEC will consider survey response rates and distribution of responses in compiling the report.
10. A thorough evaluation process should be carried out by the DEC. Additional input could include discussion summarized in narrative form (similar to departmental narratives used in faculty personnel decisions), or letters and communications from individuals

commenting on the dean's performance, as long as anonymity of the individuals responding can be preserved if desired by those respondents. Units are encouraged to use qualitative as well as quantitative data in the evaluation process. The dean's chancellor is encouraged to make available some secretarial support to the DEC, if needed.

11. Once completed, the DEC shall send the report to the dean, along with a request for a written response. The DEC may choose to modify the original evaluation report in response to the dean's reply, particularly in cases where the dean has pointed out to the committee errors of fact or interpretation. The DEC will append the response of the dean to its final report, and the chair of the evaluation committee should directly distribute one copy each to the president, the SVPAA, the dean's chancellor and the chair of the University Senate. It is expected that the results will be confidential and that those with access to the results will respect that confidentiality.
12. The DEC will prepare a non-confidential summary of the findings, and will mail or e-mail it to the faculty of the unit. In preparing this summary, the DEC may also wish to summarize the response of the dean. The contents should include non-confidential information at the discretion of the DEC. It is suggested that some results of the survey be part of the feedback summary. The dean's chancellor will have the opportunity to review and approve the summary before it is distributed to the faculty. The DEC will decide whether to share the non-confidential summary with other constituencies that have provided input to the evaluation.
13. The chancellor should meet with the dean to discuss the evaluation.
14. The chancellor should then meet with the dean and the faculty to discuss those results of the evaluation that pertain to unit policy, its strategic direction and its mode of operation and plans (if any) to bring about policy changes stemming from the review process.