

### **Attachment 3**

#### **Proposed Revisions to University Handbook C157**

#### **Approved by Faculty Senate Faculty Affairs Committee**

\*\*Due to the amount of changes made to this section, it was not ideal to include a track changes version. Instead, a summary of changes has been provided below.

#### Summary of Changes:

- Wording edited to provide clarification related to how the survey will be administered and what content will be shared with the Dean.
- Modified to allow the advisory committee to give input on the survey questions.
- Clarification as to what recommendation the committee is to provide the Provost and the manner in which the committee will report their recommendation.
- Delete items that no longer have relevance due to changes in technology.

## **New Proposed Version**

### **C157 Dean's Evaluation Procedures. Five year comprehensive review**

(FS 11/10/09 revisions)

**C157.1** During the fifth year of the dean's tenure, the provost will request that the dean write a self-assessment of his/her activities for the past five years. In addition, the provost will write a brief summary of the university administration's expectations under which the dean has been operating. These expectations will be those agreed upon by the provost and the dean.

**C157.2** The formal process of the evaluation will be initiated by a letter from the provost to the faculty and unclassified professionals of the college and other personnel designated to provide input (e.g., students, classified staff, constituent groups, etc.). This letter will initiate the formal process of the evaluation, explain the process, state that an opportunity to provide feedback will be forthcoming, and note that an advisory committee will be appointed. A summary of the university administrative expectations under which the dean has been operating will be made available to respondents.

**C157.3** The provost will select and appoint an advisory committee. The advisory committee selection process will involve consultation with the dean, elected faculty senators, and a faculty council if the college has one. The committee will represent each academic discipline or department, and reflect the gender and race diversity of the college/unit to the extent possible. As a general practice, only tenured faculty and no more than one department head will serve on the advisory committee. With the approval of the provost, the committee membership may be expanded by the addition of representatives from non-faculty groups who are served by the college (including students, unclassified professionals, classified staff, or clients of the college). The announcement of the composition of the committee will be made after the survey results have been collected.

**C157.4** The provost will identify five references, external to the college, who have knowledge of the dean's work in fund raising and alumni/constituent relations. The references will be contacted by the provost and asked to provide a written summary of the dean's performance as Dean at Kansas State University. Some of these references will be in higher education, although others may be in related professional disciplines. Both the dean and the advisory committee may provide suggested references to the provost, according to a timeline established by the provost.

#### **Development and distribution of the survey**

**C157.5** The template for the dean's evaluation survey should be consistent across the university. The dean and advisory committee may propose relevant questions to be added to the survey instrument to make it a better fit for the specific dean being evaluated. The provost will have the final approval of the questions to be included in the survey instrument that is administered for a specific dean. The survey instrument, collection of data, and analysis of data will protect the privacy, confidentiality and anonymity of respondents. The survey instrument will include a clear statement that the summary of the numerical data and comments will be shared with the dean. The provost will empower the Office of Planning and Analysis or other appropriate unit to distribute the materials for confidential feedback. The method used to collect the feedback shall be private and anonymous, provide opportunity for input on performance relative to established

missions and goals, and focus on the overall effectiveness of and confidence in the dean. The Office of Planning and Analysis or the other appropriate unit will collect the results. Electronic mail is neither private nor anonymous, and should not be used to solicit, provide, or report feedback.

**C157.6** The results will be summarized by the Office of Planning and Analysis or other appropriate unit. Written comments will be compiled, protecting respondent confidentiality. Prior to being finalized, the provost will review and retain all written comments. Allegations of an unsubstantiated nature will not be included in the results, but will be subject to inquiry by the provost at his or her discretion.

### **Responsibilities of the Advisory Committee**

**C157.7** The provost will charge the advisory committee and provide a timeline for reviewing the data and preparing the report and recommendations. Each advisory committee member will receive a copy of the final composite of the results, a copy of each letter of reference, the summary of the expectations of the university administration under which the dean has been operating, the self-assessment by the dean, including goals and objectives provided to the provost in previous years, and evaluation materials from other relevant groups identified in Section C157.3.

**C157.8** The advisory committee will write a draft report for the provost, which summarizes strengths, weaknesses, and issues of substance which need to be addressed. A draft copy of this report will be provided to the dean along with a copy of the final composite of the results and written comments. Prior to the committee drafting its final report to the provost, the dean will have an opportunity to respond to the committee in writing to clarify misconceptions and provide further relevant information. After due consideration of any responses from the dean, the committee will produce a final copy of the report for the provost with an overall recommendation for appointment or non-reappointment to a subsequent five-year term and will forward any response from the dean to the provost. The final report shall be signed by all committee members including the chair allowing for special provisions for missing signatures when a committee member is unavailable to sign. In the case that a minority report is deemed necessary, the report and its content should be disclosed to all committee members including the chair. The minority report shall be submitted at the same time as the final report. A separate letter from the committee to the provost will contain the number of votes of the advisory committee members for or against the reappointment of the dean. No identification of any individual votes will be included. Following the receipt of the report and prior to the final determination by the provost as to reappointment or non-reappointment, the advisory committee will have the opportunity to meet with the provost, discuss the survey results, and the vote of the committee on the recommendation.

**C157.9** Absolute confidentiality is expected from the committee members concerning all evaluation materials, committee deliberations, and final recommendations. Confidentiality for committee members is a matter of both ethics and policy.

**C157.10** The committee's recommendations are advisory in nature. The final decision resides with the provost subject to the approval of the president. If the provost's decision as to reappointment is contrary to a recommendation from a majority of the committee, he or she will

meet with the committee members to explain the reasons for not accepting the committee's recommendations.

**C157.11** The provost will meet with the faculty of the college to announce the outcome and discuss relevant issues.

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## Old/Current Version in University Handbook

(<http://www.k-state.edu/academicpersonnel/fhbook/fhsecc.html>)

### **C157 Dean's Evaluation Procedures. Five year comprehensive review**

(FS 11/10/09 revisions)

**C157.1** During the fifth year of the dean's tenure, the provost will request that the dean write a self-assessment of his/her activities for the past five years. In addition, the provost will write a brief summary of the university administration's expectations under which the dean has been operating. These expectations will be those agreed upon by the provost and the dean.

**C157.2** The provost will identify five references, external to the college, who have knowledge of the dean's work in fund raising and alumni/constituent relations. The references will be contacted by the provost and asked to provide a written summary of the dean's performance as Dean at Kansas State University. Some of these references will be in higher education, although others may be in related professional disciplines.

**C157.3** The formal process of the evaluation will be initiated by a letter from the provost to the faculty and unclassified professionals of the college and other personnel designated to provide input (e.g., students, classified staff, constituent groups, etc.). This letter will initiate the formal process of the evaluation, explain the process, state that an opportunity to provide feedback will be forthcoming, and note that an advisory committee will be appointed. A summary of the university administrative expectations under which the dean has been operating will be made available to respondents.

**C157.4** The provost will empower the Office of Planning and Analysis or other appropriate unit to distribute the materials for confidential feedback. The method used to collect the feedback shall be private and anonymous, provide opportunity for input on performance relative to established missions and goals, and focus on the overall effectiveness of and confidence in the dean. The Office of Planning and Analysis or the other appropriate unit will collect the results. Electronic mail is neither private nor anonymous, and should not be used to solicit, provide, or report feedback.

**C157.5** After the materials have been administered, the provost will select and appoint an advisory committee. The advisory committee selection process will involve consultation with the dean, elected faculty senators, and a faculty council if the college has one. The committee will represent each academic discipline or department, and reflect the gender and race diversity of the college/unit to the extent possible. As a general practice, only tenured faculty and no more than one department head will serve on the advisory committee. With the approval of the provost, the committee membership may be expanded by the addition of representatives from non-faculty groups who are served by the college (including students, unclassified professionals, classified staff, or clients of the college).

**C157.6** The results will be summarized by the Office of Planning and Analysis or other appropriate unit. Written comments will be transcribed to typed format and compiled, protecting respondent confidentiality. Prior to being finalized, the provost will review and retain all written comments. Allegations of an unsubstantiated nature will not be included in the results, but will be subject to inquiry by the provost at his or her discretion. The provost will review and retain all written comments before this composite is finalized.

**C157.7** Each advisory committee member will receive a copy of the final composite of the results, a copy of each letter of reference, the summary of the expectations of the university administration under which the dean has been operating, the self assessment by the dean, including goals and objectives provided to the provost in previous years, and evaluation materials from other relevant groups identified in Section C157.3.

**C157.8** The advisory committee will write a draft report for the provost, which summarizes strengths, weaknesses, and issues of substance which need to be addressed. A draft copy of this report will be provided to the dean along with a copy of the compiled results. Prior to the committee drafting its final report to the provost, the dean will have an opportunity to respond to the committee in writing to clarify misconceptions and provide further relevant information. After due consideration of any responses from the dean, the committee will produce a final copy of the report for the provost with an overall recommendation for appointment or non-reappointment and will forward any response from the dean to the provost.

**C157.9** Absolute confidentiality is expected from the committee members concerning all evaluation materials, committee deliberations, and final recommendations. Confidentiality for committee members is a matter of both ethics and policy.

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**C157.11** The provost will meet with the faculty of the college to announce the outcome and discuss relevant issues.