Office of the President
California State University, Chico

Executive Memorandum 18-021

August 13, 2018

From: Gayle E. Hutchinson, President

Subject: Executive Management Evaluation Development, Revision of EM 03-010

Upon the recommendation of the Academic Senate and the concurrence of the Provost, I approve Executive Management Evaluation and Development, effective immediately.

Policy Title:	EM 18-021 Executive Management Evaluation Development, Revision of 03-010
Contact:	Executive Committee of the Academic Senate
Supersedes:	
Revision:	EM 03-010
Enabling Legislation or Executive Order:	

Preamble

CSU policy and the principles of sound organizational management hold that employees should be subject to formal periodic performance appraisal. While such appraisal necessarily has an evaluative component, it also needs to be appropriately supportive and developmental. This is an important evaluative and developmental process.

It is in the nature of universities that faculty, staff, and students take on a co-governance responsibility with the administration. This participative relationship extends to the selection, placement, and appraisal of key managerial personnel. The purpose of this document is to specify the policy by which faculty – along with the appropriate participation and input of other important university constituents – contribute to the evaluation and development process of the campus' executive management.

This process needs to be fair, balanced, rigorous, and based on each manager's designated job responsibilities, and also provide an accurate overview of the services and activities provided by their areas of oversight. Part of each executive's job is to develop and guide the managers who report to him/her.

Furthermore, it is recognized that confidentiality is an important component to this whole endeavor. At all times, confidentiality within the committee is to be maintained. The anonymity of those providing input to the reviews will be maintained to the full extent to which the law allows.

The executive management evaluation process needs to include a breadth and variety of data commensurate with the position under review. The outcome of the process detailed below needs to be a summation and interpretation of these data that will provide the university's chief executives, the President and Provost, with a solid foundation on which to base evaluative and developmental actions with regard to each manager reviewed.

I. SCOPE

a. Executive management evaluations will be performed by the Executive Management Evaluation and Development Committee (EMEDC), whose purpose is to:
    i. Provide reports to the president as to the performance of executive officers and Deans;
    ii. Provide the subjects of each evaluation with an emphasis on constructive, developmental feedback;
    iii. As requested by subjects of evaluation, provide input regarding unit goals stemming from data gathered in the evaluation;
    iv. As requested by the president, evaluate additional managerial personnel.
b. Positions to be evaluated by the structures and processes herein describe Admin IV and above designations as Executive Officers and Deans:
    i. Provost, Vice Presidents, Vice Provosts, Assistant Vice Presidents and Associate Vice Presidents in Academic Affairs.
    ii. College Deans including the Meriam Library Dean.
    iii. Other Academic Deans (Regional and Continuing Education, Graduate Studies, Undergraduate Education)
    iv. Other senior managerial positions with significant impact on the academic program as authorized by the president in consultation with the Academic Senate Executive Committee.

II. POLICY

a. The Executive Management Evaluation and Development Committee (EMEDC)
    i. Membership
        1. Four full-time faculty
        2. One permanent staff member
        3. One presidential appointee
        4. One dean, not slated for review in the next 2 cycles
    ii. Selection for Membership
        1. Faculty members shall submit nominations to the Academic Senate Office in the same manner as with other university-wide committees. Members shall be appointed by the Academic Senate Executive Committee.
        2. The staff member shall be appointed by the Staff Council.
        3. The president (or designee) shall appoint one member.

4. The president (or designee) shall appoint the dean representative; a dean not slated for review during the next 2 cycles.

iii. Terms

1. Faculty members shall be appointed to two-year, staggered terms. Likewise, the dean, and president's designee shall be appointed to two-year, staggered terms. The staff member shall be appointed for a one year term.

iv. Selection and Term of the Chair

1. The members of the committee shall elect the chair each year for a term of one year.
2. The chair shall be one of the returning faculty members.
3. A secret ballot method shall be used and the process will be run through the Academic Senate Office.
4. The chair cannot serve as chair for more than six consecutive years. Succession planning should occur within this term limit. This term may be extended with approval of the Academic Senate Executive Committee.

v. Calendar and Schedule of Reviews

1. The first meeting of EMEDC shall be called by the fourth week of the beginning of the academic year by the Academic Senate chair, who will request the president to develop a list of reviews to be conducted by the committee. The list will be presented at its first meeting. Normally the executives reviewed under this policy should come up for review every 5 years.
2. The president will determine the individuals to be reviewed prior to the start of the academic year and will jointly present his/her plan to the committee along with the Senate chair at the first meeting of the EMEDC. In this consultation with EMEDC, the President will finalize a determination of the reviews.
3. The committee will formulate a schedule for the reviews.
4. At the end of each year, the EMEDC shall provide the Academic Senate a summary of its activities for the year.

vi. Review Process for the Executive Officers and Other Academic Deans

1. Review Committee Membership
    a. The chair of the EMEDC, who will chair the review committee.
    b. Two other faculty members from the EMEDC, ideally including one experienced and one less experienced member.
    c. The staff member of the EMEDC.
    d. Two presidential appointees. One of these appointees may be the presidential appointee member of the EMEDC. The other appointee shall be a dean not currently under review.
2. Scope and Process

a. A charge will be provided to the committee from the President, who will outline specific scope and responsibilities.
b. For reviewing the provost and vice presidents, the president is the appropriate administrator.
c. For reviewing the deans and the vice provost, the provost is the appropriate administrator.
d. For reviewing the associate vice presidents and assistant vice presidents, their respective vice president is the appropriate administrator.
e. The focus of the review will be on how the person's leadership supports the University Mission, Strategic Priorities. The person's performance will be reviewed with a focus on their leadership, management, and collaboration.
f. In consultation with the appropriate administrator, the review committee will determine the appropriate set of constituents from whom to collect data.
g. In consultation with the appropriate administrator, the review committee will determine any unique goals or questions for each review.
h. A dialogue between the individual being reviewed and the committee shall help shape the review.
i. The committee will gather data from the evaluation subject's peers, faculty, staff, students, subordinates, on-campus customers/clients, other interdependent campus parties, off-campus customers/clients, and other relevant extra-campus parties as determined in consultation with the appropriate administrator.
j. The committee will integrate and summarize the findings into a report to the appropriate administrator including positive suggestions for development.
k. The committee will present the factual content of its report to the subject of the review and provide the opportunity to clarify the factual content.
l. The committee will meet with the appropriate administrator(s) to deliver, summarize, and highlight its report.
m. The appropriate administrator will provide evaluative and developmental feedback to the evaluation subject.

3. Data Gathering
    a. The committee will consult with the appropriate administrator(s) and each evaluation subject regarding the collection of additional information for purposes of the review.
    b. The committee will develop quantitative and qualitative surveys, conduct interviews, hold focus groups, and use

other appropriate means as determined in consultation with the Assistant Vice President for Staff Human Resources.

c. Upon completion of each review, all data shall be archived in the Human Resources Service Center for a period of three years.

4. Confidentiality
    a. Confidentially of the reports and anonymity of respondents' input will be maintained to the extent that the law allows.
    b. The committees' provost and vice president reports will be given only to the president, who will be responsible for the final disposition of each report.
    c. The committees' other academic dean and vice provost reports will be given to the provost, who will be responsible for the final disposition of each report.
    d. The committees' associate vice president and assistant vice president reports will be given to their respective vice president, who will be responsible for the final disposition of each report.

vii. Review Process for College Deans including the Meriam Library Dean

1. Review Committee Membership
    a. One faculty member of the EMEDC, determined by the committee
    b. Two full-time faculty members from the college, elected by the faculty of the college, one of whom shall be elected by the review committee to serve as its chair
    c. Two department chairs (or equivalent*) from the college, elected by the chairs of that college
    d. One permanent staff member from the college elected by the staff of the college in accordance with procedures established and conducted by the Staff Council
    e. One college dean elected by the college deans
    f. One provost appointee
    g. The EMEDC will execute the required elections needed to constitute the committee.
    *For colleges with an untraditional structure, the "equivalent" of 'departments' and 'department chairs' will be established by the Provost and the Academic Senate Executive Committee prior to the elections.
    h. With agreement of the Provost and the Academic Senate Executive Committee, the Dean Review Committee can be augmented from that described above. Augmentations will be carefully considered so as not to upset the balance of the various college constituencies.
2. Scope and Process

a. The faculty representative from the EMEDC shall convene the first meeting and serve as liaison with the EMEDC.
b. In consultation with the provost, the committee will determine the appropriate set of constituents from whom to collect data.
c. In consultation with the provost, the committee will determine any unique goals or questions for each review.
d. In consultation with the evaluation subject, determine any unique goals or questions for evaluation, development, and/or input on possible unit goals.
e. The committee will gather data from the evaluation subject's peers, faculty, staff, students, interdependent campus parties, college advisory boards, and other relevant extra-campus parties as determined in consultation with the provost.
f. The committee will integrate and summarize its findings into a report to the provost, including positive suggestions for development.
g. The committee will present the evaluation subject with a summary of the factual content of the review and offer the opportunity to clarify content.
h. The committee will meet with the provost to deliver, summarize, and highlight the report.
i. The provost will provide evaluative and developmental feedback to the evaluation subject.

3. Data Gathering
    a. The committee will consult with the president, provost, and each evaluation subject regarding any particular additional information of interest to be gathered.
    b. The committee will develop quantitative and qualitative surveys, conduct interviews, hold focus groups, and use other appropriate means as determined in consultation with the Assistant Vice President for Staff Human Resources.
    c. Upon completion of each review, all data shall be archived in the Human Resources Service Center for a period of three years.
    d. Confidentiality and anonymity will be maintained to the extent that the law allows.
4. Confidentiality
    a. Confidentially of the reports and anonymity of respondents' input will be maintained to the extent that the law allows.
    b. The committees' college dean reports, including the Meriam Library dean, will be given to the provost, who will be responsible for the final disposition of each report.

III. RESPONSIBILITIES

The Executive Management Evaluation and Development Committee (EMEDC) that is created by this document is a committee of the Academic Senate, but serves to directly assist and inform the President on issues relating to the evaluation and development of key managerial personnel.

Please direct any questions about this policy to the Chair of Academic Senate.