

21.2 Guidelines for the Review and Continuous Improvement of Academic Leadership

June 30, 2013

Stevens Institute of Technology

Academic Review Committee (ARC)*

- Edward Stohr, Howe School of Technology Management, Chair
- Anthony Barrese, School of Systems and Enterprises
- Yi Guo, Department of Electrical and Computer Engineering
- George Kamberov, Department of Computer Science
- Svetlana Malinovskaya, Department of Physics and Engineering Physics
- James E. McClellan III, College of Arts & Letters
- Svetlana Sukhishvili, Department of Chemistry, Chemical Biology and Biomedical Engineering

* Committee appointed by President Farvardin on February 1, 2013

Contents

	page
I. Introduction	1
1. Charge to the ARC Committee	1
2. Committee Process	1
II. General Policies for Appointment, Reappointment, and Review of Academic Leaders	2
1. Scope	2
2. Overall Objectives, Principals, and Understandings	2
3. General Guidelines for <u>Initial Appointment</u> of Academic Leaders	3
4. General Guidelines for <u>Reappointment</u> of Academic Leaders	4
5. General Guidelines for the <u>Annual Review</u> of Academic Leaders	4
6. <u>Pro-Tem</u> Appointments	5
III. Specific Policies for Appointment, Reappointment, and Review of Academic Leaders	6
1. Appointments/Reappointments to the Position of Provost	6
2. Appointments/Reappointments to the Position of Dean	7
3. Appointments/Reappointments as Department Chair	8
IV. Annual Online Surveys	10

I. Introduction

I.1. Charge to the Academic Review Committee

"The committee will develop two sets of guidelines, one for the review of academic leadership (department directors, deans and provost-level), and a second set of guidelines for the review and continuous improvement of academic departments and schools. Periodic review of both academic leadership and units can contribute significantly to continuous improvement across a variety of metrics where we strive for excellence in education, research, and administration."

(Email from President Farvardin to the Stevens Community, February 2, 2013.)

This document suggests guidelines for the review of academic leadership. Guidelines for the external review of academic departments are contained in a separate document.

I.2. Committee Process

The ARC Committee has met regularly since February, 2013. It has taken the following steps:

- Met with President Farvardin to discuss the committee's charge, schedule, and deliverables.
- Benchmarked appointment and review procedures at eight other schools.
- Gathered reference material informally from a number of sources including colleagues at other schools, colleagues inside of Stevens, and Web resources.
- Developed general policies for the appointment, reappointment, and review of academic leaders at the following levels: Provost, Deans, Department Chairs.
- Developed specific policies pertaining to the appointment, reappointment, and periodic review of these same academic leaders.
- Developed a procedure for the review of academic units.
- Presented a preliminary report to President Favardin.
- Presented a preliminary and/or revised report to the following stakeholders for their input:
 - Department Chairs
 - The Faculty Senate
 - The Deans
 - The Provost
 - The President

II. General Policies for Appointment, Reappointment, and Review of Academic Leaders

II.1. Scope:

By academic leaders we mean the Provost, Deans, and Department Chairs at Stevens¹.

These guidelines pertain to initial appointments, reappointments, and annual reviews of academic leaders.

II.2. Overall Objectives, Principles, and Understandings:

Procedures for appointment, reappointment, and review of academic leaders should:

- Facilitate continuous improvement in all aspects of the university's mission
- Be transparent
- Be consistent with the highest academic standards and generally agreed upon academic values and norms
- Be solicitous of public comment and community input
- Be effective but not overly bureaucratic or time-consuming
- Be documented.

The criteria for evaluating candidates for academic appointments at Stevens must include consideration of the following personal qualities:

- Integrity
- Leadership
- Citizenship
- Transparency
- Communication and personal skills
- Decision-making
- Conflict resolution.

as well as evidence of demonstrated achievements as an academic leader.

Appointments should preferably be for a fixed term of five years.

Appointments are renewable.

¹ Consideration should be given to developing similar procedures for other academic leaders such as Associate and Vice Provosts, Associate Deans, and Program Directors in CAL, SSE and STM.

Normally, no one should hold a position as Provost, Dean, or Department Chair for a period of more than ten years.

Search Committees and Review Committees superintend searches for academic leaders and present candidates to the appointing authority for appointment and/or reappointment.

Search Committees and Review committees should balance the needs for transparency and inclusion of faculty in the decision process with the need to protect the privacy of candidates.

The internal workings of Search and Review Committees will be held strictly confidential, extending to any documents or public comment it receives.

We recommend the use of an online survey to obtain confidential feedback from the academic leader's direct reports and appropriate other stakeholders. (See IV below.)

II.3. General Guidelines for Initial Appointment of Academic Leaders:

- In the case of a vacancy, the search for a new academic leader will be performed by a Search Committee that is representative of the faculty and other stakeholders appropriate to the level and specific circumstances of the appointment. Depending on the open position and circumstances, the university might hire a professional search firm to help identify suitable candidates.
- The selection of participants in the Search Committee will be the responsibility of the academic administrator to whom the new academic leader will report. That administrator will solicit names from faculty direct reports, the Faculty Senate, and other relevant parties.
- The Search Committee will articulate and publicize the standards, qualifications, and criteria by which the search will be conducted, candidates evaluated, and appointments made. The personal qualities listed in section II.2 should be observed.
- The Search Committee will superintend the search process, including interactions with a search firm if any. In consultation with the academic administrator to whom the new academic leader will report, the committee will arrange interviews of the candidate by a representative group of faculty, administrative staff, students and other stakeholders as appropriate.
- The Search Committee will present a list of candidates to the supervisor to whom the new academic leader will report.
- The Search Committee will also submit a written report to the supervisor to whom the new academic leader will report that outlines the strengths and weakness of each candidate so presented.
- The final appointment decision is the responsibility and authority of the appointee's future immediate supervisor.

II.4. General Guidelines for Reappointment of Academic Leaders:

- Fifteen months (or twelve months in the case of Department Chairs) prior to the expiration of any appointment, the academic leader and his or her immediate supervisor will meet to discuss the possibility of reappointment for an additional term. If they agree, a Review Committee will be appointed.
- The selection of participants in the Review Committee will be the responsibility of the academic administrator to whom the academic leader reports. That administrator will solicit names from faculty direct reports, the Faculty Senate, and other relevant parties.
- The Review Committee will articulate and publicize the standards and criteria by which the review will be conducted and the candidate evaluated. The personal qualities listed in section II.2 should be observed.
- The Review Committee will request from the academic leader a self-study outlining his or her accomplishments, challenges faced, and goals for the future.
- The Review Committee will solicit input and comment from the Stevens community at large.
- At the end of its deliberations, the Review Committee will provide a written recommendation to the academic leader's immediate supervisor
- The Academic Leader's immediate supervisor will discuss the Review Committee's report with the Committee and the Academic Leader.
- The Academic Leader's immediate supervisor will consult with other appropriate members of the Stevens Community concerning the reappointment decision.
- The decision to continue an academic leader for an additional term is the responsibility of that academic leader's immediate supervisor.

II.5. General Guidelines for the Annual Review of Academic Leaders:

- Annual reviews will be conducted by an academic leader's immediate supervisor with formal inputs from the direct reports of the person being reviewed and other stakeholders as appropriate.
- Annual reviews will consider the performance of the academic leader and any office or offices administered by him or her.
- Annual reviews will focus on goals set and achieved, obstacles encountered, plans for the upcoming year, and specific suggestions for improvements to be made in the short and long term. In a written document, the academic leader and immediate supervisor will agree on plans and goals for the upcoming year.
- His or her immediate supervisor will provide feedback to the academic leader and administer the appropriate processes for annual salary review and adjustment following a process similar to the university's Faculty Annual Review (FAR) and Compensation Review processes; including an assessment of past performance and expectations for the coming year.

II.6. Pro-Tem Appointments

In consultation with the Faculty Senate a pro-tem appointment may be made by the appropriate appointing authority (President, Provost, Dean) on their own authority during a search for a new academic leader or if a search/reappointment process has not resulted in an appointment.

The holder of a pro-tem position is to be a full-time member of the Stevens faculty. Except under unusual circumstances, a Dean or Department Chair pro-tem is to be selected from the relevant school, college, or department.

Normally, no one can serve in a pro-tem position for more than a single term of at most one year.

III. Specific Policies for Appointment, Reappointment, and Review of Academic Leaders

III.1. Appointments/Reappointments to the Position of Provost.

A. The Provost Search Committee.

In the case of a vacancy in the position of Provost at Stevens, the President will appoint a Provost Search Committee to identify candidates.

Membership: The Provost Search Committee will normally consist of at least twelve individuals. It is recommended that at least six members of the Provost Search Committee be full-time faculty representing the academic units within Stevens and that at least three of these committee members should be direct reports of the future Provost.

Appointment: The Faculty Senate will provide the President with a list of faculty members from which the President will choose six faculty members to serve on the Provost Search Committee. The President will appoint another six or more members of the Provost Search Committee from the wider Stevens and academic communities. The President will choose the committee chair from among the tenured faculty members of the Provost Search Committee.

Charge: The Provost Search Committee will superintend a national search process for the office of Provost. The committee will conduct a search, interview selected candidates and present a preferred list of candidates to the President along with a written report.

Functioning: See above, section II.3: General Guidelines for Initial Appointment of Academic Leaders.

The appointment of the new Provost will be made by the President in consultation with the Board of Trustees, the Faculty Senate, and the Provost Search Committee.

B. The Provost Review Committee.

Fifteen months prior to the expiration of the sitting Provost's term of appointment, he or she will meet with the President to discuss the possibility of reappointment for an additional term. If the sitting Provost and President agree, the President will appoint a Provost Review Committee to recommend whether or not to extend the sitting Provost's appointment for another term.

Membership and Appointment: The Provost Review Committee will be constituted in the same manner and with the same composition as a Provost Search Committee outlined above.

Charge: The Provost Review Committee will review the administrative performance of the Provost and the functioning of his/her administrative units. A major responsibility of the Review Committee is to recommend whether or not to extend the Provost's appointment for another term.

Functioning: See above, section II.4: General Guidelines for Reappointment of Academic Leaders.

The Provost Review Committee's written recommendation to the President is due no later than 12 months prior to the end of the Provost's term in office.

In consultation with the Board of Trustees, the Faculty Senate and the Provost Review Committee, the President will reappoint the Provost or make a recommendation that a new inside or outside candidate be sought.

III.2. Appointments/Reappointments to the Position of Dean.

A. The Dean Search Committee.

In the case of a vacancy in the position of an academic Dean at Stevens, the Provost will appoint a Dean Search Committee to identify a new Dean.

Membership: The Dean Search Committee will normally consist of at least twelve individuals. It is recommended that six members of the Dean Search Committee be full-time faculty representing all ranks (including non-tenure track faculty) in the school or college in question within Stevens and that at least three of these committee members be direct reports of the future Dean (e.g., Department Chairs.)

Appointment: The Faculty Senate, in consultation with faculty of the school, will provide the Provost with a list of names of faculty from which the Provost will choose six faculty members to serve on the Dean Search Committee. The Provost will appoint additional members representing the larger Stevens and academic communities. The Provost will choose the committee chair from among the tenured faculty members of the Dean Search Committee.

Charge: The Dean Search Committee will superintend a national search process for the office of Dean. The committee will conduct a search, interview selected candidates and present a preferred list of candidates to the Provost along with a written report.

Functioning: See above, section II.3: General Guidelines for Initial Appointment of Academic Leaders.

The appointment of the new dean will be made by the Provost in consultation with the President, the Board of Trustees, the Faculty Senate, and the Dean Search Committee.

B. The Dean Review Committee.

Fifteen months prior to the expiration of the sitting Dean's term of appointment, he or she will meet with the Provost to discuss the possibility of reappointment for an additional term. If the sitting Dean and Provost agree, the Provost will appoint a Dean Review Committee to recommend whether or not to extend the sitting Dean's appointment for another term.

Membership and Appointment: The Dean Review Committee will be constituted in the same manner and with the same composition as a Dean Search Committee outlined above.

Charge: The Dean Review Committee will review the administrative performance of the Dean and the functioning of his/her administrative unit. A major responsibility of the Review Committee is to recommend whether or not to extend the sitting Dean's appointment for another term.

Functioning: See above, section II.4: General Guidelines for Reappointment of Academic Leaders.

The Dean Review Committee's written recommendation to the Provost is due no later than 12 months prior to the end of the Dean's term in office.

In consultation with the President, the Faculty Senate and the Dean Review Committee, the Provost will reappoint the Dean within a reasonable time from receiving the report of the Review Committee or make a recommendation that a new inside or outside candidate be sought.

III.3. Appointments/Reappointments as Department Chair (or Leader of Equivalent Academic Unit.)

A. The Department Chair Search Committee.

In the case of a vacancy in the position of Department Chair at Stevens, the Dean of the relevant school will appoint a Department Chair Search Committee to help identify a new Department Chair.

Membership: The Department Chair Search Committee consists of a minimum of three full-time Stevens faculty. At least two of the members of this committee must be full-time faculty in the Department. It is recommended that the third member be a faculty member from another department covering a related academic discipline.

Appointment: The Dean will appoint the Department Chair Search Committee in consultation with members of the concerned department. The Dean will report the formation of the Department Chair Search Committee to the Faculty Senate.

Charge: The Department Chair Search Committee will superintend the search process for a new Department Chair. The committee will conduct a search, interview selected candidates and present a preferred list of candidates to the Dean along with a written report.

Functioning: See above, section II.3: General Guidelines for Initial Appointment of Academic Leaders. In addition, the following procedures will apply.

The Department Chair Search Committee will solicit names of internal candidates if any and discuss with the department faculty.

If there is no consensus on an internal candidate, the Department Chair Search Committee will advise the Dean and the Department and commence a search for an external candidate.

At the end of the search process the Department Chair Search Committee will develop a list, preferably of at least two candidates, for Department Chair. The list will be created in consultation with the Dean, the department faculty, and staff. Any full-time faculty in the Department may add their names to this list.

The Department Chair Search Committee will present the list of Department Chair candidates for a vote by the full-time faculty at a special department meeting. The results of the deliberations of the preceding search process will be presented and discussed during the meeting and prior to the vote.

The candidates with the top two vote scores will be presented to the Dean together with documentation from the preceding search process, a written explanation by the Department Chair Search Committee, and statements by each of the candidates.

The appointment of the new Department Chair will be made by the Dean in consultation with the Provost, the Department Chair Search Committee and department faculty members.

B. The Department Chair Review Committee.

Twelve months prior to the expiration of the sitting Department Chair's term of appointment, he or she will meet with the Dean to discuss the possibility of reappointment for an additional term. If the sitting Department Chair and Dean agree, the Dean will appoint a Department Chair Review Committee.

Membership and Appointment: The Dean Review Committee will be constituted in the same manner and with the same composition as the Department Chair Search Committee outlined above. The Dean will report the formation of the Department Chair Review committee to the faculty senate.

Charge: The Department Chair Review Committee is charged with reviewing the administrative performance of the Department Chair and the functioning of his/her department. A major responsibility of the Review Committee is to recommend whether or not to extend the sitting Department Chair's appointment for another term.

Functioning: See above, section II.4: General Guidelines for Reappointment of Academic Leaders.

The Department Chair Review Committee's written recommendation to the Dean is due no later than 9 months prior to the end of the Department Chair's term in office.

In consultation with the Provost the Department Review Committee and department faculty, the Dean will reappoint the Department Chair or make a recommendation that a new inside or outside candidate be sought.

IV. Annual Online Surveys²

We recommend implementing annual online surveys as an efficient means to assess the performance of Department Chairs and Deans by faculty and staff in their units. The survey will be confidential and will be distributed at the direction of the Provost by the Office of Planning and Assessment to all staff and faculty of the corresponding unit.

The surveys will be made available to the immediate supervisor of the person assessed, but will not be automatically available to that individual or to the entire academic unit. The results of the survey will provide the supervisor with information on the efficiency of the assessed administrator in the eyes of a specific academic unit, and these results will be used as an integral part of annual assessment of administration performance.

The results of the online surveys should be used with discretion, however, especially considering the small size of departments at Stevens. Disclosure of specific details or summary of online surveys to the assessed administrator or to the academic unit will be at the discretion of his/her supervisor.

Surveys will evaluate key administrator competencies through Likert-scale questions and can be brief. We also recommend that provisions be made for open-ended, verbatim comments as part of these surveys.

Example survey categories include:

- Integrity
- Leadership
- Citizenship
- Transparency
- Communication and personal skills
- Decision-making
- Conflict resolution
- Achievements
- Overall evaluation

Examples of specific questions in the category “Decision making” include:

- Provides faculty (and, where appropriate, students) adequate opportunity for participation in decision making, without avoiding the administrator’s responsibility?
- Makes tough but necessary decisions?
- Makes fair and proper decisions?

² Sources: Julia Vlajic, Christine Enyeart “*Decanal Review and Search Processes at Public Research Universities*,” 2011; Tara Patel, Nalika Vasudevan “*Developing a Comprehensive Department Chair Review Process*,” 2012.