

9/3/97

University of Minnesota

**RECOMMENDED PROCEDURES**  
**for**

**COMPREHENSIVE REVIEWS**  
**for**

**SYSTEM and CAMPUS OFFICERS**

*These recommended procedures apply specifically to periodic comprehensive reviews as referred to in the "Review and Evaluation of Academic Administrators" policy. These procedures have been recommended for use in reviewing chancellors, vice presidents, deans and other senior administrative positions designated by the President.*

These recommended procedures are available on the World Wide Web at the following URL:  
<http://www.umn.edu/ohr/policy/creview/>

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## Review and Evaluation of Academic Administrators

The University is committed to fostering the success of its administrative staff and enhancing each administrator's effectiveness in a constructive way, encouraging their individual professional development efforts through a formal communication and information mechanism. Performance appraisals are a means to support this commitment and are the responsibility of the appropriate responsible administrator\*. The "*Review and Evaluation of Academic Administrators*" policy mandates assessment of administrators in a relatively uniform fashion. Responsible administrators are expected to conduct and budget for appropriate performance appraisals and will be held accountable for doing so in their own performance reviews. As directed in the "*Review and Evaluation of Academic Administrators*" policy, they are to include a brief report on the implementation of appropriate reviews as part of their own annual review process. The responsible administrator is encouraged to structure a streamlined and effective process within the framework of the recommended procedures.

**There are two major components within the academic administrative performance review process, *annual reviews* and *periodic comprehensive reviews*.**

*Annual Reviews, not covered in this procedural guide*, are conducted each year for the purpose of focusing on overall accomplishments and professional growth for a particular year. Annual reviews may also have a focus that changes from year to year. Annual reviews provide a mechanism by which to manage performance and focus professional development efforts for the coming year.

*Periodic Comprehensive Reviews, covered in this procedural guide*, are broad in scope and dimension and build on the results of the annual reviews that have occurred since the last periodic comprehensive review. Assessment information is solicited from a wide spectrum of people who are affected by the individual's performance. Done well, the reviews provide an opportunity to see a picture the administration might not or does not see. They also provide a reliable and valid overall picture of performance including accomplishments, expertise, professional growth, and both a general and specific assessment of effectiveness in carrying out responsibilities. The majority of what is learned from the review is developmental. **This review is a major piece of information along with several other factors, used by administrators in making re-appointment decisions.**

*Periodic Comprehensive Reviews are conducted for the purposes of:*

- providing a formal systematic and reliable means of accomplishing periodic performance appraisals.
- improving individual performance to benefit personal, unit and institutional effectiveness.
- recognizing professional growth and achievements.
- focusing individual professional development plans for future growth in position.
- providing information to the responsible administrator who is charged with making personnel decisions including those of compensation and re-appointment.
- providing one mechanism for review and improvement of processes used to achieve individual, unit and institutional goals.
- fostering responsible leadership and management of all resources.
- providing one measure, positive or negative, of administrative accountability to both internal and external constituents.

**Periodic Comprehensive Reviews** for full-time administrators generally occur every three to five years at the responsible administrator's discretion. For an initial five year appointment, the review should be conducted at the beginning of the fourth year. This timing of the review will allow the outcome to be used as one factor in the re-appointment decision which needs to occur prior to the appropriate non-renewal notice period for the administrator being reviewed. Beyond the initial appointment, periodic comprehensive reviews are to be conducted no later than six months prior to the appropriate non-renewal notice period for the administrator being reviewed who is on a date specific (*J, L, or K*) appointment. A **committee structure** is to be used for the review. The review process should be completed within 60 days. The following procedures are recommended for conducting periodic comprehensive reviews and are applicable specifically to the following positions:

- *Chancellors*
- *Executive Vice President & Provost*
- *Senior Vice Presidents*
- *Vice Presidents*
- *Deans*
- *Other Senior Administrative positions designated by the President*

**System and campus officers may choose to follow these procedures or similar ones for other administrative personnel** (i.e., associate vice-presidents, department heads/chairs).

Responsible **administrator**: *refers to the individual whose responsibility it is to initiate the comprehensive review, prepare and deliver the final review assessment, and use the review along with several other factors in making a re-appointment decision.*

## ***Steps in Recommended Comprehensive Review Process***

<b>STEP 1:</b>	<b>The Office of Human Resources</b> will notify the President, Chancellors, or Vice Presidents, of comprehensive reviews that should take place within their respective units during each academic year. This information is passed on to appropriate responsible administrators.
<b>STEP 2:</b>	<b>Responsible Administrator</b> establishes the Review Committee for each review, after consultation with administrator being reviewed, appropriate unit personnel (e.g., administrators, faculty) and governance committees. <i>Refer to "Review Committee---Appointment and Membership"---p 10.</i>
<b>STEP 3:</b>	<b>Responsible Administrator</b> announces the review in <i>The Brief</i> and/or appropriate campus publication. Indicates that if individuals are not formally asked for assessment information but would like to participate, they should contact the chair of the Review Committee.
<b>STEP 4:</b>	<b>Responsible Administrator</b> meets with the administrator being reviewed to discuss factors that may be important to consider or which may be viewed as problematic in the review and to gain insight into the context of such situations.
<b>STEP 5:</b>	<b>Responsible Administrator</b> meets with the Review Committee to set the charge and 60 day timeline, identify for the committee additional administrative behaviors (may include performance issues or concerns raised over the last few years) besides the five core performance criteria on which the committee is to gather information, and reminds committee that the information they gather is confidential. The committee should also be provided with full copies of the Recommended Procedures for Comprehensive Reviews for System and Campus Officers.
<b>STEP 6:</b>	Appropriate <b>Human Resources Representative*</b> attends the first meeting of the Review Committee to review and clarify procedural guidelines, address questions, and provide education. <i>Refer to Human Resources Representative*---p. 23</i>
<b>STEP 7:</b>	<b>Review Committee</b> obtains and reviews at a minimum the following information: a) Prior to the start of the review: <ul style="list-style-type: none"> <li>• a background statement from the administrator being reviewed and the responsible administrator which addresses job responsibilities and agreed upon prior annual expectations (annual goals and objectives for the period of the review);</li> <li>• a summary of significant accomplishments from the administrator being reviewed since the last periodic comprehensive review;</li> <li>• a statement from the administrator being reviewed that addresses what has been supportive in getting their job done and what has impeded their ability to do so in the time covered by the review.</li> </ul> b) Following g collection of assessment information: <ul style="list-style-type: none"> <li>• assessment information submitted by review contributors;</li> <li>• self-evaluation of administrator being reviewed;</li> <li>• annual performance reviews since the last periodic comprehensive review for purposes of rounding out the evaluative perspective.</li> </ul>

<b>STEP 8:</b>	<p><b>Review Committee</b> develops assessment plan and criteria. The following core performance criteria should be addressed in each review:</p> <ul style="list-style-type: none"> <li>•Leadership</li> <li>•Commitment to Diversity</li> <li>•Management</li> <li>•Functional Competence</li> <li>•Interpersonal Skills</li> </ul> <p><i>Refer to "Description of Core Performance Criteria"---p. 8</i> It is recommended that the administrator being reviewed be requested to provide a reaction to a draft of the assessment instrument(s).</p>
<b>STEP 9:</b>	<p><b>Review Committee</b> conducts formal review process by obtaining and reviewing assessment information from targeted samples of major groups of people of diverse backgrounds with whom the individual has an affiliation such as peer administrators, direct and indirect reports, other faculty, and staff, students, subordinates, other administrators and external contacts. The administrator being reviewed should complete a self-evaluation using the assessment instrument(s).</p>
<b>STEP 10:</b>	<p><b>Review Committee</b> summarizes the collected data, conducts analysis and prepares a written report. The report is to assess performance strengths and key areas for improvement. The official Review Committee File containing the summarized information along with raw data is be forwarded to the responsible administrator.</p> <p><i>If information received includes allegations of serious misconduct or illegal action, convey that information to the responsible administrator at the earliest possible time.</i></p>
<b>STEP 11:</b>	<p><b>Administrator Being Reviewed</b> reviews official Review File as desired. Written information may be submitted to the official Review File to supplement or refute materials contained therein.</p>
<b>STEP 12:</b>	<p><b>Responsible Administrator</b> meets with the Review Committee to discuss their report, and then discharges the committee. Depending on the information provided in the report, the responsible administrator may choose to do individual interviews with selected people in order to acquire a more in-depth perspective on specific performance issues. Based on the report and discussion, prepares a written preliminary statement.</p>
<b>STEP 13:</b>	<p><b>Responsible Administrator</b> meets with the administrator being reviewed to share and discuss the preliminary statement.</p>
<b>STEP 14:</b>	<p><b>Administrator Being Reviewed</b> prepares a written reaction to the preliminary statement.</p>
<b>STEP 15:</b>	<p><b>Responsible Administrator</b> prepares final review statement and makes appropriate personnel decisions in conjunction with other information. Statement is to contain performance strengths, areas needing attention, and appointment decision. The re-appointment decision is the responsibility of the responsible administrator.</p> <p><i>Refer to "Due Dates for Continuous P &amp; A Appointments and Schedule for Written Notice of Nonrenewal for P &amp; A" policy if appointment is not to be renewed.</i></p>

<b>STEP 16:</b>	<b>Responsible Administrator</b> shares final performance review statement, resources or strategies that will be made available to help address areas needing attention, and personnel decisions with the administrator being reviewed within six weeks following the completion of the review; notifies the review committee and the unit that the review has been completed.
<b>STEP 17:</b>	<b>Administrator Being Reviewed</b> is given the opportunity to comment on the review; utilizes information from the review in structuring personal professional development activities and future job activities.
<b>STEP 18:</b>	<b>Responsible Administrator</b> completes <i>Performance Review Summary</i> form highlighting the review. It is recommended that information from this form be shared with the review committee. The <b>Administrator Being Reviewed</b> may authorize in writing the <b>Responsible Administrator</b> to distribute the <i>Performance Review Summary</i> or information from the review to others. <i>Refer to "Performance Review Summary" Form---p. 24</i>

## ***DESCRIPTION OF CORE PERFORMANCE CRITERIA***

The following five *performance criteria* have been identified as central to positions of leadership at the University. In order to assure some consistency in assessing the performance of system and campus officers, it is recommended all reviews should at a minimum focus on leadership, commitment to diversity, management, functional competence, and interpersonal skills. The descriptors tied to each criterion provide a sense of the criteria. They are intended to lead the Review Committee in framing the review. Topics for assessment information should focus on these core performance criteria, with significant weight given to each, in addition to other criteria as defined by the responsible administrator and the Review Committee in order to provide a comprehensive picture of **overall performance**. *In addition, it is recommended that the responsible administrator share this set of core performance criteria during the interview and subsequent hiring processes for new system and campus officers.*

### **Leadership**

- frames a shared vision of the University as a research land grant university
- thinks globally and locally
- exhibits forward thinking
- focuses on short and long term goals
- structures strategic plans
- shows integrity
- challenges and inspires
- demonstrates ability to motivate people
- exercises independent judgment
- demonstrates a willingness to critically assess personal strengths and effectively recognizes and utilizes strengths of line and staff personnel to accomplish unit and University objectives
- maintains credibility
- serves as a role model for managing /balancing personal and professional values and activities in life
- demonstrates ability to do fundraising
- enhances community
- places emphasis on building and supporting a diverse workforce

### **Commitment to Diversity**

- seeks understanding of self and others as a part of fostering people working together more effectively
- fosters an environment that seeks understanding and respect of all
- exercises leadership on issues of diversity
- manages differences with skill and sensitivity
- exhibits respect for all
- demonstrates effective recruitment, retention and promotion of historically underrepresented constituencies
- takes personal responsibility for responding to affirmative action goals

### **Management**

- demonstrates knowledge of and commitment to the mission and culture of a leading research land grant university
- facilitates progress
- empowers and involves others
- mentors staff and faculty in their tasks
- carries through on reviews for administrators and monitors adherence to review policies for all employees in unit
- facilitates and manages change
- focuses on objectives and results
- supports quality initiatives and efforts
- delegates tasks and authority effectively
- manages well human, financial and physical resources to increase unit and organizational effectiveness
- exhibits decisiveness in actions to execute strategic plans
- plans and organizes well
- demonstrates effective problem-solving skills
- maintains personal clarity and work direction when faced with ambiguity
- demonstrates knowledge of federal, state and institutional rules, regulations, policies and procedures, and ensures compliance
- gives priority to own and others' professional development by encouraging and supporting participation and/or sponsoring activities
- perseveres under difficult situations
- demonstrates ability to build an effective operational team that balances strengths and weaknesses
- actively brings people together as a team to accomplish goals

### **Functional Competence**

- demonstrates necessary knowledge, skill and understanding to carry out the responsibilities of the position in support of the mission of the University, and as stated in the job description
- gets things done in a timely and efficient way
- operates efficiently
- carries out effectively specific position responsibilities within the context of a leading research land grant university

### **Interpersonal Skills**

- develops and maintains smooth effective working relationships with people and groups within the unit and from other parts of the organization
- works effectively as part of a team, in partnerships and with individuals
- recognizes expertise and makes use of thoughts, ideas and information from others
- listens actively and acknowledges communication
- communicates effectively in speaking and in writing, both internally and externally
- establishes rapport and puts individuals and groups at ease through use of appropriate humor, effective listening skills, acceptance of diverse ideas and differing points of view
- maintains objectivity and demonstrates effective conflict resolution skills

### **Additional Criteria**

As identified by the Responsible Administrator and/or the Review Committee in consultation with the Responsible Administrator

# REVIEW COMMITTEE

## Appointment and Membership

By official letter, the **Review Committee and chair will be named by the responsible administrator after consultation with the administrator being reviewed and others as appropriate.** The letter will identify the committee as decided by the responsible administrator and the charge to the committee including the following information:

- Administrator being reviewed
- Timeline within which the review is to occur

*Review is to be completed no later than six months prior to the appropriate non-renewal notice period for the administrator being reviewed who is on a date specific (J, L or K) appointment.*

- **The review is to be completed within 60 days.**
- *"Review and Evaluation of Academic Administrators"* policy and procedures, including major steps, responsibilities and related information.

### HELPFUL HINT

It is recommended that the chair be a person who:

- is perceived as credible
- approaches work fairly and positively
- is respectful to individuals and organizations
- exhibits track record of deliverables in a timely manner

**The Review Committee** should consist of four to six members, including the chair, that are diverse in gender and race. Committee members should be knowledgeable about the person and the administrative unit. Members should include an administrative peer and represent major constituencies served by the administrator being reviewed. The membership should include representation from faculty, staff and administration. At least one member should come from within the unit of the administrator being reviewed and at least one member from outside the unit.

Other committee members might include:

- (a) a student when the administrator being reviewed directly impacts students
- and/or
- (b) an individual or representative from an organization outside the University community with whom the administrator being reviewed generally interacts.

# **HELPFUL INFORMATION**

## *Official Review Committee File*

An **official Review Committee File** must be established and should contain the following information:

- Review Committee minutes
- Sample survey instrument, letter requesting evaluation, and/or interview questions
- Raw data collected, including surveys, letters of evaluation, notes from oral interviews
- Selected lists of participants (*Refer to "Participant Identification Requirements Chart" ---p. 19*)
- Annual reviews since the last periodic comprehensive review
- Summary of review data collected
- Committee report
- *Performance Review Summary* form (*if used*)

The entire **official Review Committee File** will be available to the administrator being reviewed for inspection at the conclusion of the Review Committee's work. The administrator being reviewed may submit information for the file to supplement or refute materials contained in this file.

At the conclusion of the committee's work, the **official Review Committee File** is to be turned over to the responsible administrator who requested the review.

## *Recommended Guidelines for the Review Committee*

**Overall, reviews are expected to be judicious and constructive. The following points are meant to provide guidance on frequently raised questions or concerns about conducting these reviews.**

### **Timing of Review**

- The timing of the review is critical to its effectiveness. If the review involves assessment information from faculty, such as would occur in a dean's review, it is recommended that surveys of faculty not to be initiated during the months of April through September, due to generally poor response rates from faculty at this time of year. Also, the Review Committee should consider administrative decisions and activities being undertaken currently or in the recent past which might have significant bearing on the review outcome, and time the review accordingly.

### **Confidentiality of Review Committee**

- The Review Committee has a legal obligation to comply fully with the Minnesota Government Data Practices Act, including maintenance of private personnel data. **All members of the Review Committee including faculty, staff, students and non-University members have an obligation to maintain private data. Each member of the Review Committee must sign a confidentiality agreement as a protection to the administrator being reviewed and the members of the Review Committee.**

### **Review Process**

- The Review Committee needs to determine who should participate, what information should be collected, how it should be collected, and how the results will be compiled.
- The administrator being reviewed should be involved at appropriate points during the review in order to lend greater credibility and meaning to the activity. It is recommended the administrator be involved in the following ways:
  - (a) provide input into the determination of the Review Committee*
  - (b) discuss specific circumstances that might be important to know and take into account from the beginning of the review process*
  - (c) provide Background Statement and meet with the Review Committee to answer questions and provide greater clarity where requested*
  - (d) assist in identifying people from whom assessment information is requested*
  - (e) review and provide reaction to a draft of the assessment instrument(s)*
  - (f) complete a self-evaluation using the assessment instrument(s)*
  - (g) submit written information to the official Review File to supplement or refute materials contained therein*
  - (h) review and discuss with the responsible administrator the preliminary performance statement and provide written reaction as desired*
  - (i) receive final performance review statement and review official Review File as desired*
  - (j) utilize information from the review in planning for professional development and in focusing decisions on future activities*
- The Review Committee has no obligation to open their meetings.

### **Background Information**

- The Review Committee should obtain and review Background Statement from the administrator being reviewed and the responsible administrator.

*The background information might include the following:*

- (a) *position announcement/job description*
- (b) *administrative philosophy*
- (c) *current responsibilities*
- For the time covered by the review-
- (d) *annual written goals and objectives*
- (e) *priorities*
- (f) *top issues*
- (g) *major activities and significant contributions*
- (h) *statement addressing what has been supportive in getting job done and what has impeded ability to do so*
- (i) *future plans/goals*

### **Participants in Review**

- In cooperation with the responsible administrator and the administrator being reviewed, identify the major internal and external constituents (e.g., administrators, faculty, students, staff, alumni) with whom the administrator being reviewed generally interacts in the conduct of the unit's business. With diversity as one objective, select a targeted sample from within each constituency group who is felt would contribute to a credible and comprehensive performance picture. Keep in mind there should be some degree of balance of information that is attributed to individuals and that which is protected.
- Individuals with a conflict of interest with regard to the administrator being reviewed should not participate in the review. Conflict of interest occurs when a relationship between two employees could directly or indirectly compromise their professional judgment in carrying out University activities. Examples of conflict of interests are situations described in the Regent's policies on Conflict of Interest and Nepotism.
- For purposes of this review, the Review Committee members in consultation with the responsible administrator need to determine which individuals under Faculty and Staff (*refer to "Participant Identification Requirements Chart"---p. 19*) should be considered direct or indirect reports, and which should not. *Requests for assessment information should state if identification of the participant is required.* When identification is required and is not provided, the information will not be considered.

### **Performance Criteria**

- The following core performance criteria should be addressed in every periodic comprehensive review:
    - √ Functional Competence
    - √ Leadership
    - √ Management
    - √ Commitment to Diversity
    - √ Interpersonal Skills
- Refer to "Description of Core Performance Criteria"---p. 8*
- The evaluation process and criteria should be carefully tailored to the specific position/administrator being reviewed.

## Methodology

- There is no single mandated methodology for collecting information. A review committee may choose to use small focus groups (e.g., chairs of collegiate committees, administrators in unit), individual interviews, written surveys, or a combination of the above methods. Critical constituency groups and individuals should have opportunity for participation, but the Review Committee in consultation with the responsible administrator chooses its methodology.
- Seek written or oral evaluations from the identified sample. Information is to be gathered by *one* or a *combination* of the following means:
  - Letters of evaluation
  - Surveys
  - Interviews --- one on one or focus groups

Review of past annual performance reviews should follow initial review of assessment information submitted by comprehensive periodic review participants and be used in combination with the above in preparing the final assessment report and recommendations.

- When utilizing tape recordings, such as with individual interviews or focus groups, make transcripts of the tapes and then destroy the tapes.
- When providing only a list of participants such as for focus groups, be sure that the number of participants is enough to give sufficient anonymity in the summary of comments.
- As summaries are made of participant comments, such as in focus groups, be sure they are done so as not to be able to identify the person making the comments.
- Written surveys generally work well with external reviewers. The survey response request should also indicate that the review participant may call and discuss the assessment information if that method is preferred.
- Remember to destroy review participant identification numbers on written surveys after they are recorded in order to ensure anonymity to specific responses.
- If the survey methodology is chosen, the response rate should be a critical factor in framing the results of the review data.
- Use of technology in gathering data is encouraged where appropriate. One recommendation is to use the UNIVERSITY OF MINNESOTA ACADEMIC ADMINISTRATOR MANAGEMENT AND EVALUATION SYSTEM (AAMES), the 1994 revision written by Carole J. Bland and Aaron Friday. Information on this program and the software can be obtained by contacting Gary Ogren in the Office of Human Resources. Another option is to have the survey placed on the World Wide Web with appropriate security taken.
- If an electronic survey is used, an identification number can be used to obtain list of names of participants while maintaining anonymity to specific responses. If a written survey, letter or memo of evaluation is used, the return envelope can have an identification number on it again to obtain a list of names of participants. Once the number is noted the envelope can be tossed.

### **Assessment Information**

- Should anyone provide assessment information to the chair of the Review Committee from whom information was not specifically requested, the data should be accepted. However, it is recommended that assessment information from any volunteer be summarized separately from the targeted sample.
- The administrator being reviewed should be given a copy of the questions used in gathering assessment information. They should also be given the opportunity to provide a **self-assessment** to the Review Committee.

### **Committee Report**

- The Review Committee is cautioned to review the administrator in context, in other words, they should consider the factors or obstacles influencing performance as they prepare their assessment of performance strengths and key areas for improvement.
- Suggested report format:
  - I. *Executive Summary*

The executive summary should include a bulleted list of the highlights of the review including overall strengths and areas for improvement.
  - II. *Assessment of Core Performance Criteria*

Report should include a written or bulleted assessment of each of the five core performance criteria (leadership, commitment of diversity, management, functional competence and interpersonal skills). Results should reflect a balance of both strengths and key areas for improvement.
  - III. *Appendices*

The appendices should include the members of the review committee, a summary of the process used, and a summary of any available numerical information.

## *"Helpful Hints" on Soliciting Assessment Information for the Review Committee*

### **HELPFUL HINTS\*\***

- **Do** decide how the data will be reported prior to developing the process for data collection. This step will help in designing an effective assessment instrument.
- **Do** limit the number of *surveys* or requests for *letters of evaluation* to a targeted sample including administrative peers and major constituencies the administrator being reviewed serves.
- **Do** seek assessment information from people who have first hand knowledge and frequent opportunity to observe the performance of the administrator being reviewed. This will enhance the reliability factor of the assessment information.
- **Do** take the time to have a small group of individuals review the assessment instrument and tell you what the questions mean to them. Revise the instrument based on interpretation of the questions.
- **Do** consider using both *open-ended* and *forced choice* response formats.
- **Do** allow opportunity for comments.
- **Do** establish as a committee what will be considered a valid response rate.
- **Do** make use of appropriate technology to facilitate response and compilation of data; you may wish to consider using the leadership evaluation system called "INSIGHT Profiles." Information on "Insight Profiles" may be obtained from Gary Ogren in the Office of Human Resources.
- **Do** consider audio taping interviews for accuracy in noting responses.
- **Do** make surveys as concise as possible so people feel they can complete them within a reasonably short time.
- **Do** include an opportunity for comment when using a forced choice response format.
- **Avoid** questions that are too vague.
- **Avoid** questions that are biased either in content or wording of the question or in response alternatives.
- **Avoid** making questions with numerical ratings too broad so response is difficult, or too narrow to not allow all respondents to give a precise response.
- **Avoid** leading questions whose phrasing leads the respondent to consider one reply more desirable than another.
- **Avoid** generalizing comments made by just a few people.

*\*\*Information is drawn from the "Questionnaire Brochure Series." The complete packet of information is available from the Office of Planning & Analysis at 625-0129.*

## *Confidentiality of Assessment Information*

**All persons from whom evaluations are solicited should be informed that in conformance with the state's Data Practices Act, all evaluations may be accessible for review by the administrator being reviewed.**

Identification of the source of assessment information increases the validity and credibility of the performance review. In general, review participants are encouraged to identify themselves relative to their comments to enable better use of this information. On the other hand, it is recognized that occasionally there are concerns with identification by people who are under the control and authority of the administrator being reviewed. For these categories of participants, identification is not required. The "Participant Identification Requirements" chart (*refer to p. 19*) states identification requirements by category of participants. **Participants in the review should be informed as to whether or not their assessment information is required to carry identification and identification in what manner.** In doubtful cases, it is the responsibility of the Review Committee in consultation with the responsible administrator to make final determinations whether the assessment information provided from particular sources is to be attributed or protected. In circumstances where participants would have reason for concern, the information requested should be protected.

Because complete anonymity may undermine the validity of the assessment information, the Review Committee may consider using focus groups to collect information, referred to as partial anonymity. The reviewers are informed that their responses will be integrated with other like reviewers and reported only in an aggregated form. Reviewers would be identified as participants in the group, but their specific comments would not be attributed.

In instances where identification is required and none is given, assessment information from those individuals should not be considered. However, if any information is received relative to allegations of serious misconduct or illegal action, whether the source is identified or not, it should be forwarded immediately to the responsible administrator. The responsible administrator is charged with determining what, if any, investigation is appropriate.

Administrators being reviewed shall be held to the strictest standards of professional and ethical behavior and are not to retaliate against any person who has participated in the review process. Retaliation may include any form of intimidation or harassment. Responsible administrators should bring this expectation to the attention of the administrator being reviewed.

The responsible administrator is also directed to remind the Review Committee that all information gathered in this process is to be held confidential.

# COMPREHENSIVE PERFORMANCE REVIEWS

## Participant Identification Requirements Chart

	LETTERS or MEMOS of EVALUATION	SURVEYS Written		INTERVIEWS Written or taped notes	
		Forced Response	Open-Ended	One on One	Focus Groups
PEER ADMINISTRATORS					
• Internal (U of M)	Required	Required	Required	Required	Required <sup>1</sup>
• External <sup>3</sup> (other higher ed institutions)	Required	Required	Required	Required	Required <sup>1</sup>
FACULTY and STAFF Who:					
• Report Directly <sup>4</sup>	Not Required	Not Required	Not Required	Not Required	Required <sup>1</sup>
• Report Indirectly <sup>5</sup>	Required <sup>2</sup>	Required <sup>2</sup>	Required <sup>2</sup>	Required <sup>2</sup>	Required <sup>1</sup>
• Other	Required	Required	Required	Required	Required <sup>1</sup>
STUDENTS	Not Required	Not Required	Not Required	Not Required	Not Required
EXTERNAL REVIEWERS <sup>6</sup>	Required	Required	Required	Required	Required <sup>1</sup>

<sup>1</sup> Reviewers are to be identified as participants in the group, but not in conjunction with specific responses made by them personally

<sup>2</sup> Reviewers are to be identified in a list as participating in the review, but not in conjunction with specific responses made by them personally (*Refer to "Recommended Guidelines for the Review Committee," METHODOLOGY section--p. 15*)

<sup>3</sup> *Examples:* alumni, advisory board members, donors, legislators, community individuals

<sup>4</sup> *Direct Reports:* Individuals whose work is appreciably affected by the administrator being reviewed and includes such actions as hiring, performance reviews and salary decisions. *Examples:* department chairs/heads participating in a dean's review, assistant to administrator being reviewed

<sup>5</sup> *Indirect Reports:* Individuals whose work could moderately be affected by the administrator being reviewed. *Examples:* faculty participating in a dean's review, office staff not reporting directly to administrator being reviewed

<sup>6</sup> *Examples:* CIC administrators with whom there is interaction, deans at other institutions

## **Recommended Responsibilities of the *Review Committee***

1. Conduct a judicious, constructive, and timely review that maintains sensitivity to the employee and the individuals providing information to the review. Keep the process simple and effective.
2. Sign a confidentiality agreement as a protection to the administrator being reviewed and the members of the Review Committee.
3. Maintain appropriate Official Review File materials.  
*Refer to "Official Review Committee File"---p. 12*
4. Act in accordance with the Minnesota Government Data Practices Act.
5. Determine the most appropriate methodology(s) to use in assessing the performance of the administrator being reviewed.
6. Solicit assessment information from individuals who can provide first hand observation and insight into the performance of the administrator being reviewed.
7. Following initial review of collected assessment information, review annual reviews since the last periodic comprehensive review and make use of information as appropriate in the comprehensive review process.
8. Analyze performance data and prepare a written report that presents the findings of the review to the responsible administrator. Forward summarized assessment information along with raw data to the responsible administrator.
9. Base summary and recommendations on an adequate number of responses and supporting documentation.

## **Recommended Responsibilities of the *Administrator Being Reviewed***

1. Provide appropriate background material to review committee.  
*Refer to "Recommended Guidelines for the Review Committee"---p. 13*
2. Complete a self-review of the areas identified by the review committee as specific performance criteria.
3. Interact with the Review Committee as requested.
4. Following the completion of the review submit, if desired, written information for the file to supplement or refute materials contained in the official Review Committee File. This statement will be retained with the evaluation.
5. Work with responsible administrator or leadership consultant to identify ways in which to strengthen and/or redirect performance  
..... AND/OR.....  
at your option, share highlights of the review via the *Performance Review Summary* form with unit members, and work with colleagues to identify different behaviors to monitor and ways to strengthen performance.  
*Refer to "Performance Review Summary" form---p. 24*  
*For assistance in identifying a consultant, contact the University of Minnesota Administrative Development Program Office at 624-4307.*

## **Recommended Responsibilities of the *Responsible Administrator***

1. Set aside appropriate budget for comprehensive reviews.
2. Meet with the administrator being reviewed prior to the beginning of the review to discuss possible review committee membership and to discuss preparation of background material for the committee.
3. Appoint Review Committee members after consultation with appropriate members of the unit and governance committees.
4. Announce the review in *The Brief* and/or appropriate campus publications. Indicate that if individuals are not formally asked for assessment information and they would like to participate, they should contact the chair of the Review Committee.
5. See that the Review Committee receives the background statement and a written statement of agreed upon yearly expectations at the onset of the committee's work and copies of prior annual performance reviews following the initial review of collected assessment information.
6. Discuss with Review Committee chair proposed budget for costs associated with the review including staff support, meeting room rental, food, travel, duplicating, mailing service, postage, etc. Attend the first meeting of the Review Committee to set forth the charge and review timeline.
7. Identify for the Review Committee administrative behaviors/areas of responsibility in addition to the five overall performance criteria on which the committee should gather information.
8. Meet with the Review Committee to review and discuss their findings and report.
9. Meet with the administrator being reviewed upon receipt of the Review Committee report. Discuss leadership behaviors, accomplishments, performance strengths, areas to improve, professional development focus and directions for the future as uncovered by the review. Provide administrator being reviewed with resources or strategies that will be made available to help in addressing the areas of performance that need attention.
10. Follow this meeting with a final written performance review statement.
11. Utilize the information from the Review Committee as one factor in making decisions on re-appointment.
12. Complete *Performance Review Summary* form and share that information with the administrator being reviewed and the Review Committee. Indicate to the administrator being reviewed that they will be held to the strictest standards of professional and ethical behavior and are not to retaliate against any person who has participated in the review process.  
*Refer to "Performance Review Summary" form---p. 24*
13. Send the official Review Committee File to the office of the responsible administrator to be maintained for an indefinite period of time as part of the individual's Employment Record.

## **Recommended Responsibilities of the *Contributors to the Review***

1. Provide constructive assessment information from direct observation into the review process.
2. Comply with the Minnesota Government Data Practices Act.

## **Recommended Responsibilities of the Unit *Human Resources Representative\****

1. Attend the first meeting of the Review Committee to review and clarify procedural guidelines.
2. Educate the Review Committee on the need to be sensitive to various influences that lie behind review participant responses. These might include:
  - (a) stereotypical ideas on leaders or preconceived notions of people who provide assessment information;
  - (b) style judgments based on gender and other factors.
3. Be accessible to the Review Committee on procedural questions which may arise during the course of the review.
4. Be involved in other ways as determined by the responsible administrator.

## **Recommended Responsibilities of the *Office of Human Resources***

1. Notify President, Chancellors and Vice Presidents of reviews needing to occur each year.
2. Oversee and communicate the "*Review and Evaluation of Academic Administrators*" policy and recommended procedures as appropriate.
3. Periodically audit the comprehensive review process.

**\**Human Resources Representative***---individual who handles human resources responsibilities within the unit and/or the Human Resources consultant from the Office of Human Resources who services this unit

## PERFORMANCE REVIEW SUMMARY

*Administrator Reviewed:*

*Responsible Administrator:*

### **REVIEW**

*Date Review Completed:*

*Review Process:*

*Selected Review Highlights:*

**Major Accomplishments-**

**Notable Administrative Strengths-**

**Work Plan for the Year *addressing review outcomes-***

*Comments from Reviewed Administrator:*

*Status:*