

# Oklahoma State University Policy and Procedures

## ANNUAL PERFORMANCE APPRAISAL OF ACADEMIC ADMINISTRATORS

**2-0302**  
**ACADEMIC AFFAIRS**  
**August 2017**

### POLICY

1.01 It is the policy of Oklahoma State University that the effectiveness and productivity of academic administrators<sup>1</sup> shall be formally evaluated on an annual basis by the responsible administrative supervisor.

1.02 Nothing in this policy shall alter the at-will employment status of academic administrators. (Reference P&P 3-0726, Sec. 3.01 and 3.02) The performance appraisal of academic administrators shall be a positive, formative process to determine whether or not the person is successfully performing and achieving the established roles and requirements of the position. It shall be a formal process of collecting pertinent information which reflects the activities and behavior of the administrator, assessing such information, and making a value judgment concerning this assessment for the benefit of both the individual and the University. It is to be conducted for the following reasons:

1. To identify through evaluation feedback needed areas of individual professional development.
2. To improve individual administrative performance.
3. To help define more clearly individual and organizational objectives consistent with institutional missions and goals.
4. To improve internal communications, administrative teamwork, and overall management of the institution.
5. To reward outstanding administrative performance.
6. To support the retention and salary processes.
7. To enhance accountability to government, regents, faculty, students, and the general public and thus improve the credibility of the administrative process.

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<sup>1</sup> For purposes of this document, academic administrators are those who supervise the activities of faculty and/or have responsibilities that impact directly on the instruction, research, or extension/outreach functions of the University. Included specifically are the VPAA (Academic Affairs & Extension/Outreach), VPR (Research), and their administrators for Instruction, Research, Extension, and Academic Services, the Academic Deans and their Assoc./Asst. Deans, College Directors of Research, Extension/Outreach and Student Academic Services, School Directors, Department Heads, and Chairs. Others may be designated by a Vice President or Dean.

1.03 If the evaluation process demonstrates that the performance of an administrator is significantly below the expectations established for the position, immediate corrective action must be taken by the responsible administrator to resolve the deficiencies.

1.04 Although the final authority for the evaluation of all administrators is held by the President, the immediate supervisor shall conduct the actual appraisal using input from faculty, staff and other administrators as prescribed in these guidelines. The process for initiating and administering programs of performance appraisal for academic administrators is as follows:

1. The President shall evaluate the Vice Presidents responsible for Instruction, Research, and Extension functions in conjunction with an appraisal program for all other Vice Presidents and administrators who report to the Office of the President.
2. The Vice President for Academic Affairs, acting for the President, shall initiate appraisals of Academic Deans. Other academic administrators reporting directly to the Offices of Academic Affairs and Research shall be evaluated by those Vice Presidents.
3. The respective Dean of each college shall initiate and administer programs for evaluating Associate/Assistant Dean(s); Directors of Extension, Research and Student Academic Services; School Directors; Department Heads; and other designated administrative officers of his/her college.

## **CONDUCTING APPRAISALS**

2.01 Although the actual format may vary to accommodate unique characteristics of the University structure and its operating units, the following policies are established to facilitate consistency in the administration of performance appraisals.

### Soliciting and Handling Faculty and Staff Feedback

1. The formal appraisal process must provide an opportunity annually for all faculty and staff within each academic unit to provide feedback relative to the performance of the department head or school director and for all faculty and staff in each college to provide feedback relative to the performance of the Dean and Associate/Assistant Deans. Others who may be affected by the decisions and actions of the administrator should also be given the opportunity to submit relevant information for consideration by the evaluator. In the case of appraisals of Vice Presidents, instead of soliciting feedback from all faculty and staff, the evaluator will seek input from the chair of the faculty council.
2. The procedures for collecting, handling, summarizing, and sharing faculty and staff feedback with administrators must ensure confidentiality of faculty and staff responses.
3. Faculty and staff written feedback will not be directly shared with the academic administrator under review and will not be placed in the personnel file of the academic administrator under review but will be presented as aggregated themes.
4. For clarity and transparency, the call to evaluate academic administrators should clearly

indicate:

- a. all parties being contacted in addition to the faculty and staff (e.g., staff, advisory councils).
- b. the level of confidentiality/anonymity that will be maintained – who will see the raw data, how the raw data will be summarized quantitatively and qualitatively, and what will happen to the raw data after the appraisal.
- c. how, to whom, and for what purpose the results of faculty and staff feedback will be shared.

### Appraisal Criteria

1. The procedures for appraisals must provide an opportunity for participation and input by the administrator being evaluated. The individual shall have a right to know the criteria by which performance is being evaluated. He/She shall have the opportunity (and is expected) to provide information that reflects performance and achievements toward executing the duties, responsibilities, and expectations established in a position description or assigned by the supervisor. The individual shall be entitled to review a written summary of the appraisal and have an opportunity to discuss with the evaluating supervisor the input provided by the faculty and the results of the appraisal. The individual may attach a rebuttal to the permanent copy of the appraisal record and request a review by the next highest supervisor if differences cannot be reconciled.
2. The criteria against which performance and productivity are assessed must be clearly established and shared with the faculty and other individuals participating in the process. Specific criteria may vary according to the complexity, composition, and organizational maturity of the area of responsibility for which the individual is responsible, or in relation to the constraints within which the individual administrator must function. However, all criteria used must be related to the actual duties, responsibilities, and performance expectations established for the administrative position. Judgments regarding the individual's overall performance and effectiveness must also consider progress toward established purposes (goals and objectives), as well as the achievements and methods of the administrator. Criteria may include, but are not limited to, the following:
  - a. Planning and achieving organizational goals, objectives and priorities
  - b. Interacting and communicating with faculty, staff, students, and other publics
  - c. Managing and developing fiscal, physical, and personnel resources
  - d. Developing, interpreting, and applying administrative policies and procedures
  - e. Demonstrating professional and academic leadership
  - f. Continuing academic and professional development and achievement

### Procedures

- 2.02 It is the responsibility of the supervising administrator conducting the appraisal to:
1. Inform the individual being evaluated of the forthcoming appraisal and the criteria by which performance is being judged.
  2. Work cooperatively with the individual being appraised, appropriate faculty, and staff to

collect information pertinent to the productivity and performance of the administrator being evaluated.

3. Review, assess, and summarize the pertinent information and conduct an appraisal interview with the administrator to discuss the results of the assessment.
4. Provide a written summary of the evaluation that supports the appraisal rendered and outlines developmental activities and performance expectations for the coming year. (If performance is deficient, a plan of corrective action must be recommended.)
5. Report the overall appraisals of those evaluated to the next highest supervisor.
6. Maintain written records of the appraisal in the administrator's personnel file and protect the confidentiality of such records.
7. Follow up on prescribed corrective action if performance was found to be deficient.

Guidelines Approved: Spring 1994

Policy Approved:

Faculty Council, May 10, 2016

Council of Deans, July 28, 2016

Faculty Council & Deans Working Group, March 3, 2017

Legal Counsel, May 2017

Executive Team, August 2017

**FLOW SHEET FOR  
ADMINISTRATOR PERFORMANCE APPRAISAL**

<b>Administrative Position</b>	<b>Person to Conduct Appraisal</b>	<b>Input Solicited From</b>
Dept. Admin.	School Admin. or Dean	Faculty and staff
School Admin.	Dean	Faculty, staff, and dept. admin.
Dean's Staff (Assoc./Asst. Dean Ext., Res., Stu. Aca. Serv., and other aca. admin. as designated by the Dean)	Dean	Faculty, staff, dept. and school admin. and others as designated by Dean
Dean	VPAA	Faculty, staff, dept., and school admin. and others as designated by VPAA
VP's Staff (Instr., Res., Ext., Stu. Aca. Serv.)	Appropriate VP	Faculty through Faculty Council Chair, Deans and others as designated by the VP
VPAA (Aca. Affs., Ext.), VPR (Res.)	President	Faculty through Faculty Council Chair, Deans & Unit Heads reporting directly to VP Offices

**ATTACHMENT #1**

***C O N F I D E N T I A L***  
**APPRAISAL of DEANS**

Instructions: Your administrator is expected to demonstrate proficiency in leadership, administration, and communication. Please rate each of the following competencies of performance during this appraisal period. Insert one of the six appraisal indicators for each statement.

**5** = Strongly Agree; **4** = Agree; **3** = Neutral; **2** = Disagree; **1** = Strongly Disagree; **0** = No Information

1. \_\_\_\_\_ The dean has my trust and respect.

2. \_\_\_\_\_ The dean is fair.

3. \_\_\_\_\_ The dean is effective in discharging the teaching mission of the unit.

4. \_\_\_\_\_ The dean is effective in promoting the quantity and quality of faculty scholarship.

5. \_\_\_\_\_ The dean is effective in promoting the extension, outreach, and engagement missions of the college.

6. \_\_\_\_\_ The dean has a clear, articulated vision for the college and effectively works to achieve that vision.

7. \_\_\_\_\_ The dean is an effective communicator.

8. \_\_\_\_\_ Overall, the dean is effective.

9. \_\_\_\_\_ Indicate the category that best describes your position.

1 = faculty; 2 = college/unit administrator; 3 = college/unit staff; 4 = external constituent

Comments:

**ATTACHMENT #2**

***C O N F I D E N T I A L***  
**APPRAISAL of ASSOCIATE DEANS**

Instructions: Your administrator is expected to demonstrate proficiency in leadership, administration, and communication. Please rate each of the following competencies of performance during this appraisal period. Insert one of the six appraisal indicators for each statement.

**5** = Strongly Agree; **4** = Agree; **3** = Neutral; **2** = Disagree; **1** = Strongly Disagree; **0** = No Information

1. \_\_\_\_\_ The associate dean has my trust and respect.

2. \_\_\_\_\_ The associate dean is fair.

3. \_\_\_\_\_ The associate dean is effective in accomplishing the missions of her/his assignment.

4. \_\_\_\_\_ The associate dean is available to faculty, staff, and students for consultation.

5. \_\_\_\_\_ The associate dean follows through on commitments.

6. \_\_\_\_\_ The associate dean is an effective communicator.

7. \_\_\_\_\_ Overall, the associate dean is effective.

8. \_\_\_\_\_ Indicate the category that best describes your position.

1 = faculty; 2 = college/unit administrator; 3 = college/unit staff; 4 = external constituent

Comments:

## ATTACHMENT #3

### *C O N F I D E N T I A L* APPRAISAL of UNIT HEADS AND DIRECTORS

Instructions: Your administrator is expected to demonstrate proficiency in leadership, administration, and communication. Please rate each of the following competencies of performance during this appraisal period. Insert one of the six appraisal indicators for each statement.

**5** = Strongly Agree; **4** = Agree; **3** = Neutral; **2** = Disagree; **1** = Strongly Disagree; **0** = No Information

#### LEADERSHIP

1. \_\_\_\_\_ Demonstrates initiative in the development and improvement of the respective unit.
2. \_\_\_\_\_ Functions effectively under pressure.
3. \_\_\_\_\_ Earns the confidence, respect, and trust of others.
4. \_\_\_\_\_ Maintains appropriate confidentiality in relationships
5. \_\_\_\_\_ Handles difficult situations involving people skillfully.
6. \_\_\_\_\_ Deals with individuals fairly.
7. \_\_\_\_\_ Establishes reasonable goals and makes them known to department members.
8. \_\_\_\_\_ Accomplishes administrative goals and objectives productively.
9. \_\_\_\_\_ Provides visionary and innovative leadership.

Comments:

#### ADMINISTRATION

10. \_\_\_\_\_ Assigns duties and tasks clearly.
11. \_\_\_\_\_ Delegates authority when appropriate.
12. \_\_\_\_\_ Follows through on commitments.
13. \_\_\_\_\_ Carries out the policies and procedures of the university appropriately.
14. \_\_\_\_\_ Establishes reasonable goals and makes them know to department members.
15. \_\_\_\_\_ Supports affirmative action efforts within the respective unit.
16. \_\_\_\_\_ Encourages professional or personal development.
17. \_\_\_\_\_ Supports effective teaching by all faculty.
18. \_\_\_\_\_ Supports experimentation, research, and publication by all faculty.

Comments:

#### COMMUNICATION

19. \_\_\_\_\_ Provides accessibility to faculty, staff, and students for consultation.
20. \_\_\_\_\_ Respects diverse opinions and ideas.
21. \_\_\_\_\_ Promotes the unit to the community outside the university.
22. \_\_\_\_\_ Demonstrates a helpful attitude toward students, faculty, and staff.
23. \_\_\_\_\_ Represents those in the unit to superiors and the rest of the university effectively.
24. \_\_\_\_\_ Clearly communicates with students, faculty, and staff.

Comments:

25. \_\_\_\_\_ Indicate the category that best describes your position.

1 = faculty; 2 = college/unit administrator; 3 = college/unit staff; 4 = external constituent