

This was Attachment #6 for the April 22, 2011 Administrative Committee meeting, submitted by Charlie Sparks on behalf of the FAOC:

Proposed Changes to Faculty Senate Policy/Procedures for Review of Administrators.

Current Policy:

(The UAF Faculty Senate passed the following at its Meeting #99 on February 5, 2001)

Group A Administrators:

GUIDELINES FOR THE EVALUATION PROCESS FOR ADMINISTRATORS (GROUP A)

1. Within the first three weeks of the Fall Semester the Supervisor of the Administrator to be reviewed will appoint an Ad Hoc Administrator Review Committee consisting of five members, at least three of whom must be faculty. (It is recommended that staff be included on the ad hoc committee as appropriate.) The chair of the committee shall be appointed from the Faculty Senate. One of the three faculty shall be appointed from the Faculty Appeals & Oversight Committee.

In the case of evaluation of the Dean of the Graduate School, the Provost will appoint an Ad Hoc Committee consisting of two faculty drawn from the UAF Faculty Senate's Graduate Academic & Advisory Committee, one Dean/Director, one member of the Faculty Appeals and Oversight Committee, and a student representative from the Graduate Student Organization.

The Ad Hoc Committee will solicit input from all relevant constituencies on- and off-campus, including faculty, staff, and students. This may be accomplished through various instruments, e.g., a standard questionnaire completed anonymously and returned to the Committee Chair.

2. The Administrator to be evaluated will prepare a narrative self-evaluation of activities performed during the three-year period (academic years) prior to the year of evaluation or since the last evaluation. This narrative should include reflections about how adequately s/he has fulfilled responsibilities of leadership consistent with his/her own performance expectations and those of faculty, staff, and students in the unit. Major or otherwise significant accomplishments should be highlighted. Any issues raised in the last evaluation should be referenced with a view to what progress has been made on those items. Finally, the self-evaluation should identify a limited set of reasonable goals for the unit over the next three years, with some discussion about specific strategies that may be undertaken through his/her administrative leadership.

3. The Ad Hoc Committee will interview a select sample of faculty, staff, students and others as relevant for further evaluative comments about the Administrator's performance.

4. The Ad Hoc Committee will interview the Administrator either in person or by conference call. The interview shall proceed on the basis of a set of questions which reference the Administrator's self-evaluation, the results of returned questionnaires, and the interviews of faculty, staff, and students.

5. The Ad Hoc Committee will prepare an evaluative summary, and submit its report to the Provost or Vice Chancellor (in the case of evaluation of Deans/Directors), or to the Chancellor (in the case of evaluation of the Provost or Vice Chancellor). The Ad Hoc Committee shall work as expeditiously as possible in completing its report and submit it to the Provost, Vice Chancellor or Chancellor as the case may be by March 15 of the Spring Semester.

- (a) At a date to be set by the Provost or Vice Chancellor, the Provost or Vice Chancellor shall meet in joint conference with the Ad Hoc Committee and the Faculty Appeals & Oversight Committee for final review, recommendations, and disposition of the Administrator's evaluation. The supervisor of the administrator will thereafter provide his/her formal evaluation taking into account the Ad Hoc Committee's report.
- (b) For Review of the Provost or Vice Chancellors - At a date to be set by the Chancellor, the Provost or Vice Chancellor and the Chancellor shall meet to discuss the Ad Hoc Committee's evaluation of the Provost or Vice Chancellor. During this meeting the Chancellor and Provost or Vice Chancellor shall identify performance priorities for the next review period. The Chancellor shall meet in joint conference with the Ad Hoc Committee and the UAF Faculty Senate's Faculty Appeals & Oversight Committee to summarize his evaluation.

(The UAF Faculty Senate passed the following at its Meeting #143 on April 9, 2007)

Group B Administrators:

In addition to being reviewed annually by his/her immediate Supervisor, "Group B" administrators are to undergo a 3-year comprehensive review. At a time designated by the Supervisor during the fall semester of the academic year of comprehensive review, the "Group B" administrator will submit a self-evaluation report to his/her Supervisor. The self-evaluation shall include: (1) comments on the annual performance evaluations; (2) a summary of his/her notable activities/accomplishments in the previous years; and (3) a statement of relevant goals/objectives relative to assigned or planned administrative duties for the upcoming years. The Supervisor's evaluation shall include faculty and/or staff opportunity for comment on the "Group B" administrator's performance. Comments received shall be referenced in anonymous and aggregate summary in the written evaluation provided to the "Group B" administrator. The Supervisor will include, as part of the written evaluation, an appended workload assignment and/or statement of performance expectations for the "Group B" administrator for the subsequent review period. A copy of the Supervisor's review, along with a summary statement of the process used to assure faculty/staff input into the evaluation, will be forwarded to the Faculty Senate Office by March 15 of the academic year the "Group B" administrator is scheduled for

review. The Faculty Appeals & Oversight Committee shall review the written evaluation in performance of its oversight function in administrator review.

The following criteria will be used to determine which administrators are placed on or removed from the "Group B" list. As vacancies and appointments occur, changes to the list shall be determined annually by the Provost in consultation with the Faculty Senate President.

- "Group B" administrator responsibilities must be administrative in nature.
("Group B" administrators must not be Union members, UNAC or ACCFT).
- "Group B" administrators report to "Group A" administrators.
("Group A" administrators report to the Chancellor, Provost, or a Vice Chancellor.)
- "Group B" administrators supervise faculty and are involved in faculty performance reviews.

Changes proposed:

1. Position description that includes the primarily duties and responsibilities.
2. Evaluation committee should be identified and represent a cross section of stakeholders.
3. Statement of goals/objective from last evaluation with narrative about progress achieved toward identified goals. Reviews should address at least 3 primary goals (administrative ability, leadership, management/organization, communications,..)
4. Evaluation input (staff, faculty & other stakeholders-community advisory groups..)
 - a. Input should be solicited from all groups
 - b. Survey instruments should encompass identified goals/responsibilities
 - c. Evaluations provided should be reported in summarized form with attribution by general source (staff, faculty, community board,..)
5. An integral part of the evaluation should be the development of future/goals to be accomplished.
6. An appraisal of administrator performance should be solicited from faculty and staff union representatives.
7. Timelines should be established for review committees to complete the review process.
8. Time frame since last evaluation, and statement as to why it was deferred if last review is more than 3 years ago.

Sample Policies/Procedures:

<http://www.aaup.org/AAUP/comm/rep/FacultyEvaluationof+Admins.htm>

<http://www.provost.umd.edu/Reviews/DeanReview.html>

<http://www.provost.umd.edu/Reviews/DeanReview.html>

<http://www.colorado.edu/pba/aap/>

<http://www.suny.edu/facultySenate/files/FacultyEvaluation.doc>

2008-2009 Final Report by James Bicigo. The one set of meeting minutes submitted follow this two-page report.

From: "James Bicigo" <ffjmb1@uaf.edu>
Subject: final report of FAO committee
Date: Fri, May 15, 2009 11:38 am
To: fysenate@uaf.edu

Final Report of the Faculty Appeals and Oversight Committee
May 15, 2009
James Bicigo, Chair

The Faculty Appeals and Oversight Committee convened in September and elected James Bicigo as Chair. The committee then met in November and December to consider and draft a proposed amendment to the guidelines for the review of administrators in groups A and B that was suggested by the previous year's committee. The committee voted and accepted the attached proposed amendment.

Throughout the year, the members of the FAO committee served on several grade appeals as recorded by the Faculty Senate Office. Members also served on the group A administrator review committees.

On May 1st, members of the committee met with Provost Susan Heinrichs regarding the review of Group A Administrator. The review process proceeded in a reasonable manner. However, members of the FAO Committee suggest that perhaps the make up of the committee allows for a stacked committee. Members noted that there has not been a negative review in many years and yet it is common to hear faculty complain about their administrators. To ensure a fair and unbiased committee for group A administrators, the committee suggests that the faculty make up of the Group A administrators review committee be elected from the peer units in that administrator's college. This is a topic for next year's committee to discuss and decide upon.

On May 8th, the FAO committee met to review the Group B administrators reviews. The committee's comments are as follows:

[CONFIDENTIAL COMMENTS REMOVED FROM THIS VERSION WHICH IS FOR POSTING ONLINE.]

For next year, we suggest that the attached proposed amendment be submitted to the Administrative committee of the Faculty Senate and that the formation of Group A administrators committees be discussed and possibly changed for the future.

Respectfully Submitted,

James Michael Bicigo, DMA
Associate Professor of Music
Chair, FAO Committee

Motion for Amendment to Guidelines for the Evaluation of Administrators (Group B)

Background:

Following the evaluation process for group B administrators in 2007-2008, the members of the Faculty Appeals and Oversight Committee discussed the process and made a recommendation that the committee produce a motion for an amendment to the *Guidelines for the Evaluation of Administrators (Group B)*. This amendment would provide for student input in the Group B supervisor's review as do the guidelines for the review of Group A administrators. It would also provide a means for the findings and recommendations of the Faculty Appeals and Oversight Committee to be included in the supervisor's final review of the administrator.

Motion:

In the first paragraph of the *Guidelines for the Evaluation of Administrators (Group B)*, the fourth sentence that currently reads:

The supervisor's evaluation shall include faculty and/or staff opportunity for comment on the "Group B" administrator's performance.

Shall read:

The supervisor shall solicit and include input from all relevant constituencies on and off campus, including faculty, staff and students in their evaluation.

In the first paragraph of the *Guidelines for the Evaluation of Administrators (Group B)*, following the last sentence that reads:

The Faculty Appeals and Oversight Committee shall review the written evaluation in performance of its oversight function in administrator review.

Shall be added a sentence that reads:

Following review by the Faculty Appeals and Oversight Committee, the committee may provide written comments and/or recommendations to the supervisor who will address these comments and/or recommendations in the administrator's final review.

There was a motion to accept followed by a second and a unanimous vote of the FAO Committee to accept this motion on December 10, 2008.

Submitted this 8th day of May, 2009.

James Bicigo, Chair
Faculty Appeals and
Oversight Committee (2008-09)

Chair's Signature _____

Faculty Appeals and Oversight Committee 2008-09

Minutes First Meeting

Members present: James Bicigo, Jerry McBeath, Carol Barnhardt, Keith Swarner, Fred Sorensen, Wayne Marr, Julie Riley, Joshua Greenberg

Absent: John Gimbel, Santanu Khataniar, Tony Nakazawa, Milan Shipka

The committee decided to proceed with eight members in attendance.

Jim Bicigo convened the meeting and reviewed the role of the committee.

Jerry McBeath and Carol Barnhardt asked Jim Bicigo to serve as chair of the committee. Jim asked for any other nominations and there were none. A vote was taken and Jim Bicigo was elected chair.

Jim read the guidelines for the review of Group A and B administrators. Jerry advised Jim to contact Buck Sharpton, Susan Henrichs, the SFOS Dean and the CRCD Vice Chancellor to be sure the ad hoc committees are set up for Group A administrators and to check on the group B administrators as well. Jim will do this.

Julie Riley brought up a proposed amendment that was discussed at the last meeting in 2007-08. She said that the committee felt that there needed to be a means of communicating that the FAOC had completed the review and what their findings were. Also, last year's committee felt that they needed to ensure there was input from faculty and staff. They also felt there should be input from students and constituencies.

The 2008-09 committee discussed this and asked Julie to e-mail her draft of the proposed amendment to Jim. Jim will disseminate this to the members of the committee for comment and revision. The committee will meet next month to complete this and forward it to the faculty senate as per procedure.

The committee discussed meeting times and decided on the second Wednesday of each month at 8:30 AM. Jim will let committee members know if it is not necessary to meet due to no work to be done.

Report on the
Faculty Oversight & Appeals Committee (FAOC)
activities for the 2007-2008 Academic year

by

Tom Clausen (Chair)

This is a preliminary report that will be followed up in June or July of this year with a final report. It is unfortunate that two items before the FAOC have not been completed by the end of the academic year but there is a very reasonable expectation that the delays will not extend beyond the first half of the summer. I apologize in advance for any difficulties this incomplete report may cause individuals.

The major issue before the FAOC committee was to oversee the reviews of the following Group A and Group B administrators to ensure the rules set forth by the Faculty Senate were adhered to.

Group A administrator reviews:

1. Eric Madsen, Dean, School of Education
2. Denis Wiesenburg, Dean, School of Fisheries and Ocean Sciences
3. Roger Smith, Director, Geophysical Institute

Group B administrator reviews:

1. Clara Johnson, Director, Interior Aleutians Campus, CRCD
2. Deborah McLean, Director, Bristol Bay Campus, CRCD
3. Curt Madision, Director, Center for Distance Education & Independent Learning, CRCD
4. Gordon Pullar, Director, Alaska Native & Rural Development, CRCD
5. Gerald Mohatt, Director, Center for Native Health Research, IAB
6. William Smoker, Director, Fisheries Division, SFOS

For the most part, the review process went smoothly and in accordance with Faculty Senate rules. There were, however, some issues that the committee faced:

1. Most reviews were finalized well after the March 15th deadlines. In the case of the Roger Smith review, the last completed stage of the process (interview of Roger Smith by the ad hoc committee) was completed on May 8th. Unfortunately it was not possible to complete his review by the end of the semester which requires a joint meeting between Buck Sharpton, the ad hoc committee and the FAOC. Key people are not available but it is hopeful that the process will be completed in June.
2. The FAOC committee had concerns about the written evaluation of one Group B administrator by their supervisor. The written evaluation gave little mention of faculty and staff input and there was no appended workload or statement of performance expectations as required by Faculty Senate Rules. The FAOC asked

the supervisor to amend their evaluation to address these points which was promptly done to the committee's satisfaction.

3. At the end of reviewing the group B administrators on May 8th, the FAOC was surprised to discover that the process as described by the Faculty Senate was completed in what was generally considered an abrupt manner. Unlike the review of the Group A administrators, the provost (or other appropriate university representative) is not part of the final review. No reporting mechanism is suggested by the FAOC committee regarding the quality of the review. Furthermore, as we discovered in dealing with an inadequate supervisor's evaluation, there was no mechanism or clear authority for the FAOC to find redress.

Other functions carried out by the FAOC committee were to have individual members of the committee sit on ad hoc committees to review student appeals for grade changes, departmental decisions, etc.

Recommendations:

Given that the March 15th deadline for most reviews was not met, the FAOC next year should consider pursuing a more active role in obtaining frequent progress reports and projected time lines from ad hoc committees.

The Faculty Senate rules for how Group Administrator reviews are ended need to be examined. At the very least, a statement should be added to the "Guidelines for the Evaluation Process for Administrators" (Senate Meeting #115, 2003) regarding situations in which the FAOC considers the review of a Group B administrator to be inadequate. In the case where this happened this year, the supervisor responded to the FAOC request but the committee was concerned about what action it could take if the supervisor took great exception to the committee's judgment. To this end, a FAOC member, Julie Riley, has agreed to draft some verbiage and this will be made available to the 2008/2009 FAOC.

It is also recommended, and there is a commitment by all parties to do so, to have the review of Roger Smith (Group B administrator) completed as early as possible and certainly over the summer of 2008.

UAF Faculty Appeals and Oversight Committee—Wednesday, Sept 5, 2007

Audio Conference Information:

Toll-free number: 1-800-893-8850

Presenter PIN: 1109371

Participant PIN: 1109306

Convener: Carol Barnhardt

FAO Tasks for Wednesday, September 5th

- Review responsibilities of Faculty Appeals and Oversight Committee
- Elect a chair for the Faculty Appeals and Oversight Committee
- Establish the FAO meeting time for Fall 07. The times below appear to be good for members.
 - Mondays between 1 and 5 PM
 - Wednesdays between 3:30 and 5 PM (Wednesdays are best in terms of coordinating with Faculty Senate Administrative Meetings which are held on Fridays)
 - Fridays from 3 to 5 PM

FAO Responsibilities for 07-08

1) Serve on Student Grade Appeal Ad Hoc Committees

- Grade Appeals Committees need to include a representative from the FAO Committee.
Recommendation: The FAO Chair should keep a tally with the number of grade appeals each year (simply for reporting purposes).

2) Participate in Administrator Reviews of Five "Group A" Administrators

The following five "Group A" Administrators will be reviewed this year:

- Joan Braddock, Dean, CNSM
- Aldona Jonaitis, Director, UA Museum of the North
- Eric Madsen, Dean, School of ED
- Denis Wiesenburg, Dean, SFOS
- Roger Smith, Director, GI
- Ad Hoc Committees will be set up by Provost Henrichs for each of the first four administrators, and the Ad Hoc Committee will include one member of the FAO Committee. Buck Sharpton will set up the process for the review of Roger Smith.
- The FAO Committee and the Ad Hoc Committee will meet jointly for "final review, recommendations, and disposition of the Administrators' evaluations. The supervisor of the administrator will thereafter provide his/her formal evaluation taking into account the Ad Hoc Committee's report."

From UAF Faculty Senate Bylaws

The Faculty Appeals and Oversight Committee shall be composed of two tenured faculty members, elected from each college/school and confirmed by the Faculty Senate.

Faculty appeals will be dealt with in accordance with the appropriate union contract.

The committee will act as a pool to be drawn upon to act as the United Academics representatives to the Appeals Board. The chair of the Faculty Appeals and Oversight committee will select, from the committee, members of the United Academics bargaining unit who will serve on the particular Appeals Board.

Committee members shall oversee the process of evaluation of academic administrators.

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Milan Shipka, SNRAS (09)
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SOEd (08) - vacant
SFOS (09) - vacant
SOM (08) - vacant

*Chair

8/07

Committee Report for AY2006-2007
Faculty Appeals & Oversight Committee
Norman K. Swazo, Chair
24 April 2007

The Faculty Appeals & Oversight Committee (FAOC) had limited assignments this academic year.

- Various members of FOAC served on a number of student grade appeal ad hoc committees.
- There were no "Group A" list administrator comprehensive reviews scheduled during the year.
- The only major item of business was work revising the process for review of "Group B" administrators. A draft motion submitted to the Senate Administrative Committee was returned to the FAOC for further discussion. Provost Reichardt met with the committee to discuss the issue. Group B administrator reviews were suspended for the current year pending revision of the process.
- It was agreed that an ad hoc committee comprised of representatives of the FAOC and the Provost's Council would be convened to develop the revised process. This committee was formed, chaired by Julie Riley, with members including Brian Barnes, Denis Wiesenber, Tom Clausen, and Norm Swazo (ex officio). The committee concluded the revision, submitted a motion to the Administrative Committee, and had the motion passed at the April Senate meeting. The revised process takes effect in fall 2007.

Recommendation for AY2007-2008:

The work of the committee has diminished over the years as the collective bargaining process has shifted items of oversight and appeals responsibility to the unions. In light of these changes, the Senate may wish to consider combining the functions of the FAOC and the Faculty Affairs Committee under one committee (whether standing or permanent committee).

**UAF Faculty Appeals and Oversight Committee
Minutes of Wednesday, Sept 5, 2007, 4 PM Meeting**

Members Present: C. Barnhardt, J. Bicigo, T. Clausen, G. Chukwu, J. Greenberg, J. Irish, T. Johnson (on-line), J. Riley (on-line), M. Shipka

Member Absent: M. Pippenger

Minutes Prepared by Carol Barnhardt, Convener

Items of Business

I. Reviewed responsibilities of the UAF Faculty Appeals and Oversight Committee for 2007-08

A. Serve on Student Grade Appeal Ad Hoc Committees

All student Grade Appeals Committees need to include a representative from the FAO Committee. Last year there were approximately 10 different appeals made by students and FAO committee members typically served on one or two committees. A suggestion was made that the total number of committees served on be noted in the final FAO Report at the end of the academic year. Members are notified about committee participation by Don Foley's office.

B. Assist with Reviews of Group A Administrators

Individual FAO committee members will be asked to serve on five different ad hoc committees during this academic year. The committees will review the five Group A administrators scheduled for evaluation this year. Ad Hoc Committees will be organized by Provost Henrichs for four of the administrators, and each of these committees will include *one member of the FAO Committee*. An individual for the fifth Group A Administrative review (that of Roger Smith) will be identified by Buck Sharpton.

The following "Group A" Administrators will be reviewed this year:

- Joan Braddock, Dean, CNSM
- Aldona Jonaitis, Director, UA Museum of the North
- Eric Madsen, Dean, School of ED
- Denis Wiesenburg, Dean, SFOS
- Roger Smith, Director, GI

The full FAO Committee and each of the Ad Hoc Committees will meet jointly for "final review, recommendations, and disposition of the Administrators' evaluations. The supervisor of the administrator will thereafter provide his/her formal evaluation taking into account the Ad Hoc Committee's report."

C. Assist with Reviews of Group B Administrator Review

Seven Group B administrators will receive a comprehensive review this year by their Supervisor. FAO committee members' only responsibility is to review the final evaluation as described below.

"A copy of the Supervisor's review, along with a summary statement of the process used to assure faculty/staff input into the evaluation, will be forwarded to the Faculty Senate Office by March 15th of the academic year the "Group B" administrator is scheduled for review. **The Faculty Appeals & Oversight Committee shall review the written evaluation in performance of its oversight function in administrator review.**"

II. Reviewed the FAO Committee description in the UAF Faculty Senate By-Laws and reviewed of the FAO Committee Report for AY2006-2007 prepared in April, 2007 by Norm Swazo, Chair

A. From the UAF Faculty Senate Bylaws:

The Faculty Appeals and Oversight Committee shall be composed of two tenured faculty members, elected from each college/school and confirmed by the Faculty Senate.

Faculty appeals will be dealt with in accordance with the appropriate union contract.

The committee will act as a pool to be drawn upon to act as the United Academics representatives to the Appeals Board. The chair of the Faculty Appeals and Oversight committee will select, from the committee, members of the United Academics bargaining unit who will serve on the particular Appeals Board.

Committee members shall oversee the process of evaluation of academic administrators.

B. Recommendation from The FAO Report for AY2007-08:

The work of the committee has diminished over the years as the collective bargaining process has shifted items of oversight and appeals responsibility to the unions. In light of these changes, the Senate may wish to consider combining the functions of the FAOC and the Faculty Affairs committee under one committee (whether standing or permanent committee).

The committee briefly discussed the accuracy of the FAO description in the By-laws and briefly discussed the recommendation from last year's report. One or both of these might be topics of discussion and/or action during the 07-08 year.

III. Elected a chair for the Faculty Appeals and Oversight Committee

Tom Clausen, CNSM (08) was nominated for the position of FAO Chair. He was elected unanimously.

IV. Established the FAO meeting time for Fall 07

The FAO Committee will meet on designated Fridays at 4:00 PM.