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## Evaluation of Academic Deans for Contract Renewal

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Updated 11/1/2019

### I: Introduction

This document describes the process by which non-interim deans of SLU colleges and schools who report to the Provost will undergo summative performance evaluations for consideration of contract renewal; this process is separate from the annual performance evaluation process.

*Note: This process clarifies, describes in greater detail, and offers minor revisions to the process adopted by the Provost in Fall 2017. It was modified in Fall 2019 after input from the chairs of multiple Dean Review Committees and the Provost.*

### II: Governing Principles

1. Deans appointed on a non-interim basis shall be appointed for terms of five calendar years.
2. The contract renewal decision for a sitting dean is the purview of the Provost.
3. The Provost may review a dean's performance at any time, and may modify a dean's employment status at any time, per the terms of the dean's contract.
3. The contract renewal decision for a sitting dean shall be made by the Provost no later than the last day of the first semester of the final academic year of the dean's extant contract; preferably, the decision will be made by the end of the final semester in the year preceding the final contract year. A timeline of the renewal process is provided in Appendix B.
4. The Provost shall solicit input from the following constituencies to inform the contract renewal decision for a sitting dean:
  - all full-time, tenured, tenure-track, and non-tenure track (excluding adjunct and temporary) faculty of the respective college/school
  - all full-time staff of the respective college/school
  - student government and student advisory board members of the respective college/school
  - external advisory boards (e.g., alumni, development) of the respective college/school
  - other SLU academic deans
  - SLU vice-presidents
  - SLU's president
5. Neither the Provost nor the College/School Review Committee (defined below) is obligated to review any feedback/material from any constituency that is not explicitly solicited by the Provost or the Review Committee.

6. All activities and materials/data referenced by the Review Committee, as well as all other consultations and deliberations engaged in by the Provost and others as part of the Provost's evaluation of the dean, are to be kept strictly confidential.

### III: The Review Process

1. No later than November 1<sup>st</sup> in the year preceding the final year of a sitting dean's contract, the Provost shall solicit from the sitting dean an intent to seek renewal. The intent to seek renewal is due to the Provost by December 1<sup>st</sup>.
2. The intent to seek renewal should be 3-5 pages, and shall include the following:
  - Dean's rationale for pursuing renewal
  - Summary of progress toward the college/school's Strategic Plan goals, including major accomplishments, as well as major challenges to progress.
  - Vision for the future of the School/College including high level goals and strategies for addressing challenges.

The submission of a dean's intent to seek renewal will prompt the remainder of the evaluation process, as described below.

2. The Provost shall notify the full-time faculty, staff, and student representatives of the respective college/school of the pending evaluation of the dean's performance and the process by which the evaluation will proceed. Whenever possible, the Provost will hold an open meeting for all college/school full-time faculty and staff at which the process will be explained.
3. The Provost shall establish a College/School Dean Review Committee (defined below) to facilitate the gathering of pertinent input, and to foster consultative deliberation, from the respective college/school's faculty, staff, students, and advisory board members.

The charge of the Committee is to:

- solicit feedback on the dean's performance from the college's/school's faculty, staff, student leadership representatives, and advisory boards.
- review documents/reports related to the performance of the college/school and its academic units
- submit to the Provost a written report summarizing and analyzing all such information to inform the Provost's evaluation (the Committee does not author its own recommendation regarding contract renewal; template is provided as Appendix A. The report is shared only with the Provost.

***NOTE: Details about the Review Committee --- its membership, processes, requirements, final report, etc. – are explained in Section IV of this document.***

4. In a manner determined by the Provost, the Provost shall solicit input on the dean's performance from the following:
  - all other sitting, non-interim deans
  - University vice-presidents with whom, per the Provost's determination, the dean has had sustained, substantive professional engagement
  - the University president

5. The Provost shall then review all solicited input and make a decision regarding renewal of the Dean's contract.
6. The Provost will then meet and discuss with the dean a) the report of the College/School Dean Review Committee; b) other input gathered as part of the evaluation; c) the Provost's summative evaluation of the dean's performance, d) the contract renewal decision, and e) the rationale for the renewal decision.
7. Following the meeting the Provost will provide the dean a written memo summarizing the contract renewal decision.

#### IV: The College/School Dean Review Committee

1. The members of the College/School Dean Review Committee shall be appointed by the Provost. The Provost will seek to ensure that SLU's commitment to diversity is reflected in the committee's membership.
2. Other than the chair, who shall be appointed directly by the Provost, all members will be appointed from a list of candidates solicited by the Provost from the respective college/school. The membership must include:
  - eight members total, including the chair
  - five faculty members of the college/school, nominated by the faculty governance body of the college/school via its own processes. Assuming a substantive number of tenured, tenure-track, and non-tenure track faculty are employed in the respective college:
    - three of the five must be tenured
    - one must be on the tenure track
    - one must be a non-tenure track facultyWhen a substantive number of any of the above-noted faculty groups is not employed in the college/school, the Provost shall modify the faculty distribution accordingly.
  - two college/school staff members, nominated by the collective staff of the college/school
  - the chair shall be a sitting dean of another SLU college/school not being evaluated concurrently

There is no limit on how many College/School Dean Review Committee candidates may be nominated for consideration to the Provost for consideration; additionally, the Provost reserves the right to request additional faculty or staff nominees

Should a College/School Dean Review Committee member choose to withdraw from committee service at some point, replacement of the Committee member is at the discretion of the Provost. In the event the Provost decides to fill the committee vacancy, the selection process described above will be used. The Provost will consult with the Committee before making any decisions regarding filling a Committee vacancy.

3. The Committee chair shall:
  - schedule all Committee meetings, and establish meeting and other Committee work agendas
  - monitor progress toward fulfillment of the committee charge and keep the Committee on pace
  - oversee development of the Committee's final report
  - serve as a liaison between the Committee and the faculty, staff, and students of the college/school

- serve as a liaison between the Committee and the Provost

The Committee chair shall be supported by an Associate Provost, designated by the Provost, who will gather and provide all data, reports, and related documents (addressed below) for the Committee's review; work with the Office of Institutional Research (OIR) on any modifications to, and on the administration of, the survey of faculty, staff, student leaders, and advisory board members (addressed below); provide the survey results to the Committee in a format that facilitates their analysis; facilitate technical support for the Committee as needed; respond to any other requests for support from the chair.

4. The Office of Institutional Research shall provide to the Committee a standard set of college/school, department, and program-level data pertinent to the Committee's charge. The dataset will mirror the enrollment, retention/graduation rate, and faculty workload data currently provided to academic units engaged in the Academic Program Review (APR) process.
5. The Office of the Provost will provide to the Committee data on faculty scholarly activity upon request. Due to the vast differences in the nature and amount of such scholarly activity across academic units, no standard report or dataset is provided.
6. The Review Committee shall be granted access to all relevant documents, including (but not limited to) the following:
  - college/school-level strategic plans and related reports
  - recent APR-related documents and reports
  - the most recent accreditation self-studies, accreditor reports/letters, and accreditation remediation plans, if applicable (for the college/school and any programs with separate accreditations)
  - standard dataset on faculty workload
  - standard dataset on admission, enrollment, retention/graduation rates
  - results/reports on college/school-level surveys of students, faculty, and/or staff
  - customized faculty scholarly activity data, as requested
  - recent development/fundraising data/reports

Request for additional information may be made by the Committee chair to the Provost. The Committee may employ pertinent information from these sources in its review.

7. The Committee will seek feedback on the dean's performance from the following constituents via the University's Dean's Evaluation Survey:
  - all full-time faculty of the respective college/school
  - all staff of the respective college/school
  - student government and student advisory board members of the respective college/school)
  - external advisory boards (e.g., alumni, development) of the respective college/school
8. The survey contains a standard set of questions for all deans undergoing evaluation; up to five additional, custom survey questions may be added to the survey at the request of the Committee chair, on behalf of the Committee.
9. The survey is administered anonymously.
10. OIR will administer the Dean's Evaluation Survey on behalf of the Committee and provide a report with the results of the survey. The report will contain frequency distributions of responses to multiple-choice questions complemented by a qualitative analysis of narrative responses to open-ended questions; results will be fully aggregated and also disaggregated by distinct respondent

population. The report will be provided only to the Committee and the Provost, and may not be shared or otherwise distributed.

11. Upon review and analysis of the survey results and all relevant documents (per #5 above), the Committee shall author and submit to the Provost a final report that summarizes its findings.
12. A template of the Committee's final report is offered in **Appendix A**. A timeline of the Review Committee's work, as well as the work provided by OIR and other contributors, is outlined in **Appendix B**.

## Criteria for Evaluation

1. In addition to any factors unique to a particular college/school or to the distinct performance expectations of a particular dean (see #2 below), the following serve as general criteria for effective service as a dean.

### *Leadership*

- Demonstrate a strong commitment to and effectiveness in advancing excellent education (both undergraduate and graduate); research, scholarship; and creative activity.
- Develop goals and strategic plans in collaboration with faculty and other academic leaders; ensure effective communication and implementation strategic plans and actions.
- Ensure effective mentoring of faculty, assistant/associate, department chairs, and other staff.
- Enhance the quality of faculty, staff and programs in the college via strategic hiring and rigorous reviews for promotion and tenure.
- Model professional behavior and respectful treatment of others, especially when addressing differences in opinion or managing challenging change processes.
- Develop and implement procedures for the smooth, efficient, effective operation of the college.
- Develop effective external partnerships that advance the mission of the college.
- Ensure positive morale; inspire pride in and optimal performance of faculty, staff and students.

### *University Citizenship*

- Contribute to the university's mission and strategic goals and enhance the excellence of the university.
- Advance the diversity of goals of the institution.
- Enhance interdisciplinary research and education in areas of strategic importance to the university.
- Work effectively with other deans, administrators, faculty, students and staff.
- Comply with University, governmental, and professional policies and procedures.
- Effectively represent the university to external constituencies.

### *Communications*

- Communicate effectively information and decisions to the college's faculty, staff and students.
- Communicate effectively the goals of the college and university mission to internal and external constituencies.
- Foster effective shared governance.

### *Budget and Use of Resources*

- Make budget decisions consistent with college goals and within college and institutional financial parameters.
- Use resources strategically, effectively, and efficiently.
- Develop strategies for generating revenue.
- Work with other colleges and units of the university to design budget- sharing strategies.
- Encourage entrepreneurship throughout the college.

### *Development*

- Work with the Development Office and the College Director of Development in establishing fundraising goals and assuring goals are accomplished.

2. In addition to the “general criteria” shared above, there may be (and in most cases will be) performance factors unique to a particular college/school or to a particular dean at a particular time in that college/school’s history. The Provost shall formally establish such additional expectations/criteria as the Provost deems appropriate. The Provost shall any such formally-established criteria to the dean as soon as possible so the dean is aware of and can work toward such expectations/criteria to the best of the dean’s ability.

# Appendix A

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## College Dean Review Committee Final Report *(TEMPLATE)*



### Dean Review Committee Final Report

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**College/School:** [College of XYZ]

**Dean:** [Dr. Jane Doe]

Date Submitted to Provost: [May 1, XXXX]

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## Section I: Table of Contents

*[Provide a standard Table of Contents to facilitate navigation throughout the document.]*

## Section II: Executive Summary

*[Provide a summary (two pages, max) of the committee's processes, data sources, timeline, methods of analysis, and major findings.]*

## Section II: Committee Membership & Charge

Committee Member	Title	Committee Role
Joseph Doe, Ph.D.	Dean, XYZ College	Chair
John Doe, Ph.D.	Associate Professor, [DEPT]	Faculty Rep
James Doe	Administrative Assistant	Staff Rep
TBD	TBD	TBD

The charge of the Review Committee is to:

- solicit feedback on the dean's performance from the college's/school's faculty, staff, student leadership representatives, and advisory boards.
- review documents/reports related to the performance of the college/school and its academic units
- submit to the Provost a report summarizing and analyzing all such information/input to inform the Provost's evaluation (the Review Committee does not author its own recommendation regarding contract renewal)

## Review of Survey Responses

*[Provide a substantive review of the survey responses, disaggregated by respondent type. Include the Committee's collective, summative analysis of the responses. You may paste in data/charts from the OIR-produced survey report, or choose another method to share this information. You may also request a specific representation of survey data from OIR through the Committee chair. For simplicity's sake, you*

*may choose to attach the OIR-generated report(s) as an appendix to your report and reference it accordingly.]*

### **Review of Supplemental Materials: Data, Reports, Etc.**

*[Provide a substantive review of findings from the Committee's review of all other data, materials, strategic planning documents, accreditation self-studies and reports, etc. Provide citations as appropriate; the Provost will have access to all such materials, so replicating significant portions of them here is unnecessary.]*

### **Consolidated Statement of Findings**

*[Provide a consolidated statement of all notable findings of the Review Committee. Ground analysis in data gathered from through the process, and provide key references/citation information as appropriate. Do not offer any recommendation to the Provost regarding renewal of the dean's contract, but provide sufficient findings from the data to better inform the Provost's deliberations and decision.]*

# Appendix B

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## Review Process Timeline



### Dean Evaluation: Timeline

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**Note:** The timeline presented below assumes the sitting dean's contract expires on June 30<sup>th</sup> of the fifth year of dean service. Accordingly, all months referenced below are assumed to be in the dean's fourth academic year of service. For those hired on a different cycle, the timeline will be adjusted accordingly.

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## Timeline\*

Date	Action
November 1	<ul style="list-style-type: none"> <li>▪ Provost solicits “Statement of Intent” to seek contract renewal from sitting Dean.</li> </ul>
December 1	<ul style="list-style-type: none"> <li>▪ Dean submits “Statement of Intent” to Provost.</li> </ul>
December 15	<ul style="list-style-type: none"> <li>▪ Via e-mail, Provost:               <ul style="list-style-type: none"> <li>○ notifies the faculty, staff, and students of the respective college/school of the upcoming dean evaluation and describes the process generally.</li> <li>○ announces upcoming college/school-wide meeting to discuss the process.</li> <li>○ Provost announces Chair of the College/School Dean Review Committee.</li> <li>○ Provost formally solicits nominations for Committee members.</li> </ul> </li> </ul>
January 15-20	<ul style="list-style-type: none"> <li>▪ Provost and Review Committee Chair meet with School/College faculty and staff to discuss the review process.</li> </ul>
February 1	<ul style="list-style-type: none"> <li>▪ Provost finalizes composition of Review Committee</li> </ul>
February 8	<ul style="list-style-type: none"> <li>▪ Committee meets for the first time.</li> <li>▪ Committee reviews standard survey and discusses need for any additional questions; chair forwards custom question request to Associate Provost.</li> <li>▪ Committee identifies additional documents for review, submits request for documents to Associate Provost</li> </ul>
February 15	<ul style="list-style-type: none"> <li>▪ Review Committee begins review of college/school documents; identifies additional documents for review, submits request for documents to Associate Provost</li> </ul>
March 1	<ul style="list-style-type: none"> <li>▪ OIR distributes University’s Dean Review Survey.</li> <li>▪ OIR sends two reminders to complete the survey prior to survey closing date.</li> </ul>
March 15	<ul style="list-style-type: none"> <li>▪ Survey closes (two-week survey completion window).</li> </ul>
March 31	<ul style="list-style-type: none"> <li>▪ Associate Provost delivers OIR-generated survey report to Review Committee.</li> </ul>
April 1 – May 14	<ul style="list-style-type: none"> <li>▪ Review Committee develops its final report.</li> </ul>
May 15	<ul style="list-style-type: none"> <li>▪ Review Committee submits final report to Provost.</li> </ul>
By June 30	<ul style="list-style-type: none"> <li>▪ Provost meets with Dean and shares decision on contraction renewal.</li> </ul>
After July 1	<ul style="list-style-type: none"> <li>▪ A communication to the respective college/school about the future of the Dean will be made by the Provost after consultation with the Dean; the timing of that communication will vary.</li> </ul>

*\* Throughout this timeline, the Provost will solicit additional input from deans, VPs, and the President.*