

February 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision of Policy R208, Resource and Review Teams

Issue

The Board seeks to ensure its institutional presidents are successful in all aspects of the position. Resource and review teams provide presidents with ongoing support, direction, and counsel on behalf of the Board of Regents and the Board of Trustees. These policy revisions clarify the resource and review team's responsibilities. The policy also expands and refines the annual performance evaluation criteria, timing and procedures.

Background

To be successful, all presidents require ongoing communication with and accountability to the Board of Regents and the Board of Trustees. Resource and review teams provide an important person-to-person bridge between the president and the Board. The president can also use the team as a resource for guidance, feedback and counsel.

Resource and review teams meet with the president at least twice a year—once in the Fall and again in the Spring. During the Fall meeting, presidents update the team on progress towards the institution's strategic goals and challenges the president is either facing or anticipates in the coming year. The president can request the Board's assistance where needed and keep the board updated on his or her challenges and successes.

In the Spring, the resource and review team evaluates the president's performance based on established criteria. The team then presents its findings to the president for his or her input. Afterward, the team presents a written performance evaluation to the Board of Regents.

The proposed policy changes clarifies the team's responsibilities for counseling and supporting presidents and for conducting annual performance evaluations. Additionally, the revisions expand and refine the performance evaluation criteria to include the president's vision for the institution, and whether the president has established strategic goals with strategies for accomplishing the strategic goals. Additionally, the team will assess whether the presidents vision and goals align with the Board's vision and strategic goals.

These revisions will improve the resource and review team's ongoing relationship with presidents and enhance communication and accountability to the Board.

Commissioner's Recommendation

The Commissioner recommends the Regents approve changes to R208, *Resource and Review Teams* effective immediately.

David L. Buhler
Commissioner of Higher Education

DLB/ /GTL
Attachment

R208-1. Purpose: The purpose of this policy is to help the president be successful in his or her responsibilities through (1) regular communication between the presidents and Regents; (2) informing the Regents about institutional issues and problems in a timely manner; (3) appointing liaisons between the Board of Regents and institutional Boards of Trustees; and (4) providing a mechanism for ~~informal, periodic~~ annual performance review of consultation ~~with~~ each president.

R208-2. References

- 2.1. Utah Code §53B-2-102, Board to Appoint President of Each Institution
- 2.2. Utah Code §53B-2-103, Board of Trustees – Powers and Duties
- 2.3. Utah Code §63G-2-20, Right to Inspect Records and Receive Copies of Records
- 2.4. Utah Code §63G-2-302, Private Records
- 2.5. Policy and Procedures R220, Delegation of Responsibilities to the President and Board of Trustees
- 2.6. Policy and Procedures R209, Evaluation of Presidents

R208-3. Definitions

~~3.1. Board of Regents: As used in this policy, “Board of Regents” means the Utah State Board of Regents.~~

~~3.2. Board of Trustees: As used in this policy, “Board of Trustees” means the Board of Trustees for an institution of higher education.~~

~~3.3. Commissioner: As used in this policy, “Commissioner” means the Utah Commissioner of Higher Education.~~

3.31. Confidential: As used in this policy, “confidential” means the document is a “private record” under Utah Code §63G-2-302. As a private record, any such documents are exempt from public records requests and shall not be disclosed except pursuant to Utah Code §63G-2-201(5).

~~3.4. Institution: As used in this policy, “institution” refers to institutions within the Utah System of Higher Education listed in Utah Code §53B-2-101.~~

~~3.5. President: As used in this policy, “president” means the chief executive officer of the applicable institution within the Utah System of Higher Education appointed by the Board of Regents under Utah Code §53B-2-102.~~

3.62. Resource and Review Team: As used in this policy, “Resource and Review Team” refers to a team of two Regents and the Chair and Vice-Chair of the institution’s Board of Trustees. This four-person team acts as the Resource and Review Team for its respective institution. ~~This team is created pursuant to~~

¹ Adopted September 11, 1987, amended November 17, 1989, April 26, 1991, April 17, 1992, November 3, 1995 and April 22, 2005, and December 14, 2007. Revisions approved by the Board of Regents on May 29, 2009, April 1, 2010 March 29, 2013 and March 28, 2014.

~~section 4.1 of this policy. The duties and powers of the Resource and Review Team are limited to those enumerated in this policy.~~

R208-4. Policy

4.1. **Fall Meeting:** ~~Each fall (D~~uring the months of September through November~~)~~ each president shall meet with his or her Resource and Review Team.

4.1.1. **Objectives:** The objective of the fall meeting is to (1) ~~inquire as to~~identify the ways the Board of Regents and the Board of Trustees can better assist the president, (2) update the ~~r~~Resource and ~~r~~Review ~~t~~Team regarding ~~progress on the institution's strategic goals and to discuss~~ ongoing ~~and-or potential current~~ issues important to the president and the institution, ~~and~~ (3) ~~build a positive relationship between the president, the Board of Regents, and the Board of Trustees.~~

4.1.2. **Agenda:** The president is to set the agenda and conduct the meeting. ~~The duration and content of the meeting is at the discretion of the president.~~

4.1.3. **Report:** There shall be no written or formal report of the fall meeting.

4.2. **Spring Review:** ~~Each spring (during~~During the months of ~~February-March~~ through ~~April~~May~~)~~ each president shall meet with his or her~~the~~ ~~r~~Resource and ~~r~~Review ~~t~~Team ~~to shall~~ conduct a limited presidential performance review~~evaluate the president's performance.~~

4.2.1. **Objectives:** In addition to the objectives of 4.1.1., the objective of the ~~S~~pring review is to ~~provide limited performance~~ review of the president's performance, ~~and to identify areas of success and areas that need improvement.~~

4.2.2. **Agenda:** The ~~c~~Chair of the ~~r~~Resource and ~~r~~Review ~~t~~Team shall set the agenda in consultation with the president ~~and pursuant to parts 5.2 and 5.3 of this policy.~~

4.2.3 **Report:** The ~~r~~Resource and ~~r~~Review ~~t~~Team shall produce a written and confidential report pursuant to part 5.4 of this policy.

4.2.4. **Criteria for Evaluation:** The ~~r~~Resource and ~~r~~Review ~~t~~Team shall ~~focus on building a positive, productive relationship between the president, the Board of Regents, and the Board of Trustees by reviewing the following matters~~ assess the president's performance in the following areas:

4.2.4.1 **Institutional- Vision and Strategic Goals and Presidential Priorities:** The ~~r~~Resource and ~~r~~Review ~~t~~Team ~~shall work with the president to identify and implement institutional and personal priorities~~ shall review institutional mission and the president's vision for the institution and the strategic goals associated with that vision. The team will discuss with the president his or her progress toward accomplishing the goals. The team should interview the president's executive team regarding the strategic goals, whether the president effectively communicates his or her priorities, and the president's overall performance. Such priorities may include the following: (1) the charge given to the president by the Board of Regents at the time of appointment, (2) any remaining identified priorities from previous Resource and Review Team meetings, and (3) any other priorities identified by the Board of Regents or Board of Trustees.

4.2.4.1-2. Presidential Effectiveness: The rResource and rReview tTeam, in collaboration with the president, shall identify issues, challenges, and problems which impede the accomplishment of identified priorities and goals. Such problems may relate directly to the institution, the president's cabinetexecutive team, the president's performance, or the president's relationship with the Board of Trustees, the -or-Board of Regents and other stakeholders. The team will work with the president to identify his or her strategies for addressing the challenges or problems, record those strategies in the evaluation report, and follow up with the president during the Fall meeting regarding his or her progress at resolving the challenges or issues.

~~The Resource and Review Team shall focus on both the president's accomplishments and areas in which advice, counsel, and support may be necessary to help the president be more effective.~~

~~4.2.5.—Performance-related Incentives: Spring Review reports may be used as a basis for adjusting the president's compensation.~~

4.3. Liaisons: The rResource and rReview tTeam shall function as liaisons between the institution and the Board of Regents. As time and circumstances permit, the rResource and rReview tTeam shall do the following: (1) visit campus, (2) attend trustee meetings, (3) attend campus events—especially commencement ceremonies, (4) identify specific ways that the Board of Regents can build a positive and productive relationship with the Board of Trustees and president, and (5) coordinate and facilitate communication between the Board of Regents, Board of Trustees, and the president. The team chair shall note such activities and suggestions in the written report to the Board of Regents.

4.4. Integration with R209 Evaluation: Pursuant to Regents' Policy R209, presidents are to be comprehensively and formally evaluated following the first -year of employment, and every fourth year thereafter ~~(i.e., formal evaluation will occur during years 2, 6, and 10 of the president's tenure)~~. During the year of R209 comprehensive evaluation, the rResource and rReview tTeam shall not conduct a more limited spring review, i.e. not meet with members of the President's cabinet, for the purposes of compensation adjustments per R205 (Presidential Appointment, Term of Office, and Compensation and Benefits) and participate in the fall meeting. As specified in R209, the Resource and review team participates directly in the R209 evaluation performance review, but will still meet with the president to receive an update on the president's current challenges, successes, and upcoming events or issues.

R208-5. Procedures

5.1. Appointment of Resource and Review Teams: Each rResource and rReview tTeam shall consist of the Chair and Vice-Chair of the institution's Board of Trustees and two Regents. The Regents' Chair shall (1) appoint the two Regents to serve on the Resource and Review Team, (2) notify the chair and vice-chair of the institutional Board of Trustees as to their responsibility to serve on the institution's rResource and rReview tTeam, and (3) designate the cChair of the rResource and rReview team.

5.2. Campus Meetings with President: ~~The fall meeting under 208-4.1 and the spring review under R208-4.2 should preferably occur on campus.~~

~~5.3.—~~ **Interaction with Board of Trustees and Consultation with Regents' Committees:** In preparation for the spring review, the rResource and rReview tTeam should consult with the Chair and Vice-Chairs of the Regents, ~~committees~~ the Chair and Vice-Chair of the Trustees and the

Commissioner to identify any concerns or issues with either the president's performance or institutional direction that needs to be addressed. The Commissioner's Office will assist and support the team by providing data, guidance or other information necessary for the evaluation.

5.43. Written Reports: After completing the annual performance evaluation, the team chair shall prepare a written, confidential report of the findings and counsel of the spring review shall be prepared by the Chair of the Resource and Review team. The Commissioner's Office may provide a standard report format. The report shall be marked confidential.

5.43.1 Who Receives the Report: Copies of the report are to be forwarded to the president, the chair of the Board of Trustees, the Commissioner, and the Chair and Vice Chair of the Board of Regents. The report shall not be disclosed to other individuals or entities without Regents' approval pursuant to Utah Code §63G-2-201.

5.43.2. Presidential Comments: The president shall have opportunity to comment in writing on the report. The presidential statement shall be included in the final report prior to submitting it to the Board of Regents.

5.43.3 Confidentiality of Spring Review Report: All spring review reports, including notes and drafts, all meetings conducted pertaining to the Resource and Review Team's work, and all recommendations and responses, are confidential private records protected from disclosure by Utah Code §63G-2-201, 302.

5.43.4. Retention of Presidential Records: Reports (along with presidential comments) shall be stored in the president's personnel file at the Board of Regents' office.

5.43.5. Regents' Review of Report: The report shall be reviewed in closed session by the Board of Regents—typically at the next regularly scheduled meeting. The Chair of the Board of Regents may direct a Resource and Revision Team to report to the Board of Regents on a more frequent basis.