

February 7, 2018

MEMORANDUM

TO: State Board of Regents
FROM: David L. Buhler
SUBJECT: Revision of Policy R209, *Evaluation of Presidents*

Issue

The Board conducts periodic comprehensive performance evaluations of all presidents. The Board engages a consultant to chair an evaluation committee and to conduct the comprehensive evaluation, which includes interviews with cabinet members, faculty, staff, students, alumni, and state and local government leaders. The proposed policy changes revise how the evaluation committee is established and appointed, and expands and refines the search criteria.

Background

Although the resource and review teams evaluate a president's performance annually in accordance with R208, a president's responsibilities and influence are so expansive and complex that periodically the Board must conduct a more comprehensive review, including expanded evaluation criteria and interviews with a wide range of individuals who either observe the president's performance or are directly impacted by the president's performance. Unlike a standard performance evaluation, the comprehensive review can take weeks to conduct, and the report will be much more in-depth in its detail and breadth. Additionally, the president is asked to conduct a self-evaluation, which is included in the final evaluation report.

The proposed changes to the policy revise how the evaluation committee is appointed. Specifically, the Chair of the Board of Regents in consultation with the Commissioner will select the consultant and the committee members. Additionally, the search committee is responsible to select the individuals who will be interviewed in the course of the evaluation, and the Board Chair will approve that list.

The revisions will also expand and refine the search criteria to align with best practices for presidential evaluations, with particular emphasis on strategic planning, strategic goals, measureable outcomes, communication, institutional fiscal health, fund raising, and other critical criteria.

These changes will improve the comprehensive review's effectiveness and usefulness in ensuring presidents are supported and successful early on, and with that foundation will see continued success throughout the rest of their tenure.

Commissioner's Recommendation

The Commissioner recommends the Regents approve changes to R209, *Evaluation of Presidents* effective immediately.

David L. Buhler
Commissioner of Higher Education

DLB/ /GTL
Attachment

R209-1. Purpose: The purpose of this policy is to establish procedures for the comprehensive performance and formal evaluation ~~of the performance of~~ each president in the Utah System of Higher Education ~~in order to ensure high quality education at each institution. These procedures are designed to assess the quality of the president's administrative performance within the context of the institution's mission, vision, strategic goals, and in fulfillment of his or her presidential charge.~~ The comprehensive evaluation process ~~is intended to~~ will reflect the full scope of the president's duties, general institutional oversight, administrative duties expected of the president, and ~~to~~ provide meaningful, substantive feedback from key constituents, ~~e.g., colleagues, members of the institutional Board of Trustees, Regents, and leaders in the community,~~ regarding the president's efforts and areas of strength as well as the areas that need improvement.

R209-2. References

- 2.1. Utah Code [§53B-2-102](#) (Board to Appoint President of Each Institution)
- 2.2. Policy and Procedures [R120](#), Bylaws; 3.3.3., Institutional Governance and Administration
- 2.3. Policy and Procedures [R208](#), Resource and Review Teams

R209-3. Definitions

3.1. Commissioner: ~~The~~ Commissioner of Higher Education. For purposes of this policy, the Commissioner is subject to the same evaluation requirements and criteria where applicable.

~~**3.2. Institution:** for evaluations of presidents this refers to the college or university for which the president is the chief executive officer. For evaluation of the Commissioner this refers to the Office of the Commissioner and Board of Regents.~~

~~**3.3. President:** the chief executive officer of each college or university within the Utah System of Higher Education.~~

3.2. 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).

R209-4. Policy

4.1. Comprehensive Evaluation: The performance of each president will be comprehensively evaluated following the first year ~~of his or her tenure (during year 2)~~ and every four years thereafter ~~(during years 6 and 10)~~. The comprehensive evaluations ~~under this policy~~ shall occur in the spring in lieu of the spring review under R208. The Regents or the president may request a comprehensive evaluation at a shorter interval.

¹ Adopted April 26, 1977; amended July 27, 1977; May 17, 1983; September 11, 1987; July 21, 1989; November 4, 1994; November 3, 1995, April 22, 2005, April 3, 2009, April 1, 2010, March 29, 2013 and March 28, 2014.

~~4.2. — **Resource and Review Team Assessment:** The performance of each president will be assessed annually by a Resource and Review Team, as provided in Regents' Policy R208. During the year of comprehensive evaluation, the Resource and Review Team shall 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. The Resource and Review Team may meet with the president throughout the year by mutual agreement with the president. The information and reports gathered by the Resource and Review Team will be made available to the Evaluation Committee.~~

4.32. Guidelines for Evaluation: The comprehensive evaluation ~~required by this policy~~ shall adhere to the following guidelines in order to make the evaluation process fair, meaningful, and effective:

4.32.1. Objectivity: Objectivity extends to the criteria to be assessed, [the use of verifiable data wherever possible](#), the process for the completion of the evaluation, and the selection of persons who will participate in the evaluation.

4.32.2. Clearly-defined criteria that relate to the institution's missions and goals: The criteria for evaluation must encompass an appropriate scope. The criteria shall include outcome standards that relate the actions of the individual to the mission and goals of the institution as well as process criteria that describe the critical behaviors of effective leaders.

4.32.3. Meaningful evaluation: Appraisal of an individual's job performance should be made only by those in a position to observe that performance [or is directly impacted by the president's performance](#). Opinions concerning the president's performance will be limited to those faculty, students, staff, and others in positions that afford them ~~enough~~ [sufficient](#) interaction with the president to make meaningful judgments.

4.32.4. Well-planned schedule of implementation: [The evaluation committee shall establish a reasonable](#) timetable for evaluation ~~will be utilized in order~~ to provide an adequate period for [collecting data](#) ~~collection~~, [interviews](#), review, and feedback.

~~4.3.5. — **Clear policy for reporting and use:** An Evaluation Committee will carry out the evaluation, and the results of each evaluation are to be shared with the president. The results of the evaluation shall remain confidential. Documentation that the evaluation has taken place will be maintained for accreditation records.~~

~~4.32.65. **Opportunity for response and self-assessment:** By engaging in the planning for the performance evaluation, i.e., the setting of performance goals, the presentation of evidence related to the attainment of those goals, and discussion of the performance plan with the Evaluation Committee, Each president will have the opportunity to complete a self-assessment and provide a response to the evaluation.~~

~~4.3.7. — **Review of the evaluation process:** The evaluation process outlined herein must be periodically reviewed and revised as necessary.~~

R209-5. Procedures

5.1. Evaluation Committee

5.1.1. Composition of Evaluation Committee: The evaluation will be conducted by an Evaluation Committee of no fewer than three (3) members, including an [e](#)Evaluation [c](#)onsultant.

~~The president shall submit a list of potential committee members to the Commissioner for consideration.~~ The Chair of the Board of Regents shall appoint the eEvaluation cCommittee members upon the recommendation of the Commissioner ~~and the Vice Chair of the Board of Regents.~~

5.1.2. Evaluation Consultant/Chair of Evaluation Committee: The evaluation consultant shall chair the eEvaluation cCommittee ~~shall be chaired by an Evaluation Consultant~~ who has extensive experience in higher education, and ~~who has knowledge of the type of institution involved~~experience evaluating executive performance. ~~The president shall submit a list of potential consultants to the Commissioner for consideration.~~ The Commissioner of Higher Education shall select and retain the services of a qualified evaluation consultant or consultants as needed, ~~in consultation with the Vice Chair of the Board of Regents, will then recommend the appointment of a Consultant to the Chair of the Board of Regents, who shall make the appointment.~~

5.1.3. Appointment of Evaluation Committee: The Chair of the Board of Regents, in consultation with the president and the Commissioner, shall appoint the Evaluation evaluation Consultant consultant and the other members of the Evaluation evaluation Committee committee ~~shall be appointed by the Chair of the Board of Regents, after consultation with the president, the Commissioner, and the Board of Regents Vice Chair.~~

5.2. Evaluation Planning

5.2.1. Planning Meeting: In advance of the evaluation, the eEvaluation cCommittee cChair, (Evaluation Consultant), the Commissioner, and the president may discuss the details of the evaluation and any issues that pertain to the evaluation process.

5.2.2. Selection of Interviewees: The ~~president~~evaluation committee shall submit a list of potential interviewees for approval by the Commissioner (for evaluation of presidents) or the Chair of the Board of Regents (for evaluation of the Commissioner) for consideration by the Evaluation Committee. This list shall normally consist of individuals both internal and external to the institution who are knowledgeable about the institution, and who have had ~~enough~~sufficient interaction with ~~the President~~ or are directly impacted by the president's performance as to make meaningful judgments.

5.2.3. Preparation for Interviews: Prior to conducting confidential interviews, the Evaluation evaluation Committee committee shall meet with the president and his or her rResource and rReview rTeam for the purpose of reviewing strategic plans, goals, objectives, ~~resource allocation~~relevant policies, major challenges, ~~and~~ successes and shall review the resource and review team's prior evaluation reports. The Commissioner's staff will assist and support the committee by providing data, guidance or other information necessary to a comprehensive evaluation.

5.2.4. Self-Report: The president shall prepare a confidential self-evaluation based upon the criteria of evaluation outlined in Section 5.4. of this policy as well as the presidential charge received from the Chair of the Board of Regents at the beginning of his/her presidency. The self-report shall be submitted to the ~~Commissioner or Evaluation Consultant and provided~~ to the eEvaluation cCommittee.

5.3. Evaluation Process

5.3.1. Confidential Interviews~~Confidentiality~~: Participants in the evaluation process shall maintain ~~Confidentiality shall be observed throughout the interview process.~~ The ~~e~~Evaluation ~~c~~Committee will assure those being interviewed that their responses will remain confidential and that only a composite of responses will be made available to the Regents and the president.

5.3.2. Required Interviews: ~~In addition to the interviewees identified by the president during the planning of the evaluation, T~~ the ~~e~~Evaluation ~~c~~Committee ~~will~~ should interview ~~a representative sample of a broad range of~~ vice presidents, deans, academic and administrative department heads, faculty, students, ~~and~~ community leaders, y ~~and~~ alumni, leaders and local and state government leaders. The ~~Evaluation-evaluation Committee-committee~~ shall also take into consideration input provided by the Faculty Senate, Board of Trustees, and Board of Regents. The ~~Evaluation Consultantcommittee~~ may ~~also~~ solicit written comments about the president's performance from various internal and external constituencies. ~~Any written comments provided must be signed and will remain confidential. The Consultant shall not utilize a questionnaire or survey as part of the evaluation procedure.~~

5.3.3.—Format of Interviews: The Evaluation Committee will normally spend at least two days at the institution conducting interviews. ~~Appropriate accommodations will be made for conducting interviews at the campus location(s).~~

5.3.4. Exit Meeting: Prior to the end of the campus evaluation visit, the ~~Evaluation-evaluation Committee-committee~~ Chair (~~Evaluation Consultant~~) will meet with the president to review the preliminary results and to follow up on any questions that may remain.

5.4. Subject of Interviews~~Evaluation Criteria~~: The ~~Evaluation-evaluation Committee-committee~~ shall ~~use the following criteria to evaluate the president's performance~~ will function as a fact finder, and should review and carry out its duties consistent with this statement. In conducting the interviews, the Evaluation Committee members should ask those being interviewed to express their best judgment as to the performance of the chief executive officer in the following areas. All of the items below may not be appropriate as items of inquiry for all individuals being interviewed. In such cases the items should be omitted from the interview process.

5.4.1. Vision, Mission, Strategic Planning and Goals

5.4.1.1. The president has established a clear vision for the institution in line with its statutory mission and understands his or her role in implementing that vision.

5.4.1.2. The president has established long-range and short-range strategic goals around the mission and vision. The president has established baseline measurements for the strategic goals and is tracking measurable outcomes to assess the institution's progress toward achieving those goals.

5.4.1.3. The president has established strategies, tactics, benchmarks and timelines to accomplish the strategic goals, and has effectively delegated responsibility for those goals.

5.4.1.4. The president has clearly and effectively communicated the strategic plan and its goals to the campus community and has kept the community informed about the institution's progress made toward those goals. The campus community understands the strategic plan for the institution and recognizes how it will help the president achieve his or her vision for the institution.

5.4.12. ~~Budgetary Matters and Fiscal Management~~ Institutional Fiscal Health

5.4.1.1. ~~The president demonstrates Evidence of sound oversight over the institution's fiscal health management, including the ability to address setting budgetary matters priorities encourage in a way that achieves more~~ efficient and effective use of resources.

5.4.1.2. ~~The president establishes priorities for Ability to allocate~~ fiscal resources in a manner that is conducive to achieving institutional goals and objectives.

5.4.1.3. ~~The president Ability to comprehend and~~ evaluates fiscal and budgetary matters as often and rigorously as is necessary to properly oversee his or her budget and finance officers' performance.

~~5.4.1.4. Ability to attract funds for the institution.~~

5.4.2. ~~Academic/Instructional Administration Leadership and Academic Planning~~

5.4.2.1. ~~The president's strategic planning, priorities and goals supports the critical role of scholarship, intellectual diversity and academic freedom Existence of well developed and widely understood institutional goals and objectives.~~

5.4.2.2. ~~In overseeing the institution's academic/instructional mission, Ability to link planning, resource allocation, and evaluation functions and a quality of judgment demonstrated in establishing ultimate priority in those areas the president has appropriately prioritized teaching quality and focused on students and curriculum.~~

5.4.2.3. ~~The president has directed his or her academic staff to Existence of a maintain an effective good~~ academic program review procedure designed to serve as a basis for allocating staff, evaluating staff allocation and budgetary support, the evaluation of the quality of instruction, and to assist in the implementation of implementing the the university's or college's institution's strategic institutional goals and objectives.

5.4.2.4. ~~Ability to initiate curricular change in response to student and societal interests and needs~~ The president has fostered collaboration with businesses, industries and government to identify workforce needs and adjusted program offerings to support workforce needs.

5.4.2.5. In addition to the criteria listed in this section, the resource and review team, in consultation with the president, will establish review criteria that is specific to the institution's specific mission and role, such as research, teaching, outreach, public engagement or career technical education.

~~5.4.2.5. Awareness of educational ideas, trends, and innovations.~~

5.4.3. Personnel

5.4.3.1. ~~Evidence~~ The president's leadership fosters a positive work environment for faculty and staff of ability to relate to faculty and staff within the particular governance structure of the institution.

~~5.4.3.2. The president holds his executive team members and direct reports accountable for their performance and takes corrective action when necessary to further enhance the institution's effectiveness.~~
Effectiveness in forming, developing, and supervising an administrative network for making and implementing policies.

~~5.4.3.3. The president Evidence of the chief executive officer's commitment to make personnel changes when those changes are necessary to further enhance the effectiveness of the institution.~~
seeks the counsel of his or her executive team and ensures they are focused on the institution's strategic priorities.

~~5.4.3.4. Ability to~~The president effectively determines those issues which are the proper responsibility of subordinates~~his or her executive team and those which require the action of the chief executive officer.~~
officer, and appropriately delegates responsibility.

~~Evidence of ability to select strong subordinates.~~

~~5.4.3.5. Ability of the chief executive officer to have trust and confidence of subordinates.~~

~~5.4.3.6. Evidence of ability to seek and use counsel of immediate subordinates.~~

~~5.4.3.7. Ability to determine those issues which are the proper responsibility of subordinates and those which require the action of the chief executive officer.~~

~~5.4.3.8. Evidence of ability to delegate responsibility to subordinate managers and to support them in carrying out their responsibilities.~~

~~5.4.3.9. Evidence of an ongoing procedure for evaluation of other members of the institutional management team.~~

5.4.4. Decision Making and Problem Solving

~~5.4.4.1. The president demonstrates a willingness~~Ability to assume responsibility for decisions~~for his or her decisions.~~

~~5.4.4.2. Sensitivity to individuals affected by decisions~~and endeavors to fully understand issues prior to making a decision.

~~5.4.4.3. The president shows an~~Ability to deal with reaction to unpopular decisions.

~~5.4.4.4. Ability to identify and analyze problems and issues confronting the institution.~~

~~5.4.4.5. a~~Ability to identify potential areas of conflict and proactively find solutions before the problem escalates.

~~5.4.4.6. The president demonstrates an understanding of~~Ability to comprehend how~~the inter-related nature of such factors as~~budgeting, curriculum, social and political realities, group interests and pressures, laws, and rules and regulations~~having implications for~~impact~~the management of the institution.~~

~~5.4.4.7. The president Ability to initiates~~ new ideas and ~~embraces~~ change when necessary to meet the institution's strategic goals and vision. The president seeks to obtain support from stakeholders and sees new ideas to completion.

~~5.4.4.8. Ability to make decisions in critical situations and to handle crises.~~

~~5.4.4.9. Ability to communicate ideas, information, and resources for decisions.~~

~~5.4.4.10. Awareness of implications of decisions.~~

~~5.4.4.11. Ability to re-evaluate and if necessary retract decisions.~~

~~5.4.4.12. Where appropriate, ability to involve institutional groups and individuals in support of decisions and in their implementation.~~

~~5.4.4.13. Ability to surmount personal criticism.~~

5.4.5. External Relations and Fundraising

5.4.5.1. The president establishes positive relationships ~~Ability to relate to and communicate~~ with the community in which the institution is located.

5.4.5.2. The president oversees and encourages ~~Evidence of an active~~ a robust alumni program.

5.4.5.3. The president oversees a fundraising/development program that has clear goals and strategies. The president actively cultivates relationships with donors, effectively promotes the institution's vision, and shows successful fundraising efforts. ~~Ability to meet the social obligations of a chief executive officer.~~

5.4.5.4. The president collaborates with ~~Ability to work with other chief executive officers~~ the other presidents in the ~~System~~ system.

5.4.5.5. The president successfully navigates ~~Ability to understand the role of politics and governmental offices in higher education.~~

~~5.4.5.6. relationships with~~ ~~Ability to relate to~~ legislators, the Governor's office, other state and federal agencies, and with other public officials on matters affecting the institution. The president shows strong understanding of the political environment's impact on the institution and is able to properly adjust strategies in the face of those realities.

~~5.4.5.7. Ability to represent the institution to its various public's.~~

5.4.6. Relationship to the Institutional Board of Trustees and to the Board of Regents

5.4.6.1. The president ~~Ability to provides~~ professional leadership for the ~~institutional~~ Board of Trustees or, in the case of the Commissioner, for the Board of Regents and to ~~supply present it with professional candid~~ judgments on matters affecting the institution.

5.4.6.2. The president has presented a strategic plan and vision for the Trustees to review and approve. The president regularly updates the Trustees and Regents about the

~~institution's progress towards its strategic goals and seeks counsel or assistance when issues arise that may prevent the institution from reaching a goal~~
~~Effectiveness in keeping the institutional Board of Trustees and the Board of Regents informed of all relevant issues affecting or having bearing on managerial policies of the institution.~~

~~5.4.6.3. When serious challenges for the institution arise, Effectiveness in keeping the institutional Board of Trustees and the Board of Regents abreast of local, state, and regional affairs affecting the institution.~~

~~5.4.6.4. Ability the president engages the to identify for the Trustees and the Regents appropriately problems confronting the institution and to assess alternative solutions and to and recommends appropriate the best course of action.~~

~~5.4.6.5. The president successfully oversees the day-to-day operations and is Ability able to carry out duties which have been or may be delegated or assigned to the chief executive officer by the Board of Regents or by the institutional Board of Trustees.~~

~~5.4.6.6. Ability to review and analyze budgetary problems and to make effective presentations on the same to the institutional Board of Trustees and the Board of Regents.~~

5.4.7. Student **Affairs** Engagement

~~5.4.7.1. The president establishes expectations and goals for his student services staff that encourages student success and well-being, including issues of retention, graduation rates, affordability, safety and mental health, and Evidence of formal and informal mechanisms for involving students in decision making.~~

~~5.4.7.2. Evidence of effective recruitment, admission, counseling, and placement programs career and academic counseling.~~

~~5.4.7.2. The president prioritizes and fosters a vibrant, challenging and positive learning environment for the institution's students.~~

~~5.4.7.3. Ability to relate to students as individuals and in groups.~~

~~5.4.7.4. Evidence of sensitivity on the part of the chief executive officer to individual differences and tolerance of and respect for such differences.~~

5.5. Evaluation Report

5.5.1. Report to be Factual Content: The ~~e~~Evaluation ~~c~~Committee ~~c~~Chair shall compile ~~factual~~ information gathered during the course of the evaluation in a ~~confidential~~, written report, documenting the president's strengths and areas for future focus and improvement.

5.5.2. Opportunity for Response: The ~~c~~Chair will submit the final ~~, confidential~~ report to the ~~Commissioner for transmittal~~ to the president, ~~and the president shall be given for an the~~ opportunity to prepare a written response to the report.

5.5.3. Review by Regents' Officers: ~~the~~ The chair shall send the final report ~~Evaluation Report and , together with~~ the president's response and self-evaluation to the Commissioner ~~Report and the president's self-evaluation, will be sent to~~ the Chair and Vice Chair of the Board of Regents, ~~and to the president's Resource and Review Team.~~

5.5.4. Review by Board of Regents: As soon as practical ~~after the submission of the evaluation reports,~~ the president will meet with the Commissioner, the Chair and Vice ~~Chair~~ of the Board of Regents and the Chair and Vice-Chair of the Board of Trustees to review the findings and recommendations ~~of the Evaluation Report.~~

5.5.5. Recommendations to Board of Regents: At the conclusion of the evaluation process, the Chair of the Board of Regents may recommend ~~commendations or other~~ actions to the Board of Regents.

5.5.6. Retention of Report in Personnel File: A copy of the e ~~E~~ valuation ~~r~~ Report, together with a copy of the president's self-evaluation and response to the r ~~R~~ Report, will be retained as a confidential record in the president's personnel file.

5.5.7. Confidentiality of Report: The ~~Evaluation~~ evaluation Report ~~report, including all documents pertaining thereto,~~ including all notes, drafts, records of meetings conducted during the course of the evaluation, and all recommendations and responses, are confidential personnel records protected from disclosure by Utah law.

5.6. Application of Evaluation Procedures to Commissioner

5.6.1. General Procedures to Be Followed: The evaluation of the Commissioner shall generally follow the procedures outlined in this policy for the evaluation of presidents, with adjustments to ensure the process is objective.

~~5.6.2. Variations to be Determined in Consultation with Commissioner: Variations in the specific procedures and timelines specified for the evaluation of presidents may be needed for the evaluation of the Commissioner, and shall be determined by the Chair and Vice Chair of the Board of Regents upon consultation with the Commissioner.~~

SCHEDULE FOR EVALUATION OF PRESIDENTS

Institution	Year of CEO Appointment	First Evaluation	Second Evaluation	Third Evaluation
Dixie State University	2010	2011	2015	2019
Salt Lake Community College (interim)	2014			
Snow College (interim)	2014			
Southern Utah University	2014	2016	2020	2024
University of Utah	2012	2014	2018	2022
Utah State University	2005	2007	2011	2015
Utah Valley University	2009	2010	2014	2018
Weber State University	2013	2015	2019	2023
Commissioner of Higher Education	2012	2014	2018	2022

~~The evaluations under this policy shall occur in the spring in lieu of the spring review under R208. Evaluations begin in year 2 and occur every four years thereafter (during years 6, 10, etc).~~