

STANDARD ADMINISTRATIVE PROCEDURE

12.99.99.M0.02 Faculty Participation in the Selection, Evaluation, and Retention of Deans

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SAP Statement

System Policy 1.03 authorizes that the President shall appoint and reappoint deans and interim deans with approval of the Chancellor (sections 2.6 and 2.8), except for vice chancellor and deans and interim vice chancellor and deans who shall be appointed by the board based on recommendations by the chancellor (sections 2.3 and 2.7).

Shared governance cannot exist in the absence of mutual trust. Broad faculty participation in the process of selecting a dean will enhance the institution's reputation, aid in recruiting the best faculty, promote a positive relationship between the faculty and the university administration, and ensure that all levels of the university function effectively. While the appointment and retention decisions for deans is ultimately vested in the President, Provost and Executive Vice President, and System officials and should consider the entire spectrum of viewpoints from multiple stakeholders, the principle of shared governance in the academy requires that the faculty of the college play an important role in the selection, review and retention of its dean.

For the purposes of this document:

- “faculty” shall mean those persons eligible to vote for members of the Faculty Senate;
- “applicants” shall mean those individuals who submit an application to the search committee;
- “candidates” shall mean only those applicants recommended by the search committee for faculty consideration;
- “recommended candidates” shall mean those candidates forwarded to the Provost and Executive Vice President for consideration;
- “finalist(s)” shall be the individual(s) recommended by the Provost and Executive Vice President for appointment by the President with approval by the Chancellor.

Violations of the principles or the spirit of these procedures and any other improprieties in the selection, evaluation, and retention of Deans shall be reported to the Executive Committee of the Faculty Senate.

Procedure and Responsibilities

1. SELECTION

- 1.1 When a vacancy occurs or is imminent, a search committee shall be appointed by the Provost and Executive Vice President and the search for a new permanent dean shall begin promptly. If necessary, the Provost and Executive Vice President may recommend that the President, with the approval of the chancellor, appoint an interim dean for a period not to exceed one year. The Executive Vice President and Provost shall consult with the faculty of the college after one year if the interim appointment will extend into a second year, and shall receive formal faculty input before extending an interim appointment beyond two years.
- 1.2 The size and precise makeup of the search committee will vary according to circumstances, but a majority of the members shall be faculty members of the college who currently do not hold administrative positions above the department head level. A majority of the faculty members from the college must be elected by the faculty of that college. The balance of the committee should broadly represent the college's constituencies.
- 1.3 The search committee shall take into account the rights of the individual candidates and the Texas Public Information Act, Chapter 552, Texas Government Code. The curricula vitae and all other non-confidential material the search committee has pertaining to each candidate shall be made available for examination by the faculty.
- 1.4 Members of the college faculty shall be provided an opportunity to meet with the candidates and provide input after all candidates have been interviewed. Faculty input will be sought as described in Appendix A of this SAP. Faculty shall be given at least one week to provide confidential input to the search committee through the Dean of Faculties. Other constituents involved in the interview will also be asked for input. All written input that is maintained is subject to disclosure under the Texas Public Information Act.
- 1.5 The search committee shall use the faculty input on each candidate as an integral part of their information to form the list of recommended candidates. Input from other college constituents will also be sought. The search committee shall recommend at least two candidates to the Provost and Executive Vice President with descriptions of each recommended candidate's strengths and weaknesses. The selection of a Dean will be made from the list of recommended candidates.
- 1.6 The Provost and Executive Vice President should take into consideration the entire spectrum of viewpoints from many stakeholders. If the Provost and Executive Vice President finds a recommended candidate to be a suitable finalist, a recommendation for an appointment shall be made to the President. If the appointment is recommended by the President, the approval of the Chancellor will be sought.

- 1.7 The Provost and Executive Vice President shall provide feedback to the committee of the action taken based on its recommendation. If no finalist is chosen from the recommended candidates, the search process and above procedures shall be repeated, and by the Provost and Executive Vice President's choice, this will be done either with the same search committee or by forming a new search committee.
- 1.8 The President, with the approval of the Chancellor, shall make the initial appointment of a dean for up to five years, renewable under the provisions of this SAP. Appointment of deans who are also vice chancellors require a recommendation from the Provost and Executive Vice President, President, and Chancellor to the board who shall approve the appointment. Deans normally may serve two consecutive terms, but the Provost and Executive Vice President may recommend reappointment for a third term upon recommendation from the faculty.

2. EVALUATION AND RETENTION

An evaluation of the dean that includes faculty input should be conducted at or before the midpoint of the first term of appointment and prior to any decision to reappoint the dean, but can be initiated by the Provost and Executive Vice President at other times. This review does not replace the annual review which the Provost and Executive Vice President conducts concerning the dean's performance, but certainly will inform the annual evaluation.

The faculty evaluation of deans should serve to improve performance and enhance professional development. In addition, it should promote a sense of shared values between the faculty, department heads, deans, and the University administration.

- 2.1 The Provost and Executive Vice President, through the Dean of Faculties, shall initiate a preliminary review of new deans at or before the midpoint of the first term of appointment that includes faculty input. Thereafter formal reviews to solicit faculty input should occur at least every fifth year of the dean's term in office or at the time of reappointment, and a summary of the review shall be shared with the faculty.
- 2.2 All reappointment reviews shall include a comprehensive opportunity for college faculty members and other stakeholders to present their views to the Provost and Executive Vice President regarding the strengths and weaknesses of the Dean.
- 2.3 Faculty participation in reviews for the evaluation and retention of Deans will be carried out as described in Appendix A.
- 2.4 The President, with the approval of the Chancellor, shall make the reappointment of a dean for up to five years, renewable under the provisions of this SAP.

Contact Office

Office of the Dean of Faculties

APPENDIX A

Appendix for Standard Administrative Procedure on Faculty Participation in the Selection, Evaluation, and Retention of Deans (12.99.99.M0.02) and Department Heads (12.99.99.M0.03) *Faculty Participation Process in the SELECTION of Deans and Department Heads*

The selection process for Deans and Department Heads will include opportunities for faculty to engage with the candidates and provide feedback to the search committee. Below are mandatory questions to be asked when seeking input from faculty on candidate searches for Deans and Department Heads. The search committee may develop additional questions to be included on the survey as needed and desired to evaluate candidates for each position. Opportunities for faculty to engage with candidates should be carefully planned and announced well in advance.

Please note: This appendix addresses the participation of faculty, though feedback should be sought from a wide range of audiences, the voice of the faculty is particularly important in these processes.

Please indicate your level of engagement in the selection process:

1. I attended the seminar and/or was able to interact with this candidate in significant ways during the interview process.
No Interaction 1 2 3 Significant Interaction
2. I reviewed the application materials (curriculum vita, etc.) for this candidate.
No 1 2 3 Yes

Please provide feedback on the candidate below:

1. I believe this candidate would be an excellent and effective Dean/Department Head.
Strongly Disagree 1 2 3 4 5 Strongly Agree
2. In the space below, please describe the STRENGTHS of the candidate for this position.
3. In the space below, please describe the WEAKNESSES of the candidate for this position.

The set of questions to be asked by the search committee for feedback about all candidates shall be distributed to the faculty before the first interview. This will provide the faculty with an opportunity to take notes during the interview process. At the conclusion of all interviews, faculty will receive a survey to provide feedback on all candidates, considering the strengths and weaknesses of each candidate.

Surveys will be distributed, by the Office of the Dean of Faculties for Dean candidates and by the College Dean's office for Department Head candidates, to faculty via email using confidential links unique to each employee. No effort will be made to identify individuals participating in the process. Individual responses will remain anonymous. Unique identifiers will only be used to categorize data for disaggregation. At least one week will be given to complete the survey with reminders sent as appropriate.

Detailed results for each survey item will be provided to the search committee, disaggregated by category, as appropriate, for their consideration in making a final recommendation to the Provost/Dean.

The search committee shall consider the perspectives of the faculty in the college/department as an important role in the selection of the Dean/Department Head. Summary results will be disaggregated by category (by rank, type of appointment, etc.) as appropriate and where everyone remains anonymous and the search committee will provide a summary of the results back to faculty for those

candidates recommended to the Provost/Dean. The summary shall include numbers from each category who participated in providing feedback, summary numerical data (examples include mean and median) for the mandatory items, and an overview of strengths and weaknesses for each candidate. The search committee shall provide an opportunity for faculty to meet with members of the search committee to voice perspectives prior to making a recommendation to the Provost/Dean to ensure diverse perspectives are heard.

If the Dean/Department Head is required to hold tenure, the standard process for tenure and promotion review as per university, college and department guidelines shall be followed.

Typically, a minimum of two finalists shall be identified by the search committee and forwarded to the Provost/Dean with strengths and weaknesses described for each. The Provost/Dean shall meet with the search committee as a whole to discuss the strengths and weaknesses of each finalist before making a final determination for the position.

Faculty Participation Process in the EVALUATION and RETENTION of Deans and Department Heads

Faculty feedback will be provided to Deans and Department Heads at the conclusion of the first year, at midterm, and prior to the end of the term. For example, in a five (5) year appointment, these would happen at the end of the first year, at the midpoint (2.5 years), and prior to the conclusion of the five (5) year appointment.

Surveys will be distributed, by the Office of the Dean of Faculties for Dean and by the College Dean's office for Department Heads, to faculty via email using confidential links unique to each employee. No effort will be made to identify individuals participating in the process. Individual responses will remain confidential. Unique identifiers will only be used to categorize data for disaggregation. At least one week will be given to complete the survey with reminders sent as appropriate.

End of First Year Process

Reviews for Deans and Departments Heads will include opportunities for faculty to provide formative feedback. Raw data (comments) will be summarized by the supervisor (Provost/Dean or their designee) and shared with the Dean/Department Head for developmental improvement. The Provost/Dean/Department Head may develop additional questions to be included on the survey as needed and appropriate.

End of First Year Review Formative Feedback Questions (Mandatory Questions)

1. I believe my Dean/Department Head is an effective leader.
Strongly Disagree 1 2 3 4 5 Strongly Agree
2. I believe my Dean/Department Head is moving us in the right direction, advancing the mission of the college/department.
Strongly Disagree 1 2 3 4 5 Strongly Agree
3. I believe my Dean/Department Head is fostering a healthy climate in the college/department.
Strongly Disagree 1 2 3 4 5 Strongly Agree
4. In the space below, please describe the STRENGTHS you have observed.
5. In the space below, please describe the areas you believe are opportunities for IMPROVEMENT.

Please provide feedback related to the resources necessary for this position.

1. I believe my Dean/Department Head has the resources necessary for the position
Strongly Disagree 1 2 3 4 5 Strongly Agree
2. In the space below, please describe the resources that are necessary or lacking for the position.

Midterm and Reappointment Review Process

For mandatory review years (midterm and prior to reappointment), faculty will have the opportunity to provide summative feedback. Summary results will be disaggregated by category (rank, type of appointment, etc.) as appropriate and the Provost/Dean will provide a summary of the results back to faculty. The summary shall include numbers of faculty who participated in providing feedback, summary numerical data (examples include mean and median, fraction who agreed or strongly agreed, etc.) for the mandatory items and an overview of qualitative feedback. The Provost/Dean shall provide an opportunity for faculty to meet to voice perspectives prior to making a reappointment. If a reappointment is granted without support of the faculty, the Provost/Dean will provide an explanation for the reappointment. Feedback on Associate Deans/Associate Department Heads/Directors (if appropriate/applicable) will be included as part of the mandatory reviews, with names listed individually, for faculty to provide comments about the leadership team. The Provost/Dean/Department Head may develop additional questions to be included on the survey as needed and appropriate.

Midterm and Reappointment Feedback Questions (Mandatory Questions)

1. I believe my Dean/Department Head is an effective leader.
Strongly Disagree 1 2 3 4 5 Strongly Agree
2. I believe my Dean/Department Head is moving us in the right direction, advancing the mission of the college/department.
Strongly Disagree 1 2 3 4 5 Strongly Agree
3. I believe my Dean/Department Head is fostering a healthy climate in the college/department.
Strongly Disagree 1 2 3 4 5 Strongly Agree
4. Overall, I feel my Dean/Department Head should continue in the position.
Strongly Disagree 1 2 3 4 5 Strongly Agree
5. In the space below, please describe the STRENGTHS you have observed.
6. In the space below, please describe the WEAKNESSES you have observed.

Please provide feedback related to the resources necessary for this position.

1. I believe my Dean/Department Head has the resources necessary for the position
Strongly Disagree 1 2 3 4 5 Strongly Agree
2. In the space below, please describe the resources that are necessary or lacking for position.