

Exec Staff



State University of New York

## Memorandum to Presidents

Date: January 21, 1974

Vol. 74 No. 4

From: Office of the Chancellor

Subject: Evaluation of Presidential Performance

As you probably know, the Board of Trustees, at the December meeting, approved the Guidelines for the Review Process for the Chancellor and Presidents. This is essentially the same document reviewed by the Presidents at Cooperstown in October, with several editorial changes reflecting suggestions made by the Association of Boards and Councils and by the Faculty Senate. The Trustees also approved a policy statement on alternatives for Presidents wishing to return to faculty status. This statement, Guidelines for Presidents Resuming Full-Time Faculty Status, and the guidelines for the review process are attached for your information and use.

We've also appended the Timetable for the Presidential Review Process which outlines, in summary form, the dates for each step in the evaluation procedures. Such procedures become operative in January of the fourth year of the President's period of service. Thus, those Presidents--and the Chancellor, too--whose cycle of appointment comes in the summer of 1975 will begin the process this month, as indicated in the timetable. I'd appreciate it if you'd share these Guidelines with the chairman of your College Council, and when appropriate, with the faculty and student leaders who would serve on an ad hoc evaluation committee.


As we begin the first round of evaluations this year, there will undoubtedly be many questions to be answered in terms of protocol and procedure. I've asked Murray Block to coordinate the logistics of the evaluation procedures and, if you have any questions about the process or the timetable, Murray will be glad to discuss these with you. If, at any time, you have questions of a personal nature, please feel free, of course, to get in touch with me directly.

Memorandum to Presidents  
January 18, 1974

No. 74-4  
Page 2

I look forward to this new and unique approach as a means of strengthening the role of the Presidents in our University.

Thanks very much.

  
Ernest L. Boyer

Attachments

This memorandum addressed to:  
Presidents, State-operated Campuses

Information copies sent to:  
Presidents, Community Colleges  
Deans, Statutory Colleges  
President Miles  
Vice Provost Risley  
Dean MaGrath  
Chancellor Kibbee  
Professor Auster, Faculty Senate  
Professor Smith, Faculty Council of the Community  
Colleges  
Mr. Petraitis, Student Assembly

STATE UNIVERSITY OF NEW YORK

GUIDELINES FOR THE REVIEW PROCESS FOR THE  
CHANCELLOR AND PRESIDENTS

December 19, 1973

The Trustees of State University of New York have acted to strengthen the role of the President by the designation of appointment periods coupled with continuing status in academic rank and provision for study leaves. These offer each President a more flexible approach to his duties, while emphasizing his accountability in his leadership role.

Responsibility for the evaluation of the President's performance is clearly vested in the Trustees (Article IX, *Policies of the Board of Trustees*, 1973) and must be carried out by the Chancellor, as the Board's chief administrative officer. The Trustees intend that the following guidelines for a presidential review process will provide the Chancellor and Trustees with an effective mechanism for a comprehensive and fair evaluation; that they will involve constituent groups, as necessary; and, most importantly, that they will be of assistance to the President in defining and strengthening his leadership role. While proposing that these guidelines normally will be applied, the Trustees explicitly reserve the right to modify them in particular instances.

A. Principles

The presidential review process is entirely different and distinct from the initial search process for a President. In the latter, the various constituents of the campus join to search for, and recommend to the Trustees, the best possible candidate for the position. The search is extensive, and the screening process may be both lengthy and complex. The Chancellor, through his representative, offers guidance and assistance. However, the major work of the screening process remains a campus undertaking and is coordinated by the College Council.

The presidential review process differs from the preceding in that the broad search element is not a factor, for the President being evaluated is known to all concerned. He has already served under the direction of the Board of Trustees and the Chancellor as the chief administrative officer of the campus. Thus, the review is a Trustee function and process, and will be initiated and conducted by the Chancellor in behalf of the Trustees. Since the President also has interacted during the period of service with various constituent groups on campus, it is both appropriate and desirable that in conducting the review the Chancellor and Trustees consult at appropriate times and by means determined by the Trustees with representative spokesmen of the College Council, the faculty, the administrative staff, and the students.

In Article IX of the *Policies of the Board of Trustees*, 1973, the Trustees have defined the responsibilities of the chief administrative officer of the campus. Further, in their guidelines for the presidential search process, the Trustees have identified certain basic qualifications to be taken into account in that process. These are the criteria against which the President's effectiveness will be reviewed.

The principle of confidentiality will be observed throughout the review process. This will apply to written documents and to discussions among all those who participate.

With these principles to guide the review, the following process is established.

B. Procedural Steps

1. In January of the fourth year of the President's period of service, the Chancellor will request the President to indicate if he wishes to be considered for re-appointment.

2. If the President's response is affirmative, the Chancellor will ask the President to prepare, and submit by February 15, a statement of self-assessment of his service as chief administrative officer. At the same time, the Chancellor will designate a member of his staff to serve as liaison with the President and the campus

during the review. The Chairman of the Board of Trustees will appoint one or more members of the Board to work with the Chancellor in the review process. If the President's response is not affirmative, the Chancellor and the President will discuss alternatives, including assuming or resuming full-time faculty status.

3. Upon receipt of the President's self-assessment, the Chancellor will invite the chairman of the College Council, the elected chairman of the college faculty senate or assembly, the chairman of the college student body, and a representative of the administrative staff of the college, selected by the President, to constitute themselves as an *ad hoc* evaluation committee to prepare a written appraisal of the presidential performance. Each committee member will be acting as a representative of a particular constituency and each may submit a separate report from his or her constituency. If the *ad hoc* evaluation committee wishes, it may prefer to arrange separate written appraisals from all members. The President's self-assessment will be made available to the *ad hoc* evaluation committee for its review. The report(s) of the evaluation committee will similarly be made available to the President for his reaction.

4. The Chancellor also will request certain senior officers of his staff to provide written appraisals.

Summaries of such statements will be made available to the President for his reaction.

5. The Chancellor will then review the several appraisals, and will arrange to discuss them with the President.

6. The Chancellor will then recommend appropriate action to the Board of Trustees.

7. If reappointment is recommended, the Board of Trustees will invite the President to meet with the Board, following which the Board will act on a formal resolution approving a new period of reappointment.

C. The Role of the *ad hoc* Evaluation Committee

The *ad hoc* evaluation committee will perform a consultative role in the presidential review process. It will be assisted by the Chancellor's representative, named specifically by the Chancellor for this purpose. The Chancellor's representative will serve as convenor of the committee.

Since campuses vary in size and scope and even in complexity of constituent groups, the committee and the Chancellor's representative will propose a procedure to be followed at that campus to ensure appropriate input of constituent evaluative judgments in the review process, and include provision for chairing meetings of the committee. This procedure will be reviewed by the Chancellor

and must be accepted by him before being put into operation.

The procedure will not allow for the creation of a committee of constituents beyond the *ad hoc* committee, nor will it imply or accept as valid need for a voting mechanism. It should, however, ensure that the viewpoints of the various constituents, as coordinated by the committee, are brought to the Chancellor and through him to the Trustees. All parties to the process will observe the proprieties appropriate to a dignified and professional administrative procedure.

D. The Nature of the Evaluations

Through the *ad hoc* evaluation committee, the campus constituents should provide the Chancellor with evaluations that are substantive and illustrative. Based on the previously identified criteria (p. 3), the responses should cover, among other aspects, evaluations of the President's performance in respect to:

1. Academic leadership and management;
2. Administrative leadership and management;
3. The institutional tone set by the President;
4. Internal relationships;
5. External relationships; and
6. Sensitivity to the needs of campus.

In addition, the responses should address particular points which the President may have raised in his statement of self-assessment.

E. Time Frame for the Evaluations

Expiration dates of appointment periods will be brought to the nearest July 1. When an appointment is due to end on July 1 of a particular year, the review process will begin in January of the preceding year with the Chancellor's inquiry as to the President's desire about standing for reappointment. At least four working months should be devoted to the process of developing the President's self-evaluation, which will be submitted by February 15, and the constituency appraisals for submission to the Chancellor. The entire process normally will be expected to culminate in action of the June meeting of the Trustees, more than twelve months prior to the July 1 date.

F. Guidelines for the Review of the Chancellor

A parallel procedure will be followed by the Board of Trustees in reviewing and considering the Chancellor for reappointment. The review will be conducted by the Chairman of the Board, assisted by such other members of the Board as the Chairman may designate.

Following receipt of the Chancellor's statement of self-appraisal, the Chairman will invite a representative

of the Council of Presidents, the President of the Faculty Senate, the Chairman of the Student Assembly, and a representative of the central administrative staff, designated by the Chancellor, to constitute themselves as an *ad hoc* evaluation committee to prepare a written appraisal of the Chancellor's performance.

Other procedural steps, including the criteria for, and the timing of, the review will be developed by the Trustees in general conformity with those of the presidential review process.

STATE UNIVERSITY OF NEW YORK  
GUIDELINES FOR PRESIDENTS  
RESUMING FULL-TIME FACULTY STATUS

December 20, 1973

Group I -- Current Presidents Not Already  
Holding Academic Appointment

The following procedures will apply to all current Presidents not already holding an academic appointment. It is assumed that the Chancellor will confirm the continuing academic appointment in the appropriate field on or about June 1, 1974.

A. Initiation

If, at the end of a period of service, or at another appropriate time, the President desires to withdraw from the administrative role and take up his professorship, he will communicate his wish to the Chancellor. They will agree mutually on the process, timing, announcement, and other elements of transition.

B. Alternatives

1. Professorship at the Home Campus

If the President wishes to take up his professorship in a department of instruction (e.g., English) at the home campus, the details of his assignment will be worked out locally. It is contemplated, of course, that mutual good will and respect will obtain.

For the first year, the FTE and funds will be added to the campus budget by a transfer from the central administration budget. For subsequent years, these allocations will continue in the campus budget.

2. Professorship at Another Campus

If the President is interested in an appointment in a department at another campus, he will communicate this interest to the Chancellor. The Chancellor will consult with the President of that campus about the procedures which would lead to an invitation of appointment from that campus.

Given the academic qualifications of the President, it will normally be expected that an invitation of appointment will be tendered. However, there will be no imposition of an appointment on a reluctant department. Again, it is anticipated that the contemplated arrangements will be conducted in a spirit of mutual good will and respect.

For the first year, the FTE and funds will be added to the campus budget by a transfer from the central administration budget. For subsequent years, these allocations will continue in the campus budget.

3. Distinguished Service Professors

In some instances, it will be desirable to consider altering the appointment of the President to that

of Distinguished Service Professor in the appropriate academic discipline. A President so appointed will be available for teaching and research at his home campus or at another campus of the University. The home campus will serve as his base, and will provide an office and appropriate secretarial assistance. So long as the incumbent serves as Distinguished Service Professor, the FTE and funding will be carried in the central administration budget.

Group II -- Those Current Presidents Who  
Hold an Academic Appointment

The following procedures will apply to those current Presidents who hold an academic appointment at their own campuses and to all Presidents appointed from this time forward.

A. Initiation

If, at the end of a period of service, or at another appropriate time, the President desires to withdraw from the administrative role and take up his professorship, he will communicate his wish to the Chancellor. They will agree mutually on the process, timing, announcement, and other elements of the transition.

B. Procedure

At the appropriate time, the arrangements having been cleared in advance, the President will merely move

to his academic department. He will occupy a position, the FTE and funding for which will be covered by the budgetary allocations of the home campus.

In the event that the President is interested in an appointment in a department at another campus, or in a Distinguished Service Professorship, procedures paralleling those applicable to Group I will be followed.

#### Related Procedures

##### 1. Term of Appointment

The academic appointments will be parallel to other professorial appointments and presumably for the academic year unless special circumstances obtain (responsibility for the directorship of an institute, department chairmanship, or other administrative responsibility).

##### 2. Academic Duties

As in the case of Distinguished Professors, the activities and workload should be determined in large part by the professor himself in consultation with the appropriate department chairmen and the academic dean or vice president.

##### 3. Salary

The salary will be set by the Chancellor on recommendation of the Vice Chancellor for Personnel and Employee Relations. The Vice Chancellor will have consulted

with the major receiving campus, and the President to be appointed as a professor, on the basis of comparable salaries for professors parallel in age, experience, and field with due credit assigned for teaching and research related experience in administration.

In no case should the salary be below the median for full professors in this field at the institution with which the new appointee will be primarily associated.

STATE UNIVERSITY OF NEW YORK  
TIMETABLE FOR THE PRESIDENTIAL REVIEW PROCESS

December 28, 1973

The following timetable is to accompany the Guidelines for the Review Process for the Chancellor and Presidents, dated December 19, 1973 and the section references given in parentheses below are to be found in that set of guidelines. This timetable goes into effect in January of the fourth year of the President's period of service.

1. January (first week)

Chancellor requests the President to indicate if he wishes to be considered for reappointment (Sect. B1), page 3).

2. January (third week)

President responds in writing to the above request.

3. February 15

- a) If response to above is affirmative, the President submits a statement of self-assessment to the Chancellor (Sect. B2, page 3).
- b) If response is not affirmative, Chancellor and President discuss alternatives (Sect. B2, page 4).
- c) Chancellor designates staff liaison to ad hoc committee (Sect. B2, page 3).
- d) President selects a representative of the administrative staff of the college to serve on the ad hoc committee (Sect. B3, page 4).

4. March 1

- a) Chancellor writes to Chairman of College Council, elected chairman of college faculty senate or assembly, chairman of college student body, and the representative of the administration selected by the President to present the charge to the ad hoc committee (Sect. B3, page 4).

- b) Chancellor requests certain senior staff officers for written appraisals (Sect. B4, page 4).

5. March

- a) Chancellor's liaison convenes ad hoc committee early in the month (Sect. C, page 5).
- b) Before end of the month, the ad hoc committee recommends its procedures to the Chancellor (Sect. C, page 5).

6. April (first week)

Acceptance by the Chancellor of ad hoc committee's procedures (Sect. C, page 5).

7. May (last week)

Ad hoc committee completes review.

8. June 1

Ad hoc committee submits report(s) to Chancellor (Sect. B3, page 4).

9. June 1-15

Chancellor discusses appraisal with President (Sect. B5, page 5).

10. June (Board Meeting)

- a) Chancellor recommends action to the Board of Trustees (Sect. B6, page 5).
- b) If reappointment is recommended, Trustees invite President to its June meeting (Sect. B7, page 5).
- c) Trustees take action on Chancellor's recommendation (Sect. B7, page 5).