



OFFICE OF COMPLIANCE SERVICES  
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## POLICY

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**Title:** Review and Evaluation of Senior Administrators

### Policy Statement

Senior University administrators shall be subject to a performance review annually, a third-year review, and a periodic comprehensive review at intervals of no longer than five years.

### Reason for the Policy

This Policy requires supervisors to conduct several types of performance reviews. Annual performance reviews are designed to recognize accomplishment, identify areas for improvement, and determine salary adjustments. The review conducted in the third year of appointment is designed to assess progress on goals and provide areas to address prior to the fifth year review. Comprehensive reviews are intended to assist supervisors in assessing the effectiveness of senior administrators in meeting defined institutional needs, including strategic goals and administrative expectations. The comprehensive reviews are also intended to provide constructive observations and guidance for improvement, including professional growth and development.

### Applicability of the Policy

This Policy applies to senior administrators, defined for purposes of the Policy as the Provost and the Vice Presidents. The President may also designate other institutional officers to whom this policy applies, which will be determined at the time of the initial appointment to the position, at which time the officer will be so advised.

### Definitions

Senior University administrators: See "Applicability of the Policy"

### Procedures

In view of the diverse responsibilities of senior administrators and the nature of their units and areas of operation, the scope and content of the comprehensive review process for which this Policy provides will necessarily vary in relation to the administrator being reviewed.

The Appendix to this Policy is intended to provide general guidance to supervisors regarding the design and implementation of such reviews.

## Contacts

Questions concerning the daily operational interpretation of this policy should be directed to the following (in accordance with the policy elaboration and procedures):	
Title(s)/Department(s):	Contact Information:
Vice President for Executive Operations	(802) 656-8937

## Forms/Flowcharts/Diagrams

- None.

## Related Documents/Policies

- [Officers of Administration Salary, Benefits, and Related Personnel Matters](#)

## Regulatory References/Citations

- None.

## Training/Education

Training will be provided on an as-needed basis as determined by the Approval Authority or the Responsible Official.

## About this Policy

<b>Responsible Official:</b>	Generally a Vice President	<b>Approval Authority:</b>	President
<b>Policy Number:</b>	V. 1.4.2	<b>Effective Date:</b>	June 15, 2016
<b>Revision History:</b>	V. 1.4.1 Approved by the President June 23, 2006  Approved by the President June 15, 2016		

## Appendix

### GUIDELINES FOR THE DESIGN AND CONDUCT OF REVIEWS

As stated in the Policy Elaboration, in view of the diverse responsibilities of senior administrators, and the nature of their units and areas of operation, the scope and content of the comprehensive review process for which the Policy provides will necessarily vary in relation to the administrator being reviewed. This Appendix provides general guidance regarding the design and implementation of such reviews. In general, evaluation shall occur in a manner flexible enough to be responsive to the mission of the senior administrator's unit without undermining reasonable consistency of the process across units.

In addition to, and related to this Policy, is the Administrative Unit Review Process. The process of Administrative Unit Review is principally focused on evaluating the unit's performance at regular intervals. Its primary goal is constructive, leading to improvement in a unit's performance. The overall purpose of an Administrative Unit Review is to assess a unit's program quality, efficiency, and effectiveness; to stimulate program planning and improvement; and to encourage the unit's development in strategic directions that reflect the University's priorities. The Administrative Unit Review process is about ensuring that in every aspect of the University's operations we provide the highest quality services and support for the academic mission of the University consistent with the University's budget. Further, the purpose of AUR is to encourage improvements in the quality and efficiency of each unit of the University and to provide a collective basis of refined judgment by the members of each profession.

#### **Annual Performance Reviews**

1. Supervisors will conduct annual performance reviews of all senior administrators under their direct supervision. The reviews will be conducted reasonably in advance of the conclusion of a fiscal year in progress.
2. The primary objectives of the annual performance review are to recognize accomplishment, identify any areas for improvement, set goals for the upcoming year, and determine compensation. Supervisors should actively engage administrators in the formulation of unit and individual performance goals consistent with strategic goals and institutional mission.
3. Supervisors will conduct individual meetings with senior administrators regarding their performance reviews. The supervisor may request, and/or the administrator may submit, a summary self-assessment.
4. Performance reviews will be reduced to writing and maintained confidentially in appropriate personnel records. An administrator may respond in writing to a performance review, and a copy of the response will be maintained proximately to the evaluation.
5. In addition to review of performance over the year in progress, the supervisor, in consultation with the administrator, will set written goals for the upcoming fiscal year. If, following consultation with the administrator, the supervisor modifies these goals or assigned responsibilities during the year, the modification will be reduced to writing and a copy provided by the supervisor to the administrator.
6. Senior administrators are otherwise subject to personnel actions, including appointment, reappointment, non-reappointment, suspension, and termination, in accordance with applicable University Bylaws and policies.

#### **Third-Year Performance Review**

1. The Supervisor shall conduct a review of a Senior Administrator's performance during the spring semester of the third year of appointment. The primary objective of the evaluation is to facilitate continued improvement of the administrative leadership and management of the unit. Input will be sought from everyone who reports directly to the senior administrator under review and, separately, from the staff in the unit. The Vice President for Executive Operations will distribute and administer standardized evaluation forms in electronic format, so that confidentiality may be assured.
  - a. The standardized form shall have the following characteristics:
    - i. the form will use a combination of descriptive criteria upon which the senior administrator shall be ranked and opportunities for narrative comments to justify the ranks assigned;
    - ii. Participants may reveal their identity but are not required to do so; and

- iii. identities of the participants will not be revealed to the senior administrator under review.
- b. The supervisor shall prepare a written report on the senior administrator's performance, which shall include a summary of the direct reports' feedback as well as information collected through the standardized evaluation form. The supervisor shall share this written report with the senior administrator, who shall have the right to submit a written response.
- c. The Vice President for Executive Operations will maintain a record of the performance appraisals, the individual evaluation forms, and any responses from the Senior Administrator.
- d. Customarily, the process will be initiated no later than October 1 of the third year of appointment and will conclude no later than following April 1 of the fiscal year in which the review commences.

#### **Five-Year Comprehensive Performance Review**

1. Supervisors will initiate comprehensive reviews at no less than five-year intervals. The senior administrator will be advised in writing by his or her supervisor of the initiation of a review. The supervisor will identify to the administrator, prior to initiation of the review, the processes to be followed and the constituencies and individuals whom he or she intends to consult.
  - a. The primary objectives of the comprehensive review are to assist supervisors in assessing the senior administrator's effectiveness in meeting defined institutional needs, including strategic goals and administrative expectations, and providing constructive observations and guidance for improvement, including professional growth and development.
  - b. Areas of focus will typically include administrative leadership and management; effectiveness in achieving or facilitating achievement of institutional goals and priorities; responsiveness to the needs of colleagues and relevant constituencies; and the quality of external relationships pertinent to the position.
  - c. In the case of academic administrators (e.g. Provost and Senior Vice President and Vice President for Research), focus will include the administrator's contributions to shaping the intellectual life of the campus through decisions affecting faculty, the promotion of academic values and standards, and the adaptation of the campus to changing circumstances and needs.
  - d. The nature and extent of the review process will be responsive to the specific responsibilities of the senior administrator and the nature of his or her unit and areas of responsibility.
  - e. The process should solicit meaningful input from appropriate governance groups and constituencies, those to be determined in relation to the administrator's specific responsibilities, nature of the unit, and areas of operation.
  - f. The supervisor will invite the deans, vice presidents and the senior administrator's direct reports to provide a confidential written assessment of the senior administrator's performance based on the criteria above.
  - g. As part of the review process, the supervisor will be provided all documentation of completed administrative unit reviews for departments reporting to the senior administrator being reviewed and progress on achieving defined goals and objectives identified as part of the administrative unit review.
  - h. The Vice President for Executive Operations will distribute and administer standardized evaluation forms in electronic format, so that confidentiality may be assured. The evaluation will be sent to all staff in the administrative unit, Deans, Directors, and Department chairs. The standardized form shall have the following characteristics:
    - i. the form will use a combination of descriptive criteria upon which the senior administrator shall be ranked and opportunities for narrative comments to justify the ranks assigned;
    - ii. respondents may reveal their identity but are not required to do so; and
    - iii. identities of the participants will not be revealed to the senior administrator under review.
  - i. In the supervisor's reasonable discretion, the supervisor may also:
    - i. conduct interviews of external or internal persons whose experience with the administrator is substantial and directly relevant to the objectives of the review; and/or

- ii. appoint a review team to assist him/her. With the approval of the President, or in his or her own discretion in the case of the President, a supervisor may retain a qualified external consultant to assess aspects of the administrator's operations or performance. The supervisor may request, and/or the administrator may submit, a written self-evaluation.
- 2. All input solicited will be maintained confidentially and competently summarized in writing. The senior administrator will receive a written summary of survey results, accompanied by the supervisor's written overall assessment based on the results and his or her own evaluation of performance over the evaluation period. The meeting will address the results of the comprehensive review process and provide constructive observations and guidance for any identified areas for improvement, including professional growth and development.
- 3. The Vice President for Executive Operations will maintain a record of the comprehensive performance appraisals and the individual evaluation forms in appropriate personnel records. An administrator may respond in writing to a review, and a copy of the response will be maintained proximately to the evaluation.
- 4. Senior administrators are otherwise subject to personnel actions, including appointment, reappointment, non-reappointment, suspension, and termination, in accordance with applicable University Bylaws, manuals, handbooks, and policies.

Customarily, the process will be initiated no later than March 1 of the fifth year of appointment and will conclude no later than following May 1 of the fiscal year in which the review commences. The Supervisor shall distribute an accurate summary of the findings of the report to staff member of the administrative unit.

Effective Date

Accepted:

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Name of Responsible Official  
Title of Responsible Official

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Date

Approved:

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Suresh V. Garimella  
President

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Date