

Adopted 05/11/01

ASSESSMENT PROCESS FOR THE CHIEF EXECUTIVES AND GOVERNING BOARDS OF THE UNIVERSITY OF NORTH CAROLINA

Background

In 1996 the Board of Governors adopted an assessment process for chief executives and governing boards of the University. This revision of the assessment policy retains the philosophy that the assessment process should include the Board of Governors and the President as well as the institutional Boards of Trustees and the chancellors. This comprehensive assessment provides an opportunity for the Board of Governors to assess its own work as well as the performance of the President and for the institutional Boards of Trustees to comment to the President about their respective chancellor's performance as well as to review their own progress.

The objectives of these assessment processes are to build and sustain effective relationships within the University's constituents, to promote consensus building and develop group strength, and to develop strategic directions for achieving the mission of the University and the mission of each constituent institution. Regular and systematic assessments, if conducted properly, will enable the governing boards and the chief executives to fulfill more effectively their respective roles and responsibilities. This process affords the trustees an opportunity to provide information to the President regarding their respective chancellors. Also, this process provides a method for monitoring any potential problems that may require attention.

I. Board of Governors

The Board of Governors should perform a self-assessment every four years, at a time to be determined by the chairperson of the Board of Governors, after consultation with the President. The Board of Governors should review the most recent long range planning document for the University when they begin the assessment process and shall review the goals achieved, the goals unmet, and the goals that need modification. Assessment tools such as those developed for the University of North Carolina in collaboration with the Association of Governing Boards (AGB) *Self Study Criteria* can be especially helpful in facilitating the goals of the assessment process. The Board of Governors should also review their previous self-assessment summaries. The Chairperson may appoint a committee and may retain an outside consultant to guide the Board in its self-assessment process.

II. Boards of Trustees

The Board of Trustees of each constituent institution will conduct a self-assessment every four years at a time determined by the Chairperson of the Board of Trustees after consultation with the chancellor and the President. The Board of Trustees should review the most recent institutional long-range planning document and the most recent long-range plan for the University adopted by the Board of Governors. After reviewing the goals achieved, the goals unmet, and the goals that need modification, the Board of Trustees will conduct a self-assessment. A review of these plans should provide the framework for the assessment. Assessment tools such as those developed for the University of North Carolina in collaboration with the Association of Governing Boards (AGB) *Self Study Criteria for a Single Campus* can be especially helpful in facilitating the goals of the assessment process. The Board of Trustees should also review their previous self-assessment summaries and may find the use of a consultant

especially helpful. The chancellor and board chairperson shall submit a summary report to the President and the Board of Governors at the conclusion of the assessment. This report will provide a basis for improving the biennial trustee orientation, the trustee conference held in the fall of odd-numbered years and other programs of continuing education for trustees.

III. The President

The objective of the performance reviews of the President is to promote good communication and build strong working relationships between the President, the Board of Governors and the constituent organizations of The University. It is desirable for the Board of Governors to give informal feedback to the President on an ongoing basis. The more formal assessment of the President is designed to provide focused feedback and the opportunity for professional reflection and development. The performance reviews will be performed in accordance with criteria described below:

1. Every year the President will provide the Board of Governors with a report assessing goals and accomplishments and the Board will review the performance of the President. An assessment committee, consisting of the officers of the Board and the chairs of the Board's standing committees, will review the report with the President and may prepare a written response, which would be placed in the President's personnel file along with the President's report.
2. Every fourth year the annual review for that year will be replaced by a comprehensive assessment that will include the Board, campus chancellors and heads of other University constituent organizations, University officers and staff, faculty, students and other internal and external constituencies. An assessment committee of the Board of Governors in consultation with the President will retain an outside consultant to guide the process, to gather written feedback from the Board, to conduct confidential interviews and to assist the committee in the preparation of a report. The final report along with any response from the President and the President's report on goals and accomplishments would be placed in the President's personnel file.

IV. The Chancellors

The objective of the performance reviews of a chancellor is to promote good communication and build strong working relationships between the chancellor and the President, the Board of Trustees and the campus constituents. The assessment of chancellors is designed to provide each chancellor with feedback from each of these and to provide the chancellor with the opportunity for professional reflection and development. The performance reviews of the chancellors will be conducted in accordance with criteria and procedures determined by the President on the following schedule:

1. Every year the chancellor will provide the President with a report assessing goals and accomplishments, a copy of which may be provided to the Board of Trustees. The President will review the performance of the chancellor. The chancellor's report and any written response from the President will be placed in the chancellor's personnel file.

2. In the second spring after the appointment of the chancellor, and every four years thereafter, the Board of Trustees will review the performance of the chancellor. An assessment committee of the Board of Trustees will ask each trustee to fill out a questionnaire developed by the President's office. The results will be shared with the President and reviewed in a meeting of the chancellor, the chair of the Board of Trustees and the President.
3. In the fourth spring after the chancellor's appointment, and every four years thereafter, the President and the Board of Trustees will conduct a comprehensive review of the chancellor's performance that will include major campus constituencies such as faculty, students, and staff. The chairperson of the Board of Trustees will appoint an assessment committee. The Chairperson of the Board of Governors may appoint a member of the Governance Committee or another member of the Board of Governors to participate in the assessment. The assessment committee in consultation with the chancellor and the President may retain an outside consultant to guide the process, to gather written feedback from the Board, to conduct confidential interviews and to assist the committee in the preparation of a report. The final report along with any response from the chancellor and the President and will be placed in the chancellor's personnel file.

For chancellors appointed prior to 2001 who have had a review by the Board of Trustees under the previous assessment policy, the reviews designated in paragraphs 2 and 3 above will be conducted in the spring of years in accordance with the existing biennial and quadrennial schedule.

The University of North Carolina

Chancellor Performance Questionnaire

For each statement describing the Chancellor's performance, please rate by marking:

Excellent, Good, Fair, Poor, or Not observed.

Each section has a box for comments.

A. Planning, Administration, and Management

	Excellent	Good	Fair	Poor	Not observed
1. Has established a credible and effective administrative team	④	③	②	①	①
2. Leads planning and assessment processes to set goals and priorities for the campus . .	④	③	②	①	①
3. Effectively delegates responsibility and oversight to senior leadership team	④	③	②	①	①
4. Directs budgetary planning and resource allocation consistent with established goals and priorities	④	③	②	①	①
5. Demonstrates improvements based on University and campus-based accountability and performance standards	④	③	②	①	①
6. Demonstrates knowledge of, and exercises appropriate oversight over, intercollegiate athletic program	④	③	②	①	①

Comments on A. Planning, Administration, and Management

B. Student Success

	Excellent	Good	Fair	Poor	Not observed
1. Demonstrates campus success in increasing access, retention, and graduation of new high school graduates	④	③	②	①	①
2. Demonstrates campus success in increasing access, retention, and graduation of community college transfers	④	③	②	①	①
3. Demonstrates campus success in making undergraduate education affordable	④	③	②	①	①
4. Demonstrates campus success in increasing the availability of student financial aid . .	④	③	②	①	①
5. Demonstrates real effort and advocacy of policies to moderate debt load of graduates	④	③	②	①	①

Comments on B. Student Success

C. Outstanding Faculty and Quality and Priority Academic Programs

	Excellent	Good	Fair	Poor	Not observed
1. Demonstrates effective campus contributions to push average faculty salaries to the 80 th percentile of the average salaries of peer institutions	④	③	②	①	①
2. Leads efforts for enhanced faculty productivity in teaching, research, and public service	④	③	②	①	①
3. Demonstrates increases in degree production in campus programs overall and in high-need areas such as teachers, nurses, school administrators, and the STEM disciplines	④	③	②	①	①
4. Effectively promotes enhancement of student learning outcomes for a globally competitive environment	④	③	②	①	①
5. Effectively enhances the local, regional, and national reputation of the institution . . .	④	③	②	①	①

Comments on C. Outstanding Faculty and Quality and Priority Academic Programs

D. Economic and Community Impact of the University

	Excellent	Good	Fair	Poor	Not observed
1. Regularly assesses and effectively responds to the demand-driven needs of the community, region, and State and incorporates those into the campus decision-making process	④	③	②	①	①
2. Demonstrates an understanding of business and community issues and their implications for the campus	④	③	②	①	①
3. Leads the effort to increase the economic and community development impact of the campus on the region and the State	④	③	②	①	①
4. Provides leadership in the community to enhance the social welfare of the region . . .	④	③	②	①	①

Comments on D. Economic and Community Impact of the University

E. Campus Safety

- | | Excellent | Good | Fair | Poor | Not observed |
|---|-----------|------|------|------|--------------|
| 1. Promotes a safe and secure campus environment | ④ | ③ | ② | ① | ① |
| 2. Promotes security of information technology systems and an effective disaster recovery plan for the campus | ④ | ③ | ② | ① | ① |
| 3. Has an effective system in place for crisis management | ④ | ③ | ② | ① | ① |

Comments on E. Campus Safety

F. Effectiveness and Efficiency of Enabling Services for the Academic Mission

- | | Excellent | Good | Fair | Poor | Not observed |
|---|-----------|------|------|------|--------------|
| 1. Demonstrates effective utilization of campus facilities and resources in support of the academic mission of the campus | ④ | ③ | ② | ① | ① |
| 2. Maintains an effective information technology infrastructure for academic and administrative computing applications | ④ | ③ | ② | ① | ① |
| 3. Maintains an appropriate balance of academic and non-academic personnel in carrying out the mission of the institution | ④ | ③ | ② | ① | ① |
| 4. Effectively addresses the cost of textbooks on the campus | ④ | ③ | ② | ① | ① |
| 5. Provides effective leadership for private fund raising for the campus, especially for scholarships, graduate fellowships, and distinguished professorships | ④ | ③ | ② | ① | ① |

Comments on F. Effectiveness and Efficiency of Enabling Services for the Academic Mission

G. Communication

	Excellent	Good	Fair	Poor	Not observed
1. Keeps President, Board of Trustees, and senior campus officers informed on system and institutional issues	④	③	②	①	①
2. Clearly communicates system and institutional issues to internal campus constituencies (e.g., faculty, staff, students)	④	③	②	①	①
3. Clearly communicates system and institutional goals to external campus audiences (e.g., alumni, community leaders, government officials, business leaders)	④	③	②	①	①
4. Encourages open and candid communication to inform the campus decision-making process	④	③	②	①	①
5. Has established constructive and credible relations with the media	④	③	②	①	①
6. Has established constructive and respected relations with business, community, and government leaders	④	③	②	①	①

Comments on G. Communication

H. Leadership

	Excellent	Good	Fair	Poor	Not observed
1. Exercises mature and sound judgment based upon an understanding of issues and facts	④	③	②	①	①
2. Demonstrates strong leadership when confronted with difficult decisions	④	③	②	①	①
3. Understands the mission of the UNC system and participates constructively in addressing university-wide issues	④	③	②	①	①
4. Understands the mission of the campus and effectively addresses the mission	④	③	②	①	①
5. Effectively advocates for budgetary and other needs of the institution	④	③	②	①	①

Comments on H. Leadership

I. Personal Attributes

	Excellent	Good	Fair	Poor	Not observed
1. Conducts university business and personal relationships with integrity	④	③	②	①	①
2. Demonstrates institutional loyalty and dedication to the job	④	③	②	①	①
3. Engages in appropriate consultation and consideration of alternative viewpoints	④	③	②	①	①
4. Demonstrates commitment to enhancing diversity among students, faculty, and staff	④	③	②	①	①
5. Demonstrates accuracy and effectiveness in written and verbal communications	④	③	②	①	①
6. Demonstrates enthusiasm and good humor on the job	④	③	②	①	①
7. Responds to criticism constructively	④	③	②	①	①
8. Actively seeks feedback on performance	④	③	②	①	①
9. Works well with other campus leaders	④	③	②	①	①
10. Works constructively with the President and is supportive of University policies	④	③	②	①	①

Comments on I. Personal Attributes

Guidance for Fourth Year Comprehensive Performance Review of the Chancellor

1. The chair of the Board of Trustees appoints an assessment committee comprised of selected trustees or the full board.
2. The chair of the Board of Governors designates a representative of the Board of Governors to serve as a full participant in the chancellor performance assessment process.
3. The chair of the Board of Trustees serves as the chair of the assessment committee unless he or she chooses another trustee to serve as chair in his or her place.
4. The assessment committee with the advice and consent of the President and in communication with the chancellor selects an outside consultant to guide the process.
5. The chancellor provides a self-assessment of goals and accomplishments to the Board of Trustees and the President.
6. The assessment committee sends out survey/evaluation forms to a random sampling of current and former members (especially chairs) from the Board of Trustees, faculty, staff, community/alumni representatives, and students to be returned as specified to either the consultant or to the chair of the assessment committee.
7. The consultant schedules a number of interviews with members of the faculty, the administration, and the Board of Trustees to supplement the survey results.
8. The consultant prepares a comprehensive report and shares it with the chancellor and the chair of the Board of Trustees to review for factual accuracy.
9. The consultant shares the report, after review by the chancellor and the chair of the Board of Trustees, with the assessment committee for further adaptations or modifications.
10. The chair of the Board of Trustees then presents the report to the full Board of Trustees in closed session at the next meeting.
11. The chair of the Board of Trustees provides copies of the comprehensive report and the final analysis of the Survey Questionnaire to the President.
12. The chair of the Board of Trustees, the chancellor, the consultant, and the Board of Governors representative meet with the President to review the report and its findings.
13. The President and the Board of Governors representative present the assessment