Appendix A

POLICIES AND GUIDELINES FOR FACULTY PARTICIPATION IN THE SELECTION OF DEANS AND DEPARTMENT CHAIRPERSONS AND THE EVALUATION OF THEIR LEADERSHIP

A. Basic Principles

Academic excellence is essential to the educational mission of The University of Alabama. Such excellence is achieved in an environment of mutual confidence, collegial participation, effective leadership, and strong academic programs. To foster that environment, it is University policy that the faculty* are expected to participate in the selection of deans and departmental chairpersons and that the advice of the faculty shall be actively and systematically sought concerning possible improvements in academic programs and in administrative leadership of academic divisions and departments.

The process by which the views of the faculty shall be sought is based on six understandings:

1. Final authority over the selection and retention of deans and other academic administrators rests with the President but primary authority for the selection and retention of associate deans, assistant deans, and departmental chairpersons rests with the academic dean.

2. Normally, no person shall be appointed as a dean or a departmental chair who has not received a positive tenure recommendation from the relevant academic departmental tenure committee or, where the smallest relevant academic unit is the division, from the divisional tenure committee, of The University of Alabama.

3. The evaluation and advice of the faculty shall be systematically obtained and considered prior to the appointment of deans and chairpersons.

4. Program direction, program quality, and the performance of deans and departmental chairpersons shall be evaluated periodically and an important consideration in this process shall be the feedback from the faculty.

5. It is the responsibility of the faculty to participate in reviews of programs and leadership and to provide reasons for their recommendations which can be considered by the administration when making decisions. Faculty members who fail to participate fully in the leadership evaluation process, either by making no recommendation or failing to give reasons for a recommendation, impair the administration’s ability to make an appropriate decision.

6. Faculty participation in the evaluation of administrative performance shall be accomplished by providing the opportunity for yearly feedback.

7. Program direction and program quality shall be considered by higher administrators when considering faculty feedback of the leadership of academic administrators. Normally, the nature and timing of academic program reviews shall be left to the discretion of the higher administrators, but these reviews must be reasonably extensive and current and must involve opportunities for faculty members to express their views about the program.

In the following policies and procedures governing the selection and evaluation of deans** and departmental chairpersons, there exists an intended degree of latitude and procedural flexibility to accommodate differences and preferences among academic divisions and departments. Each academic division and each department may adopt more specific formal procedures provided that these procedures are consistent with the University policies and guidelines stated herein and provided that they are approved by the Provost/Vice President for Academic Affairs and/or the academic dean, as may be appropriate.

*Throughout this document, “faculty” shall be understood to consist of all persons who have a tenured or tenure-track appointment in the appropriate academic unit of the University; the status of exceptional classes, such as members of the full-time clinical faculty of the College of Community Health Sciences or full-time temporary instructors, will be decided by the tenured and tenure-track faculty of the unit. **Certain positions which carry the title of dean do not have faculty constituencies which are limited to a single division, such as Dean of the Graduate School, Dean of the Library, or Dean of Continuing Studies. For these positions, it is necessary that the formal review process include campus-wide faculty participation and that the procedures stated herein be modified to accommodate such participation. Such modifications will be developed on a case-by-case basis by the Provost/Vice
President for Academic Affairs or other appropriate administrative officer, in consultation with appropriate faculty and administrative bodies including the Council of Deans and the Steering Committee of the Faculty Senate. These modified procedures shall be implemented upon approval by the President.

C. Policies and Guidelines for Leadership Evaluation of Deans

It is the policy of The University of Alabama that faculty members in each academic division shall have a yearly opportunity to provide feedback on the leadership of their division, normally a dean. This faculty feedback shall be an important component of the yearly evaluation of the divisional leadership by the President and Provost/Vice President for Academic Affairs. A leadership evaluation shall be scheduled in each academic division at least once every five years except that the Provost/Vice President for Academic Affairs may vary the schedule by as much as one year if a change in the leadership of a division occurs or is anticipated or if other circumstances arise in which it becomes desirable to do so.

D. Divisional Leadership Evaluations

Evaluation by Faculty. The following policies and guidelines for obtaining the divisional faculty’s advice on the division’s leadership are to be employed:

1. Every year, an electronic survey will be distributed to faculty of the division providing them the opportunity to give feedback on their divisional leadership. The survey instrument will consist of a series of questions in which participating faculty will assign a score and will be given an opportunity for discursive comments. The discursive comments allow faculty to state any reasons they have for believing that the divisional leadership has or has not helped the college or division make progress in meeting its mission and goals. The comments will be anonymous and will not be edited. The President and/or Provost/Vice President for Academic Affairs and divisional leadership will receive the results of the electronic survey.

2. In the fifth year the electronic survey will contain the statement: I recommend to the Provost to continue the current administrative leadership of the College. Yes or no will be solicited as the response.

3. The electronic survey will be developed and reviewed at least once every five years by the Faculty Participation in the Selection of Deans and Department Chairpersons and in the Evaluation of Academic Programs Committee, with input from the Faculty Senate and the Council of Deans. The President and/or Provost/Vice President for Academic Affairs will approve the final form of the electronic survey.

Decision by President

When the retention review occurs upon receiving results of the electronic survey, and after any other evaluations, discussions, and clarifications which the President and/or the Provost/Vice President for Academic Affairs consider necessary, the President will communicate his or her decision to those concerned, normally no later than one month following submission of the electronic survey. The President or the Provost/Vice President for Academic Affairs will meet, normally no later than two weeks after communication of the results to those concerned, with the divisional faculty to discuss the Provost’s views. Then, if the faculty so chooses, it may transmit through the President’s Office to the Chancellor, and through the Chancellor to the Board of Trustees, its concerns regarding the President’s decision.

Early Divisional Leadership Evaluations

Upon a written petition to the Provost/Vice President for Academic Affairs requesting an early evaluation, signed by at least 25 percent of the total faculty of the division, or upon a vote of one-third or more of the total divisional faculty requesting an early evaluation, an early evaluation of divisional leadership shall be initiated, except that

(a) Only one early evaluation may be called for during the interval between regularly scheduled divisional leadership evaluations; and

(b) If an early evaluation results in the continued appointment of the Dean, the Provost/Vice President for Academic Affairs may schedule the next leadership evaluation to occur as late as five years after that early evaluation. No additional early evaluation can be called for before the date when a leadership evaluation would have occurred had there been no call for an early evaluation.

Early evaluations shall be conducted in the same way as regularly scheduled evaluations.

G. Policies and Guidelines for Leadership Evaluation of Chairpersons

It is the policy of The University of Alabama that faculty members in each academic department shall have a yearly opportunity to provide feedback on the leadership of their department. This faculty feedback shall be an important component of the yearly evaluation of the departmental leadership by the Dean. The Dean, in consultation with the Office for Academic Affairs, will establish a schedule for the leadership evaluations of each department within the division. A leadership evaluation shall be scheduled in each academic department at least once every five years except that the Dean, in consultation with the Office for Academic Affairs, may vary the schedule by as much as one year if a change in the leadership of a department occurs or is anticipated or if other circumstances arise in which it becomes desirable to do so.

H. Departmental Leadership Evaluations

Evaluation by Faculty. The following policies and guidelines for obtaining the departmental faculty's advice on the department's leadership are to be employed:

1. Every year, an electronic survey will be distributed to faculty of the department providing them the opportunity to give feedback on their chairperson. The survey instrument will consist of a series of questions in which participating faculty will assign a score and will be given an opportunity for discursive comments. The discursive comments allow faculty to state any reasons they have for believing that the departmental leadership has or has not helped the department make progress in meeting its mission and goals. The comments will be anonymous and will not be edited. The Dean and the chairperson will receive the results of the electronic survey.

2. In the fifth year the electronic survey will contain the statement: I recommend to the Dean to continue the current administrative leadership of the Department. Yes or no will be solicited as the response.

3. The electronic survey will be developed and reviewed at least once every five years by the Faculty Participation in the Selection of Deans and Department Chairpersons and in the Evaluation of Academic Programs Committee, with input from the Faculty Senate and the Council of Deans. The President and/or Provost/Vice President for Academic Affairs will approve the final form of the electronic survey.

Decision by the Dean

When the retention review occurs upon receiving results of the electronic survey, and after any other evaluations, discussions, and clarifications which the Dean considers necessary, the Dean will communicate his or her decision to the chairperson normally no later than one month following submission of the electronic survey. The Dean will meet, normally no later than two weeks after communication of the results to those concerned to discuss the Dean’s decision. Then, if the faculty so chooses, it may inform the Provost/Vice President for Academic Affairs and the President of its concerns regarding the Dean’s decision.

Early Leadership Evaluations

Upon a written petition to the Dean requesting an early evaluation, signed by at least 25 percent of the total faculty of the department or upon a vote of one-third or more of the total departmental faculty requesting an early evaluation, an early evaluation of departmental leadership shall be initiated except that
a) Only one early evaluation may be called for during the interval between regularly scheduled evaluations; and

b) If an early evaluation results in the continued appointment of the department Chairperson, the Dean may schedule the next leadership evaluation to occur as late as five years after that early evaluation. No additional early evaluation can be called for before the date when a leadership evaluation would have occurred had there not been a call for an early evaluation.

Early evaluations shall be conducted in the same way as regularly scheduled evaluations.

**J. Implementation**

Each academic division and department of the University may propose to the central administration the use of more specific guidelines and procedural details. As with any University policy, the provisions for faculty participation stated herein are subject to modification and change by the President whenever circumstances and experience may warrant. However, any such changes will be discussed fully with the Faculty Senate (acting on behalf of the faculty), deans, and chairpersons prior to their approval by the President.

Express provision for monitoring the effectiveness of this policy and for recommending any changes in the policies and guidelines herein as might become desirable shall be provided for by the establishment of an advisory committee of deans, departmental chairpersons, and faculty. The members of this committee shall be appointed by the President, except that the faculty appointees shall be from a list of persons furnished to the President by the President of the Faculty Senate. A faculty member will chair the advisory committee. This committee shall report to the President through the Provost/Vice President for Academic Affairs and shall be charged with (1) monitoring the effectiveness of the existing policies on faculty participation, (2) offering proposals for changes in the mechanism for faculty participation for consideration by the University community, (3) screening proposals for change from other sources, and (4) coordinating discussions and study by the faculty, deans, chairpersons, and the central administration of any proposed changes prior to their approval by the President.