

## R209, Evaluation of Presidents<sup>1</sup>

**R209-1 Purpose:** The purpose of this policy is to establish procedures for the comprehensive performance evaluation of ~~each~~ presidents in the Utah System of Higher Education. The comprehensive evaluation process will reflect the full scope of the president’s duties, general institutional oversight, and provide meaningful, substantive feedback from key constituents, regarding the president’s efforts and areas of strength as well as ~~the~~ areas that need improvement.

### R-209-2 References

- 2.1 [Utah Code § 53B-2-102](#), Board to Appoint President of Each Institution
- ~~2.2 Board Policy R120, Bylaws; 3.3.3., Institutional Governance and Administration~~
- ~~2.3 Board Policy R208, Resource and Review Teams~~

### R209-3 Definitions

3.1 [“Key Performance Indicators”](#) mean indicators of progress toward the institution’s and the Board of Higher Education’s (“Board”) strategic plans. ~~Commissioner: The Commissioner of Higher Education. For purposes of this policy, the Commissioner is subject to the same evaluation requirements and criteria where applicable.~~

3.2 [“Institutional Liaison”](#) means a Board member appointed under Board Policy R208, Institutional Liaisons to serve as a liaison between the president and the Board.

~~3.2 Confidential: As used in this policy, “confidential” means the document is a “private record” under Utah Code §63G-2-302. As a private record, any such documents are exempt from public records requests and shall not be disclosed except pursuant to Utah Code §63G-2-201(5).~~

**R209-4 Annual Key Performance Indicators:** [Each year, each president shall meet with their institutional liaison\(s\) and executive leadership of the Board of Trustees to develop a minimum of three key performance indicators \(“performance indicators”\) on which to focus that align with the Board’s strategic plan. Presidents in their first year of service shall develop the performance indicators within the](#)

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<sup>1</sup> Adopted April 26, 1977; amended July 27, 1977; May 17, 1983; September 11, 1987; July 21, 1989; November 4, 1994; November 3, 1995, April 22, 2005, April 3, 2009, April 1, 2010, March 29, 2013, March 28, 2014, ~~and~~ February 9, 2018, [and XXX](#).

first three months of their hire date. Beginning the year after they have first developed performance indicators, each president shall annually complete a report outlining their progress on the prior year's performance indicators. Except for new presidents who shall submit their first performance indicators within the first four months of their hire date, presidents shall submit their performance indicators and progress reports to the Office of the Commissioner of Higher Education ("OCHE") no later than July 31 of each year. Either the institutional liaisons, or the Commissioner of Higher Education ("Commissioner") may require the president to reconsider some or all the performance indicators. Upon approval of the key performance indicators, the Commissioner will notify the president and the Board of Trustees Chair.

**R209-5 Comprehensive Evaluation:** At least every fourth year, each president shall undergo a comprehensive evaluation of the prior three years of their performance. The evaluation will assess the president's performance of the criteria outlined in subsection 5.2 and their progress toward the key performance indicators under section R209-4. The Board will retain a qualified consultant to conduct the evaluation including seeking information about the president's performance from the president, the institutional liaison(s), and relevant internal and external stakeholders which may include students, faculty, staff, administration, Trustees, donors, and/or lawmakers. Evaluations will begin in the fall and will be completed in the spring. To ensure adequate time and resources to conduct a meaningful evaluation of each president, the Board may adjust the schedules of individual presidents to provide for a relatively equal number of presidential evaluations each year.

~~**4.1. Comprehensive Evaluation:** The performance of each president will be comprehensively evaluated following the first year of his or her tenure and every four years thereafter. The comprehensive evaluations shall occur in the spring in lieu of the spring review under R208. Either the Board or the president may request an earlier comprehensive evaluation, and at a shorter interval.~~ The Board may request a follow-up to a performance evaluation at any time.

~~**54.12 Guidelines for Evaluation:** The comprehensive evaluation shall adhere to the following guidelines in order to~~ To make the evaluation process fair, meaningful, and effective, the comprehensive evaluation shall adhere to the following guidelines:

~~**54.21.1 Objectivity:**~~ Objectivity extends to the criteria to be assessed, the use of verifiable data wherever possible, the process for the completion of the evaluation, and the selection of persons who will participate in the evaluation.

~~**54.21.2 Clearly Defined Criteria that Related to the Institution's Missions and Goals:**~~ The criteria for evaluation must encompass an appropriate scope. The criteria shall include outcome standards that relate the actions of the individual president to the mission and goals of the institution as well as process criteria that describe the critical behaviors of effective leaders.

~~**54.21.3 Meaningful Evaluation:**~~ Appraisal of an individual's a president's job performance should be made only by those in a position to observe that performance or

who are directly impacted by the president's performance. Opinions concerning the president's performance will be limited to the president and those faculty, students, staff, and others in positions that afford them sufficient interaction with the president to make meaningful judgments.

**5.2.1.4 Well-Planned ~~schedule of~~ Implementation Schedule:** The ~~evaluation committee~~consultant shall establish a reasonable timetable for evaluation to provide an adequate period for collecting data, interviews, review, and feedback.

~~4.2.5 Opportunity for response and self-assessment:~~ Each president will have the opportunity to complete a self-assessment and provide a response to the evaluation.

## ~~R209-5 Procedures~~

### ~~5.1 Evaluation Committee~~

~~5.1.1 Composition of Evaluation Committee:~~ The evaluation will be conducted by an Evaluation Committee of no fewer than three (3) members, including an evaluation consultant. The Chair of the Board of Higher Education shall appoint the evaluation committee members upon the recommendation of the Commissioner.

~~5.1.2 Evaluation Consultant/Chair of Evaluation Committee:~~ The evaluation consultant shall chair the evaluation committee and shall have extensive experience in higher education and evaluating executive performance. The Commissioner of Higher Education shall select and retain the services of a qualified evaluation consultant or consultants as needed.

~~5.1.3 Appointment of Evaluation Committee:~~ The Chair of the Board of Higher Education, in consultation with the president and the Commissioner, shall appoint the evaluation consultant and the other members of the evaluation committee.

### ~~5.2 Evaluation Planning~~

~~5.2.1 Planning Meeting:~~ In advance of the evaluation, the evaluation committee chair, the Commissioner, and the president may discuss the details of the evaluation and any issues that pertain to the evaluation process.

~~5.2.2 Selection of Interviewees:~~ The evaluation committee shall submit a list of potential interviewees for approval by the Commissioner (for evaluation of presidents) or the Chair of the Board of Higher Education (for evaluation of the Commissioner) for consideration by the Evaluation Committee. This list shall normally consist of individuals both internal and external to the institution who are knowledgeable about the institution, and who have had sufficient interaction with or are directly impacted by the president's performance as to make meaningful judgments.

~~5.2.3 Preparation for Interviews:~~ Prior to conducting confidential interviews, the evaluation committee shall meet with the president and his or her resource and review team for the purpose of reviewing strategic plans, goals, objectives, relevant policies, major challenges, successes and shall review the resource and review team's prior evaluation reports. The Commissioner's staff will assist and support the committee by providing data, guidance or other information necessary to a comprehensive evaluation.

~~5.1.2.54 Self-Report:~~ The president shall prepare a confidential self-evaluation based upon the criteria of evaluation outlined in ~~S~~subsection 5.4.2 of this policy and the annual performance indicators and as well as the presidential charge received from the Chair of the Board of Higher Education at the beginning of his/her presidency. ~~The~~ shall submit the self-report ~~shall be submitted to the~~ to the evaluation ~~committee.~~ consultant.

### 5.1.6

#### ~~5.3 Evaluation Process~~ ———

~~5.3.1 Confidentiality:~~ Participants in the evaluation process shall maintain confidentiality. The ~~evaluation committee~~ consultant will assure those being interviewed that their responses will remain confidential and that only a composite of responses will be made available to the Board and the president.

~~5.1.3.72 Required Interviews:~~ ~~The evaluation committee~~ The Commissioner, the Board, the Board of Trustees and the president may make recommendations to the consultant of relevant internal and external stakeholders the consultant should interview or seek comment from as part of the evaluation. ~~should interview a broad range of vice presidents, deans, academic and administrative department heads, faculty, students, community leaders, alumni, and local and state government leaders. The evaluation committee shall also take into consideration input provided by the Faculty Senate, Board of Trustees, and Board of Higher Education. The committee may solicit written comments about the president's performance from various internal and external constituencies.~~

5.1.8 Responsibility for Cost: The president's institution shall be responsible for paying for the evaluation.

~~5.3.3 Exit Meeting:~~ Prior to the end of the campus evaluation visit, the evaluation committee will meet with the president to review the preliminary results and to follow up on any questions that may remain.

**5.2.4 Evaluation Criteria:** The ~~evaluation committee~~consultant shall use the following criteria to evaluate the president's performance.

#### **5.2.4.1 Vision, Mission, Strategic Planning, and Goals**

**5.2.4.1.1** The president has established a clear vision for the institution in line with its statutory mission, for the good of the System of Higher Education and tied to the Board's strategic goals, and the president understands ~~his or her~~their role in implementing that vision. The president's vision includes modeling and fostering safety and belonging for students, staff, and faculty, closing attainment gaps for underrepresented students, and creating equal opportunity for faculty and staff.

**5.2.4.1.2** The president has established long-range and short-range strategic goals around the mission and vision. ~~The president has established baseline measurements for the strategic goals and is tracking measurable outcomes to assess the institution's progress toward achieving those goals.~~

**5.2.4.1.3** The president has established strategies, tactics, benchmarks, and timelines to accomplish the strategic goals, and has effectively delegated responsibility for those goals.

**5.2.4.1.4** The president has clearly and effectively communicated the strategic plan and its goals to the campus community and has kept the community informed about the institution's progress made toward those goals. ~~The campus community understands the strategic plan for the institution and recognizes how it will help the president achieve his or her vision for the institution.~~

#### **5.2.4.2 -Campus Safety & Belonging**

**5.2.4.2.1** The president creates an environment in its programs and activities in which sexual misconduct and discrimination are unacceptable. The president ensures -adequate resources for sexual misconduct and discrimination training, prevention, and grievance processes.

**5.2.2.2** The president prioritizes belonging and fosters an optimal environment that meets each student's needs.

**5.2.3 Federal and State Legal and Regulatory Compliance:** The president is aware of legal, regulatory, and grant requirements applicable to their institution and is responsible for ensuring the institution's compliance with such requirements.

#### **5.24.4~~2~~ Institutional Fiscal Health**

**5.24.4~~2~~.1** The president ~~demonstrates sound oversight over~~ oversees and ensures the institution's fiscal health, including setting budget~~ary~~ priorities that encourage ~~require~~ efficient, ~~and~~ effective, and appropriate use of resources.

**5.24.4~~2~~.2** The president establishes priorities for fiscal resources in a manner that is conducive to achieving institutional goals and objectives.

**5.24.4~~2~~.3** The president evaluates fiscal and budget~~ary~~ matters as often and rigorously as is necessary to properly oversee ~~his or her~~ their budget and finance officers' performances.

#### **5.24.5~~3~~ Academic/Instructional Leadership and Planning**

**5.24.5~~3~~.1** The president's strategic planning, priorities, and goals supports the critical roles of scholarship, intellectual diversity, and academic freedom under Board Policy R481, Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review.

**5.24.5~~3~~.2** In overseeing the institution's academic/instructional mission, the president has appropriately prioritized teaching quality and focused on students and curriculum to ensure student success.

**5.24.5~~3~~.3** The president has directed ~~his or her~~ their academic staff to maintain an effective academic program review procedure designed to serve as a basis for allocating staff, evaluating the quality of instruction, and implementing the institution's strategic goals.

**5.24.5~~3~~.4** The president has fostered collaboration with businesses, industries, and government to identify workforce needs and adjusted program offerings to support workforce needs.

**5.24.5~~3~~.5** In addition to the criteria listed in this section, the ~~resource and review team~~ Board, in consultation with the president, ~~will~~ may establish review criteria that is specific to the institution's ~~specific~~ mission and role, such as research, teaching, outreach, public engagement, or ~~career~~ technical education.

## **5.24.64 Personnel**

**5.24.64.1** The president's leadership fosters a positive work environment for faculty and staff.

**5.24.64.2** The president holds ~~his~~their executive team members and direct reports accountable for their performance through regular performance evaluations and takes corrective action when necessary to address misconduct and further enhance the institution's effectiveness.

**5.24.64.3** The president seeks the counsel of ~~his or her~~their executive team and ensures they are focused on the institution's strategic priorities.

**5.24.64.4** The president effectively determines ~~those issues~~ which issues are the proper responsibility of ~~his or her~~their executive team and ~~those~~ which issues require the action ~~of by the president~~the chief executive officer, and appropriately delegates responsibility.

**5.2.6.5** The president utilizes the data outlined in Board Policy R805, Gender, Race, and Ethnicity Representation within the Utah System of Higher Education Workforce to narrow faculty and staff representation and compensation gaps, including increasing recruitment and retention of underrepresented staff and faculty.

## **5.24.75 Decision Making and Problem Solving**

**5.24.75.1** The president ~~demonstrates a willingness to~~assumes responsibility for ~~his or her~~their decisions and endeavors to fully understand issues prior to making a decision.

**5.2.7.2** The president effectively prioritizes to ensure the most important issues are adequately resourced and addressed.

**5.24.75.3<sup>2</sup>** The president shows an ability to identify potential areas of conflict and proactively find solutions before ~~the~~ problems escalates.

**5.24.75.4<sup>3</sup>** The president demonstrates an understanding of how the interrelated natures of budgeting, curriculum, equity, social and political realities, group interests and pressures, and laws and regulations impact the management of the institution.

~~5.24.75.54~~ The president initiates new ideas and embraces change when necessary to meet the institution's strategic goals and vision. -The president seeks to obtain support from stakeholders and sees new ideas to completion.

#### **5.2.84.6 External Relations and Fundraising**

~~5.24.86.1~~ The president establishes positive relationships with the community in which the institution is located.

~~5.24.86.2~~ The president oversees and encourages a robust alumni program.

~~5.24.86.3~~ The president oversees a fundraising/development program that has clear goals and strategies. -The president actively cultivates relationships with donors, effectively promotes the institution's vision, and shows successful fundraising efforts.

~~5.4.6.4 The president collaborates with the other presidents in the system.~~

~~5.24.86.45~~ The president successfully navigates relationships with legislators, the Governor's office, other state and federal agencies, and with other public officials on matters affecting the institution. -The president shows a strong understanding of the political environment's impact on the institution and is able to properly adjust strategies in the face of those realities.

#### **~~5.4.75.2.9~~ Relationship to the Institutional Board of Trustees and to the Board of Higher Education**

~~5.2.9.1~~ The president must make progress toward System-wide priorities.

~~5.24.97.21~~ The president provides professional leadership ~~for to~~ the Board of Trustees ~~or, in the case of the Commissioner, for the Board of Higher Education and to present candid judgments on matters affecting the institution.~~

~~5.24.97.32~~ The president has presented a strategic plan and vision for the Board of Trustees to review and approve. - The president regularly updates the Board of Trustees and Board of Higher Education about the institution's progress towards its strategic goals and seeks counsel or assistance when issues arise that may prevent the institution from reaching a goal.

5.2.9.4 The president engages with the Board of Trustees regularly to report progress, involve the Trustees in decisions, and update the Trustees on institutional issues.

~~5.2.4.97.53~~ When serious challenges for the institution arise, the president engages the Board of Trustees and the Board of Higher Education appropriately and recommends the best course of action.

~~55.24.97.64~~ The president successfully oversees the institution's day-to-day operations and is able to carry out duties which have been or may be delegated or assigned by the Board of Higher Education or the Board of Trustees.

#### ~~5.4.8~~**5.2.10: Student Engagement Success:**

~~5.4.8.1~~ ~~The president establishes expectations and goals for his student services staff that encourages student success and well-being.~~ The president establishes expectations and goals for themselves, faculty, and staff regarding including issues of retention, graduation completion rates, affordability, safety and mental health, student success and well-being, and career and academic counseling.

~~5.4.8.2~~ ~~The president prioritizes and fosters a vibrant, challenging and positive learning environment for the institution's students.~~

#### **5.2.11 System Impact and Collaboration**

5.2.11.1 The president promotes collegiality among presidents in the System.

5.2.11.2 The president collaborates with other presidents including through regional partnerships.

5.2.11.3 The president supports the Board's strategic initiatives and seeks ways to improve the Utah System of Higher Education as a whole.

5.2.11.4 The president informs the Commissioner and Board Chair of major institutional issues or issues that may have an impact on the Utah System of Higher Education as a whole.

#### **55.35 Evaluation Report**

**55.35.1 Report Content:** The evaluation ~~committee chair~~ consultant shall compile information gathered during the ~~course of the~~ evaluation in a confidential, written report, documenting the president's strengths and areas for future focus and improvement.

**55.35.2 Opportunity for Response:** The ~~chair~~ consultant will submit the final report to the ~~to the~~ president and the president for an opportunity to ~~will have an opportunity to~~ ~~prepare~~ provide a written response to the report.

**55.35.3 Review by Board of Higher Education<sup>2</sup> Officers:** The ~~chair~~ consultant shall send the final report and the president's response and self-evaluation to the Commissioner and the Commissioner shall share the report with the ~~Chair and Vice-Chair of the Board of Higher Education.~~

**55.35.4 Review by Meeting with Commissioner and Board of Higher Education Officers:** As soon as practical, the president will meet with the Commissioner, the Board Chair and Vice-Chair ~~of the Board of Higher Education,~~ and the Chair and Vice-Chair of the Board of Trustees to review the findings and recommendations.

~~**5.5.5 Recommendations to Board of Higher Education:** At the conclusion of the evaluation process, the Chair of the Board of Higher Education may recommend actions to the Board.~~

**55.35.56 Retention of Report in Personnel File:** A copy of the evaluation report, together with a copy of the president's self-evaluation and response to the report, will be retained as a confidential record in the president's personnel file.

**5.4 Supervision and Leadership Support:** The Commissioner, in consultation with the Board, shall have supervisory responsibility over each president based on comprehensive performance evaluations and annual key performance indicators. Presidents will seek leadership support and guidance from the Board as needed through the Commissioner and OCHE.

**5.5 Corrective Action:** Presidents are at will and serve at the pleasure of the Board. Due to a president's at will status, the Board may terminate a president with or without cause. However, at any point during a president's tenure, including immediately following a performance evaluation, the Board Chair and Vice-Chair have discretion to take corrective action against a president. A president may be terminated only upon approval of the Board.

~~5.5~~**5.6 Confidentiality of Report:** The evaluation report, including all [interviews](#), notes, drafts, records of meetings conducted during the course of the evaluation, ~~and~~ all recommendations and responses, [and all communications about a president's performance, whether or not they are made in the context of a formal performance evaluation](#), are ~~confidential~~ [private](#) personnel records protected from disclosure ~~by Utah law~~ [under Utah Code section 63G-2-302\(2\)\(a\)](#).

## ~~5.6 Application of Evaluation Procedures to Commissioner~~

~~5.6.1 General Procedures to Be Followed:~~ The evaluation of the Commissioner shall generally follow the procedures outlined in this policy for the evaluation of presidents, with adjustments to ensure the process is objective.