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EAST TENNESSEE STATE  
UNIVERSITY

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## **Periodic Review of Senior Administrative and Academic Officers**

# **Policy Name: Periodic Review of Senior Administrative and Academic Officers**

## **Policy Purpose**

In accordance with accreditation requirements and best practices, this policy specifies the three-year review of executive-level officers, as defined in this policy.

## **Applicability**

This policy applies to Senior Administrative Officers and Senior Academic Officers.

## **Responsible Official, Office, and Interpretation**

The Office of the President is responsible for the review and revision of this policy. For questions about this policy, please contact the Office of Human Resources. The President, in consultation with the Office of University Counsel, has the final authority to interpret this policy.

## **Defined Terms**

*A defined term has a specific meaning within the context of this policy.*

### Evaluators

The individuals invited to provide a written evaluation of Senior Administrative and Senior Academic Officers for the Periodic Review. Invitations will be sent to: (1) persons who are "direct reports" of the next lower level in the organization structure; (2) university peers knowledgeable about the work of Senior Administrative and Academic Officers; (3) unit heads served by Senior Administrative and Academic Officers; and (4) others at the discretion of the President (for Senior Administrative Officer positions and the Provost) or the Provost (for all other Senior Academic Officer positions).

For Periodic Review of dean positions only, invitations will be sent to college-level faculty.

### Periodic Review

A summative evaluation of Senior Administrative and Academic Officer positions is conducted at a minimum of every three years to assess job performance, provide feedback, and guide continued development to ensure that the institution has effective leadership to accomplish its mission.

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## Senior Academic Officers

The individual responsible for leadership of the institution's educational programs and services, and the academic deans responsible for the leadership of each of the institution's major academic units.

## Senior Administrative Officers

The individuals responsible for institutional leadership in each of the following areas:

- Athletics;
- Communications;
- Finance/Fiscal Affairs;
- Fundraising;
- Information Technology;
- Legal Affairs;
- Operations/Administration; and
- Student Affairs.

## Supervisor

The individual responsible for conducting the Periodic Review. Specifically, the Supervisor herein refers to the President (for Senior Administrative Officer positions and the Provost) or the Provost (for all other Senior Academic Officer positions).

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## **Policy**

This policy governs the Periodic Review of Senior Administrative Officers and Senior Academic Officers. This policy does not apply to the evaluation of the University President, who is evaluated as determined by the ETSU Board of Trustees.

### **1. Periodic Review.**

The Periodic Review of Senior Administrative and Academic Officers shall occur at a minimum every three years but may also occur more often as deemed appropriate. Individuals in these positions are also subject to all other university evaluation policies based on their position.

When a Senior Administrative and Academic Officer is tenured and their services as a Senior Administrative and Academic Officer are terminated due to a periodic review, it does not affect the individual's tenured status.

#### **1.1. Exceptions.**

##### **1.1.1. Resignation.**

Upon receipt of a letter of resignation from an individual in a Senior Administrative and Academic Officer position, the Periodic Review requirement may be waived at the discretion of the Supervisor.

##### **1.1.2. Investigation or Detenuring Process.**

If an individual in a Senior Administrative and Academic Officer position is under investigation due to an allegation that may result in termination or is under review for detenuring, the Periodic Review may be delayed pending the outcome of those proceedings.

##### **1.1.3. Retirement.**

Upon receipt of a letter indicating a plan to retire within the calendar year that the Period Review would have been conducted, the Periodic Review requirement may be waived at the discretion of the Supervisor.

### **2. Confidentiality.**

Periodic Reviews shall remain confidential except as required by law.

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## **3. Records.**

The Supervisor submits a final summary report of each Periodic Review conducted to the Office of Human Resources for inclusion in the Senior Administrative and Academic Officer's official personnel record. All Periodic Review survey data and all other supporting documentation for Periodic Reviews is maintained in the offices that conducted the reviews in accordance with the policies of East Tennessee State University.

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## **Procedures**

### **1. Office of Human Resources.**

By January 30 of each year, the Office of Human Resources provides the Supervisor (or designee) with the list of Senior Administrative and Academic Officers to be reviewed by June 30 of that calendar year.

The Office of Human Resources prepares an online Periodic Review Survey for each of the Senior Administrative and Academic Officers to be reviewed using the prescribed list of questions below.

- 1 How would you describe the degree to which this Senior Administrative and Academic Officer's unit has achieved its goals or improved over the past three years?
- 2 How would you describe this Senior Administrative and Academic Officer's willingness to be of assistance to others in and outside the unit?
- 3 How would you describe this Senior Administrative and Academic Officer's openness to criticism, the ideas of others, and new information?
- 4 How would you describe this Senior Administrative and Academic Officer's contributions to trust and cooperation within the unit?
- 5 How would you describe this Senior Administrative and Academic Officer's ability to represent the unit within and outside the university?
- 6 This Senior Administrative and Academic Officer exhibits honesty and integrity.
- 7 This Senior Administrative and Academic Officer makes decisions that are in the unit's best interest.
- 8 This Senior Administrative and Academic Officer fosters an atmosphere of trust and respect within the unit.
- 9 This Senior Administrative and Academic Officer is familiar with the fields of endeavor, programs, personnel, facilities, budget and other resources, and other components of the unit.
- 10 This Senior Administrative and Academic Officer provides appropriate mentoring to members of the unit.
- 11 This Senior Administrative and Academic Officer has done everything in his or her power to help the unit improve.

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- 12 This Senior Administrative and Academic Officer is effective in solving problems.
- 13 This Senior Administrative and Academic Officer facilitates collaboration and cooperation among members of the unit.
- 14 This Senior Administrative and Academic Officer identifies the strengths of members of the unit and draws upon these abilities wisely.
- 15 (OPTIONAL): Comments on aspects of this Senior Administrative and Academic Officer's performance not covered above.
- 16 How would you best describe your position at ETSU for the purposes of this review? Select one of the following: (Faculty, Academic Department Chair, Dean, Other Academic Administrator, Staff (Non-Administrative), Non-Academic Administrator, Peer of Individual being Reviewed).

The Office of Human Resources forwards the link to each Periodic Review Survey to the appropriate Supervisor(s).

## **2. Supervisor (or designee).**

The Supervisor (or designee) notifies the Senior Administrative and Academic Officers who will undergo Periodic Review and invites them to:

- 2.1. prepare a brief narrative (maximum five pages) describing significant accomplishments during the past three years and work currently underway;
- 2.2. provide a list of persons who are "direct reports" of the next lower level in the organization structure;
- 2.3. provide a list of all college-level faculty (for Periodic Reviews of dean positions only);
- 2.4. suggest a list of university peers knowledgeable about their work that might be invited to respond to an evaluation;
- 2.5. suggest a list of unit heads served by the Senior Administrative and Academic Officer who might be invited to respond to an evaluation; and
- 2.6. suggest a list of other stakeholders, as appropriate, who might be invited to respond to an evaluation.

Upon receipt of the aforementioned information, the Supervisor (or designee) schedules a meeting with the Senior Administrative and Academic Officer to be evaluated to review

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the evaluation process and achieve consensus on the Evaluators included in the Periodic Review.

The Supervisor (or designee) informs Evaluators that the Periodic Review will take place and distributes the narrative statement prepared by the Senior Administrative and Academic Officer being evaluated. The Supervisor (or designee) requests (but does not require) that Evaluators each provide a written evaluation of the Senior Administrative and Academic Officer being evaluated using the Periodic Review Survey within fifteen (15) working days.

The Supervisor (or designee) requests the survey data from the Office of Human Resources when the survey is to be closed.

After consideration of the views expressed by the Evaluators, a written summary is prepared by the Supervisor who then meets with the Senior Administrative and Academic Officer being evaluated and reviews with him or her the Evaluators' impressions and other available information from the past three years.

If disciplinary action is warranted, the Supervisor follows ETSU's progressive disciplinary procedures to ensure the prompt, consistent, and fair treatment of the Senior Administrative and Academic Officer.

Except during the review of deans, the Supervisor determines whether the Senior Administrative and Academic Officer being evaluated will continue in the position. During the Periodic Review of deans, the Provost makes a recommendation to the President, who determines whether the dean will continue in the position.

The Supervisor (or designee) informs the Office of Human Resources of the decision regarding retention of the Senior Administrative and Academic Officer being evaluated. Aggregate evaluation results may be shared with Evaluators upon request.

The Supervisor (or designee) writes a memo summarizing the results of the Periodic Review for each Senior Administrative and Academic Officer. Both the Supervisor and the employee sign the memo. The Supervisor (or designee) forwards it to the Office of Human Resources for placement in the Senior Administrative and Academic Officer's personnel file.

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## **Authority and Revisions**

**Authority:** TCA § 49-8-203, et seq.; SACSCOC Standard 5.4 Qualified Administrative/Academic Officers; SACSCOC 5.2a CEO control; SACSCOC 5.2b Control of intercollegiate athletics; SACSCOC 5.2c Control of fund-raising activities

**Previous Policy:** PPP-59 Periodic Review of Administrators

The ETSU Board of Trustees is charged with policy making pursuant to TCA § 49-8-203, et seq. On March 24, 2017, the Board delegated its authority to ETSU's President to establish certain policies and procedures for educational program and other operations of the University, including this policy. The delegation of authority and required process for revision to this policy can be found on the [Policy Development and Rule Making Policy webpage](#).

To suggest a revision to this policy, please contact the responsible official indicated in this policy. Before a substantive change to the policy section may take effect, the requested changes must be: (1) approved by the responsible office; (2) reviewed by the Office of University Counsel for legal sufficiency; (3) posted for public comment; (4) approved by either Academic Council or University Council; and (5) approved by ETSU's President.

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