

TOWARD A MODEL CHIEF EXECUTIVE OFFICER EVALUATION POLICY

Adopted Spring 1993

INTRODUCTION:

The chief executive officer¹ evaluation process proposed in this document is designed to transcend legal compliance and to foster meaningful professional growth. Moreover, this document is presented as a model of chief executive officer evaluation and should not be viewed as a prescription for local districts to follow. Local academic senates are encouraged to meet and work with governing boards, and/or their designees, to modify the model to meet local conditions and needs. [NOTE: Minor language changes in this document may be needed for single campus districts.]

In what follows, two types of evaluation procedures shall be identified: **annual** and **comprehensive**. Preceding these discussions are brief comments on criteria for developing an evaluation process and on preparation for the evaluation.

CRITERIA FOR DEVELOPING AN EVALUATION PROCESS:

This paper recognizes that the precise nature of the evaluation process for chief executive officers should be subject to local definition and control. It is assumed however that governing boards seek through the implementation of evaluation processes:

to ensure that administration consists of administrators who can lead, organize, plan, and supervise; who understand the needs of faculty and the learning process; and who value institutional governance based upon a genuine sharing of responsibility with faculty colleagues.²

To promote collegiality in the chief executive officer evaluation process Districts should include the following:

1. Representatives of faculty organizations and other employees and student groups whose circumstances at work will be directly affected by the employment of the chief executive officer should participate effectively in all phases of the evaluation process.
2. Clear and complete job descriptions (see Appendix 2) that include all job-related skill requirements should be prepared for each position, and these job descriptions should be

¹For the purposes of this paper, the term *chief executive officer* is used to mean those employees at the level of Chancellor/Superintendent or President.

²Section (4) (o) (3) of Assembly Bill 1725

reviewed before the position is evaluated to ensure conformity with the community college's affirmative action and nondiscrimination commitments.

3. The evaluation process should be effective in yielding a genuinely useful and substantive assessment of a chief executive officer's performance. Among other things, this requires an articulation of clear, relevant criteria on which evaluations will be based.
4. The evaluation process should be timely. This requires that evaluations be performed regularly at reasonable intervals.
5. The specific purposes for which evaluations are conducted should be clear to everyone involved. This requires recognition that the principal purposes of the evaluation process are to recognize and acknowledge good performance, to enhance satisfactory performance and help chief executive officers who are performing satisfactorily further their own growth, to identify weak performance and assist chief executive officers in achieving needed improvement, and to document unsatisfactory performance.

PREPARATION FOR THE EVALUATION:

Prior to beginning the evaluation process districts should take two key steps:

1. Performance Standards Established:

Clear and complete job descriptions for each position, that include all job-related skill requirements, shall be prepared one year in advance of the evaluation process. Representatives of faculty organizations and other employee and student groups whose circumstances at work will be directly affected by the employment of the chief executive officer should participate effectively in the development of the job descriptions.

Annual goals and objectives shall be prepared in relations to the job description and shall be established to assess the chief executive officer in terms of:

- knowledge of the position;
- planning and managing in the context of shared governance;
- time utilization;
- budget management;
- progress toward achievement of professional development plan;
- communication skills;
- fostering trust and collegiality;

- leading and motivating a diverse faculty and staff;
- articulating to the governing board the views and concerns of the faculty and staff he or she supervises;
- developing community relations;
- commitment to academic freedom and academic excellence in the teaching/learning process;
- integrity and professional conduct;
- commitment to students, particularly those not traditionally served;
- promoting affirmative action and cultural diversity;
- implementing legal mandates; and
- interpreting and enforcing the rules and regulations of the district including collective bargaining agreements.

The **performance standards** based on these goals and objectives shall have the following seven qualities: acceptable, flexible, measurable over time, motivating, suitable, understandable, and achievable.³

2. Performance Standards Communicated:

Chief executive officers shall be told clearly and precisely what the performance standards are, and how they are to be met, at least one year in advance of the evaluation process.

Decisions about an chief executive officer's assignment, length of contract, additional training, retention, or eligibility for retreat rights⁴ all shall be based primarily upon performance evaluations.

In addition, an effective performance appraisal system is a way of satisfying certain legal conditions i.e., affirmative action, wrongful terminations, Title IX infringements.⁵

³Pearce, J., Robinson, R., Strategic Management: Formulation, Implementation and Control, 4th ed. (Homewood, IL: Irwin Pub., 1991, p. 222).

⁴Section 34 of Assembly Bill 1725 added Section 87458 to the Education Code to provide for administrator retreat rights. For more details see Appendix A of this document.

TWO TYPES OF PROCEDURES FOR THE EVALUATION OF CHIEF EXECUTIVE OFFICER

This document proposes two types of chief executive officer evaluation procedures: **annual** and **comprehensive**.

Annual Evaluations Procedures:

Each chief executive officer shall be evaluated annually by the local governing board.

Established procedure shall be adhered to in completing an annual performance evaluation and provisions shall be made for the following:

- review and discussion of results by the governing board and the evaluatee;
- evaluatee signature and receipt of the evaluation report, which contains all completed evaluations;
- filing of the original copy of the evaluation report in the evaluatee's personnel file in the district's Human Resources Department.

Each evaluation period shall begin no later than the third week of the fall semester and be concluded no later than the third week of the spring semester.

The annual evaluation of an chief executive officer's performance shall consist of the following three steps:

Step One **Conducting the Evaluation**

The local governing board shall evaluate the chief executive officer's performance in accordance with established standards and the evaluation process shall be oriented toward providing constructive feedback for improved performance (see "Preparation for the Evaluation" above).

Step Two **Concluding the Evaluation**

At the conclusion of the evaluation process, the local governing board shall make a written declaration regarding the evaluatee's performance. Such declaration shall include a rating of "excellent," "satisfactory," "needs improvement," or "unsatisfactory," as well as including a decision regarding the evaluatee's assignment, length of contract, professional development and training activities, or retention.

⁵See Donald E. Walker's comments on effective and ineffective administrators in The Effective Administrator. (San Francisco: Jossey-Bass Pub., 1979, pp.2-5).

The local governing board shall meet with the evaluatee to discuss the evaluation results and to develop a plan for training and development activities to address the needs identified through the evaluation process.

It shall be the responsibility of the local governing board to transmit to the chief human resources officer the original evaluation packet which shall include: the self-evaluation, the governing board's evaluation, and other evaluation documentation for inclusion in the evaluatee's official personnel file.

The evaluatee shall be given a copy of all evaluation materials, including the local governing board's written declaration.

Step Three **Providing the Follow-up**

The performance evaluation process is understood to be an appropriate time for discussing an chief executive officer's successes and providing developmental feedback to help the employee perform her or his job better.

It takes time to learn a job and do it well. After the evaluation has been completed, Step Three is envisioned to support the evaluatee's efforts to integrate the evaluation results into her or his daily activities and improve performance.

The local governing board shall work with the evaluatee throughout the year to achieve the professional development objectives identified in Step Two and shall prepare an assessment of evaluatee's progress at the end of the yearly cycle for inclusion in the next evaluation period.

Comprehensive Evaluation Procedures:

A comprehensive evaluation can occur for any of the following three conditions:

- all chief executive officers shall undergo a comprehensive evaluation once every three (3) years;
- all new chief executive officers shall undergo a comprehensive evaluation two (2) consecutive years after appointment; and
- any chief executive officer can be evaluated at anytime as determined by the local governing board.⁶ In such cases, a comprehensive evaluation shall be conducted.

⁶Conditions may prompt the senate to request the governing board to evaluate a chief executive officer, in which case a comprehensive evaluation shall be conducted. Procedures for this event should be determined locally.

Established procedure shall be adhered to in completing a performance evaluation and provisions shall be made for the following:

- review and discussion of results by the evaluation team and the chief executive officer;
- chief executive officer signature and receipt of the evaluation report, which contains all completed evaluations;
- filing of the original copy of the evaluation report in the chief executive officer's personnel file in the district's Human Resources Department.

Each evaluation period shall begin no later than the third week of the fall semester and be concluded no later than the third week of the spring semester.

The annual evaluation of an chief executive officer's performance shall consist of the following five steps:

STEP ONE: Establishing the Evaluation Team

An evaluation team shall be established within 30 days of the beginning of the evaluation period and shall supervise the comprehensive evaluation procedures.

The evaluation team shall be composed of eight to ten members. The members shall include designees of the academic senate, and representatives of administration, staff, and student groups whose circumstances at work will be directly affected by the employment of the chief executive officer.⁷ The members, whenever possible, should reflect the demographics of California and must be sensitive to affirmative action concerns.

The evaluation team shall meet at least three times during the evaluation period. Meeting times shall be established early in the evaluation period.

STEP TWO: Training The Evaluation Team

In preparation for conducting the performance assessment, the evaluation team shall participate in educational programs focusing on (a) district evaluation policies and procedures and (b) techniques and strategies for carrying out the team's assigned duties (see "Conducting the Evaluation" below).

STEP THREE: Conducting the Evaluation.

⁷The collective bargaining agent may wish to be part of the process. This should be determined at the local level.

Listed below are the evaluation team's duties and responsibilities, and three primary sources of information that the evaluation team relies upon to prepare its findings regarding the evaluatee's performance.

Evaluation Team

The evaluation team shall evaluate the chief executive officer in accordance with established performance standards and the evaluation process shall be oriented toward providing constructive feedback for improved performance (see "Preparation for the Evaluation" above).

The evaluation team shall have the following duties:

- maintain confidentiality and the integrity of the evaluation process;
- collect and review the self-evaluation;
- collect and review the local governing board's annual evaluations;
- collect and review the faculty/staff evaluations;
- compare the evaluation results with the self-evaluation to facilitate improvement;
- discuss the evaluatee's goals and the process for achieving them;
- cooperate with all members of the evaluation team in completing the Evaluation Team Report Form;
- meet with the chief executive officer to present the Evaluation Team Report; and
- assist the evaluatee in developing a plan for training and development activities to address needs identified through the evaluation process.

Chief Executive Officer's Self-Evaluation

The evaluatee's self-evaluation shall be in accordance with the following criteria reflected in the incumbent's job description and performance standards:

1. effectiveness in achieving prior goals and objectives;
2. goals and objectives for the new evaluation period;
3. plans for improvement;
4. success in achieving affirmative action goals and objectives; and
5. attention to intent and spirit of shared governance.

Each chief executive officer shall develop a written statement of specific goals and objectives for two areas of performance evaluation: professional development and the administrative unit she or he manages.

1. Professional development: the chief executive officer shall conduct a personal assessment of her or his performance and define annual goals and objectives consistent with the incumbent's job description.
2. Administrative unit: administrative goals and objectives for the unit shall be developed in consultation with the local academic senate and the performance standards statement shall reflect those District or College goals and objectives developed and approved through collegial processes.

The written statement of goals and objectives shall be established with the approval of the chief executive officer's immediate supervisor.

Governing Board's Evaluation of the Chief Executive Officer

In making this evaluation, the local governing board shall consider the official job description, the administrative unit, prior goals and objectives, those efforts made to execute extraordinary tasks and projects, standards of acceptable administrative behavior, and the chief executive officer's efforts to achieve affirmative action goals and objectives.

Faculty/Staff/Other Involvement

Early in the evaluation period the Faculty/Staff Chief Executive Officer Appraisal Instrument (see Appendix 3) shall be distributed to the appropriate representative groups for the purposes of securing faculty/staff/other input.

Step Four: Conclusion of the Evaluation Process

At the conclusion of the evaluation process, the evaluation team shall make a written declaration to the governing board regarding the evaluatee's performance. Such recommendation shall include a rating of "excellent," "satisfactory," "needs improvement," or "unsatisfactory," as well as including recommendations regarding the evaluatee's assignment, length of contract, professional development and training activities, or retention. The evaluation team shall meet with the chief executive officer being evaluated to discuss the evaluation results and to establish the follow-up schedule.

It shall be the responsibility of the evaluation team to submit all evaluation materials to the local governing board for their review and comment.

It shall be the responsibility of the evaluation team to transmit to the chief human resources officer the original evaluation packet which shall include: self-evaluation, governing board's evaluation, faculty/staff appraisal reports, evaluation team's report, and other evaluation documentation for inclusion in the evaluatee's official personnel file. The evaluatee shall be given a copy of all evaluation materials, including the evaluation team's written recommendation.

STEP FIVE: Providing the Follow-up.

The evaluation team shall work with the evaluatee to create a plan for training and development activities to address needs identified through the evaluation process.

The local governing board shall work with the evaluatee throughout the year to achieve the planned professional development objectives and shall prepare an assessment of evaluatee's progress at the end of the yearly cycle for inclusion in the next evaluation period.

APPENDIX 1: LEGISLATIVE PROVISIONS

The following represent pertinent statutory provisions for the Assembly Bill 1725 governing evaluation of chief executive officers.

SECTION 4 (o) (3) reads:

Any set of laws, regulations, directives, or guidelines regarding community college faculty and administrator qualifications, evaluation, hiring, or retention should promote the efforts of local community colleges to ensure that their faculty and administration consists of:

administrators who can lead, organize, plan, and supervise; who understand the needs of faculty and the learning process; and who value institutional governance based upon a genuine sharing of responsibility with faculty colleagues.

SECTION 4 (r) (2) reads:

The hiring process for administrators and faculty (both temporary and permanent) should be designed so that both faculty and administrators take real responsibility for meeting affirmative action goals and ensuring that affirmative action considerations effectively influence hiring decisions.

SECTION 4 (s) (5) reads:

... in hiring administrators the goal is to ensure that the community colleges will select administrators who are competent to perform the kind of administrative responsibilities that administrators are normally required to assume in the context of the operation and programs of the community colleges.

SECTION 4 (u) (1) and (4) reads:

The state should provide the community colleges with enough resources and a sufficiently stable funding environment to enable them to predict their staffing needs and to establish highly effective hiring processes. While the precise nature of the hiring process for administrators should be subject to local definition and control, each community college should, in a way that is appropriate to its circumstances, establish a hiring process which ensures that:

Representatives of the faculty and other employees whose circumstances at work will be directly affected by the employment of the administrator participate effectively in all appropriate phases of the process.

Clear and complete job descriptions that include all job-related skills requirements are prepared for each position and these job descriptions are reviewed before each position is announced, to ensure conformity with the community college's affirmative action and nondiscrimination commitments.

SECTION 34 added Sec. 87458 to the Education Code to read:

A person employed in an administrative position that is not part of the classified service, who has not previously acquired tenured status as a faculty member in the same district, shall have the right to become a first year probationary faculty member once his or her administrative assignment expires or is terminated if all of the following apply:

- (a) The process by which the governing board reaches the determination shall be developed and agreed upon jointly by representatives of the governing board and the academic senate, and approved by the governing board. The agreed upon process shall include reasonable procedures to ensure that the governing board relies primarily upon the advice and judgment of the academic senate to determine that the administrator possesses the minimum qualifications for employment as a faculty member. The process shall further require that the governing board provide the academic senate with an opportunity to present its views to the governing board before the board makes a determination; and that the written record of the decision, including the views of the academic senate, shall be available for review pursuant to Section 87358.
- (b) Until a joint agreement is reached pursuant to subdivision (a), the district process in existence on January 1, 1989, shall remain in effect.
- (c) The administrator has completed at least two years of satisfactory service, including any time previously served as a faculty member, in the district.
- (d) The termination of the administrative assignment is for any reason other than dismissal for cause.

SECTION 51 amended Sec. 87663 of the Education Code to read:

- (a) Contract employees shall be evaluated at least once in each academic year.
- (b) Whenever an evaluation is required of a certificated employee by a community college district, the evaluation shall be conducted in accordance with the standards and procedures established by the rules and regulations of the governing board of the employing district.
- (c) Evaluations shall include, but not be limited to, a peer review process.
- (d) The peer review process shall be on a departmental or divisional basis, and shall address the forthcoming demographics of California, and the principles of affirmative action. The process shall require that the peers reviewing are both representative of the diversity of California and sensitive to affirmative action concerns, all without compromising quality and excellence in teaching.

APPENDIX 2: SAMPLE CHIEF EXECUTIVE OFFICER JOB DESCRIPTION

ISSUES

In the next three years there are several major issues and challenges the chief executive officer of _____ will need to address:

Shared Governance

The chief executive officer must provide leadership and support to the collegial governance structure to help ensure its success and communicate to the Board of Trustees all recommendations for improving the structure.

Fiscal Realities

The chief executive officer must possess skill in fund-raising and innovative resource development to operate the district/college more productively in these times of limited resources and increased demand.

Vision/Common Goals

The chief executive officer must provide leadership in developing a shared higher education vision and a long-range educational master plan for the district/college, with goals supported by the district/college staff and community.

Diversity

The chief executive officer must have strong understanding and commitment to diversity and provide leadership as the district/college meets the educational needs of a diverse and changing community. A commitment to affirmative action and equal opportunity principles is also required of the chief executive officer.

Educational Programs

The chief executive officer must nurture existing high-quality educational programs and services, support innovations and new technology, and challenge staff to respond to emerging student and community needs. In addition, the chief executive officer must provide leadership in working with business and industry as the district/college maintains and develops state-of-the-art occupational and professional programs.

PERFORMANCE STANDARDS

The evaluation of the chief executive officer shall be based on: (1) an assessment of the chief executive officer performance in addressing the above issues; and (2) an assessment of the following demonstrated professional skills.

The chief executive officer is:

- skilled in human relations and is accessible and approachable.
- experienced in working with persons of diverse ethnic and racial backgrounds.
- able to mobilize and energize community support for the college.
- involved in community activities.
- supports the collective bargaining process in the academic setting.
- knowledgeable about the teaching-and-learning process.
- able to plan for and respond to emerging needs of the district.
- able to effectively articulate the college's educational and academic vision to internal and external constituencies.
- able to create an environment that supports innovation and risk taking.
- skilled in budget development and financial management.
- politically astute and understands the California Community College system and can effectively bring the college's needs to the attention of local governmental agencies, the Chancellor's Office, Board of Governors, and state and federal legislators.
- a team builder and is able to establish internal and external consensus and to bring together divergent groups.
- committed to faculty, staff, trustee, and student diversity and development and is appreciative of the expertise of others.
- A decision-maker who listens and consistently and predictably applies fairness and integrity to all decisions. An individual of his/her word who is not afraid to make tough decisions.

APPENDIX 3: CHIEF EXECUTIVE OFFICER EVALUATION FORM

FACULTY/STAFF/OTHER REPORT

KEY:KEY:KEY:KEY:KEY:KEY:KEY:KEY:KEY:KEY:KEY:

The letter “grades” on the questionnaire have the following values:

- A) (Excellent) Greatly Above Expectation
- B) (Good) Above Expectation
- C) (Average) At Expectation
- D) (Poor) Below Expectation
- E) (Unsatisfactory) Significantly Below Expectation
- N) Not Observed

LEADERSHIP

1. A B C D E N To what extent does the chief executive officer inspire faculty to do its professional best?
2. A B C D E N To what extent does the chief executive officer act in a manner that motivates other administrators to high standards of fairness, enthusiasm, honesty, integrity, and accomplishment?
3. A B C D E N To what extent does the chief executive officer promulgate a vision, including a specific set of goals and priorities employees are inspired to follow
4. A B C D E N To what the extent does the chief executive officer demonstrate effectiveness and diplomacy in working with others and in maintaining productive relationships?
5. A B C D E N To what extent does the chief executive officer demonstrate the ability to make good judgements, rally support, and give firm direction when it is called for?
6. A B C D E N To what extent is the chief executive officer well organized, able to make other managers work as a team, and produce quality work?
7. A B C D E N To what extent does the Chief Executive Officer actively pursue affirmative action goals?

39. A B C D E N To what extent does the chief executive officer demonstrate commitment teaching excellence? Does this commitment include :

40. A B C D E N Clean, well kept classrooms?

41. A B C D E N Adequate, up-to-date instructional equipment?

42. A B C D E N Adequate duplicating services for class materials?

43. A B C D E N Reasonable class size?

44. A B C D E N Adequate tutorial support?

45. A B C D E N Adequate counseling support?

46. A B C D E N Adequate instructional support (library,video,etc.)?

47. A B C D E N Reasonable class size?

48. A B C D E N Cultural pluralism and student diversity?

49. A B C D E N Faculty control of curriculum development?

50. A B C D E N Special recognition for outstanding teaching?

51. A B C D E N Encouragement for innovation?

52. A B C D E N Adequate student grievance policy?

53. A B C D E N Adequate sexual harassment and discrimination policies?

54. A B C D E N To what extent does the chief executive officer demonstrate a commitment to high quality, balanced instructional program?

RELATIONSHIP WITH FACULTY AND FACULTY ORGANIZATIONS

55. A B C D E N To what extent does the Chief Executive Officer actively promote unity, cooperation, and harmony among senate(s), collective bargaining units, administration, and other employee groups?

56. A B C D E N To what extent does the Chief Executive Officer support senate and/or collective activities by granting reasonable assigned (released) time to carry out duties?

57. A B C D E N To what extent does the Chief Executive Officer accept the recommendations of the senate in academic and curriculum matters.

58. A B C D E N To what extent does the Chief Executive Officer assure that senate leaders and faculty have adequate and convenient access to local trustee meetings.

59. A B C D E N To what extent is the Chief Executive Officer aware of and supportive of Title V regulations?

60. A B C D E N To what extent does the Chief Executive Officer support the collective bargaining process as a valid tool for resolving employment issues in a fair and equitable manner?

61. A B C D E N To what extent does the Chief Executive Officer use his influence to encourage negotiators to reach agreement on proposals in an efficient, timely manner, and non-controversial manner?

62. A B C D E N To what extent does the Chief Executive Officer require managers to know the collective bargaining contract, honor its provisions and keep abreast of changes?

63. A B C D E N To what extent does the Chief Executive Officer promote prompt and fair resolution of conflict between administration and employees?

64. A B C D E N To what extent has the Chief Executive Officer been able to create a high level of morale in your district?