

MINUTES OF MEETING OF THE EXECUTIVE COMMITTEE
BOARD OF REGENTS
WESTERN KENTUCKY UNIVERSITY
October 25, 1975

A meeting of the Executive Committee of the Board of Regents of Western Kentucky University was held on Saturday, October 25, 1975, at 1 p.m., CDT, in the Office of the President, Wetherby Administration Building, on the Western campus. Dr. W. Gerald Edds, Chairman, presided.

All members were present; namely,

Dr. William G. Buckman
Dr. W. Gerald Edds
Dr. Chalmer P. Embry
Mr. Hugh Poland

Also present were Dr. Dero G. Downing, President, and Miss Georgia Bates, Secretary to the Board.

After stating that the meeting had been called for the purpose of reviewing (1) the plan for evaluation guidelines and procedures and (2) the report of the special ad hoc committee appointed to give further study to the proposed faculty tenure policy, Chairman Edds then called upon President Downing under whose responsibility the evaluation guidelines and procedures had been developed.

In describing the appraisal of personnel performance as a complex and rather sophisticated process, Dr. Downing stated that a concerted effort had been made over the past several weeks to devise a unified institutional evaluation plan through which not only the wishes of the Board could be carried out in a meaningful and professional manner but one that would have built into it the evaluation of the faculty and members of the various administrative units of the University, as well as individuals in all other areas of employment. In attempting to keep in the forefront throughout the development of the plan the basic principles of what evaluation is to accomplish, he stated that those persons at Western who possess expertise in the evaluative process, such as Dr. J. T. Sandefur, Dr. James Davis, members of the Council of Academic Deans, and others, had been relied upon heavily and that they, together with all other individuals who had been consulted, had been most cooperative and helpful in terms of their viewpoints, demonstrating great interest in the objective. The President added that while the plan is not perfect and there will continue to be need for refinement, it was his feeling that the plan, which follows, was adequate and would accomplish its purpose.

WESTERN KENTUCKY UNIVERSITY

A Plan for Evaluation Guidelines and Procedures

I. Introduction

Although formal evaluations of faculty, administrators, and staff of Western Kentucky University have been conducted for several years, they have varied both in content and procedure. In recognition of the need for consistency and uniformity in the evaluative function, the following plan has been developed by appropriate administrative and faculty groups. The plan will, when implemented in its entirety, provide a comprehensive system for the evaluation of personnel.

It should be noted that following the meeting of the Board of Regents on July 26, 1975, the President requested a compilation of reports on previously administered evaluations and submitted those reports to the Board of Regents. Moreover, he instructed the vice presidents to prepare for him a list of all university personnel to be evaluated and a plan, including instrumentation and procedures, that would effectively provide for an evaluation system for their administrative area of responsibility. It can be noted from these reports that most university personnel have been formally evaluated. Those in administrative and supervisory levels who have not been formally evaluated have been evaluated informally for purposes of salary increments and promotions. Skilled and unskilled personnel such as those in Food Services and the Physical Plant have been informally rated through conferences with their supervisors.

It can be further noted from the reports that there are diverse responsibilities and performance requirements of personnel in the areas of Academic, Administrative, and Business Affairs that prevent the development of a standardized evaluative instrument that can be applied across the University. Consequently, the University plan presented herein prescribes a different instrument for each of the three areas mentioned above.

II. The Basic Purposes for Evaluation

The primary purpose of any evaluation procedure should be the improvement of performance; whether that performance be administrative, instructional, managerial, or clerical. The basic approach to evaluation should be positive and helpful rather than punitive. Evaluation is an appraisal of performance; and if that appraisal is to be valid, it must come from those in a position to make objective and informed judgments. Finally, the instrumentation used must collect valid, objective, and quantifiable data.

A rationale for evaluation must point out the essential need for maintaining security of the information. Confidentiality and professional integrity must be maintained throughout the entire process with distribution and utilization of results clearly understood by all involved.

III. Guidelines for Implementation

The Guidelines for Implementation clearly specify (1) the personnel subject to evaluation, (2) the instrumentation to be used, (3) the procedures employed, (4) statistical treatment employed, (5) time lines, and (6) utilization of results.

A. Personnel Subject to Evaluation

1. The President of the University and his immediate assistants within his office.
2. The Administrative Vice President, his directors, and their subordinates.
3. The Vice President for Business Affairs and his subordinates.
4. The Vice President for Academic Affairs and his immediate staff:
 - a. Academic Deans
 - b. Associate and Assistant Deans
 - c. Directors and Coordinators of Academic Areas
 - d. Department Heads
 - e. Faculty

B. Evaluative Instrumentation

There are three primary evaluative instruments: (1) The Western Kentucky Personnel Forms 17 and 20, (2) the Administrative Affairs Evaluative form designed and prepared by personnel from the Administrative Affairs area, and (3) a series of four instruments prepared by personnel from Academic Affairs.

1. Western Kentucky Personnel Form 17. Form 17 has been designed for employees who are non-exempt under the Wage and Hour Law and subject to a uniform rating system. This form requires appraisal on seven areas of competence including job knowledge, quality of work, cooperation, responsibility, initiative, quantity of work, and dependability. A numerical scale is employed utilizing a range from 1 through 15. The form will be used in the Business Affairs Office and the Office of the Assistant to the President and Director of the Budget for all non-managerial personnel. Form 17 has been attached as Appendix A.

Western Kentucky University Personnel Form 20 has been designed to appraise performance of non-instructional managerial personnel. It provides for written comments plus performance ratings. Form 20 will be used for managerial personnel in the Business Office and the Office of the Assistant to the President and Director of the Budget. It has been attached as Appendix B.

2. The Administrative Affairs Evaluation Form prepared by personnel from that area requires appraisal in 10 areas: job knowledge, judgment, organizing ability, attitude, dependability, creativity, dealing with people, delegation, leadership, and personal efficiency. The form utilizes a five point quantifiable scale and has been attached as Appendix C.
3. Academic Affairs Evaluative Instruments. Personnel from the Academic Affairs area designed four evaluative instruments designed to evaluate the President and his assistants, the vice president and his assistants, the academic deans and their assistants, and the department heads. The administrative evaluation forms have been directed at specific administrative posts and request appraisal of the individual's effectiveness in approximately 20 areas. In addition, written comments have been requested. The specific forms have been attached as follows: Administrative Evaluation: President, Appendix D; Administrative Evaluation: Vice President, Appendix E; Administrative Evaluation: College Dean, Appendix F; Administrative Evaluation: Department Head, Appendix G.

The instrument designed for the department head to evaluate the faculty and the dean to evaluate department heads, directors, and coordinators is the conventional nine-point scale that has been used at the University in the past. The scale requires appraisal on teaching effectiveness, knowledge of subject matter, relations with colleagues, faculty service, research and publication, creative contribution, and other. The rating scale has been attached as Appendix H.

Since student evaluation of faculty is considered to be valuable and necessary, a Student Evaluation is being developed.

C. Procedures and Time Lines

The instruments described previously are believed to be valid for (1) the appraisal of performance of superiors by subordinates and (2) the appraisal of performance of subordinates by superiors. The following general procedures will be followed:

1. The evaluation of all administrative personnel utilizing appropriate instruments will occur during the fall semester, and the summary reports will be submitted to the President in January, 1976.
2. The evaluation of faculty by department heads utilizing the nine-point scale (See Appendix H) will occur in January, 1976, as regularly scheduled by the University. The results of the evaluation will be discussed with the individual and filed in the Office of the Academic Vice President to be used as a part of the regular annual evaluation.

3. The evaluation of faculty by students will utilize the form being developed.

The University, for purposes of evaluation, is divided essentially into three areas: (1) Academic, (2) Administrative, and (3) Business. Because of differences both in instrumentation and procedures, each area will be described separately in describing the evaluation plan.

1. The Academic Affairs Area

- a. Subordinates Appraisal of Superiors (to be conducted during November, 1975)

- (1) All faculty members will evaluate the performance of department heads, deans and their associate and assistant deans, the Academic Vice President, and the President.
- (2) Department heads, directors, and coordinators will evaluate the dean and his assistants, the vice president and his assistants, and the President.
- (3) The deans will evaluate the vice president and administrators of his office and the President and his assistants.
- (4) The vice president will evaluate the President and his assistants.
- (5) The statistical treatment of data will present faculty evaluations separately from administrative evaluations.
- (6) The vice president's and his associates' evaluations will be included statistically with those of the deans.

- b. Superiors Evaluation of Subordinates

- (1) The President will evaluate the performance of the vice president, deans, associate and assistant deans.
- (2) The vice president will evaluate the deans, associate and assistant deans, and department heads.
- (3) Deans will evaluate department heads, directors, and coordinators.

2. Administrative Affairs Area

- a. Subordinates Appraisal of Superiors (to be conducted during November, 1975)

- (1) Appropriate employees will evaluate their immediate superiors holding administrative posts of dean or director using the Administrative Affairs Evaluation Form.
- (2) Deans and directors will evaluate the vice president using the Administrative Affairs Evaluation Form.
- (3) The vice president and directors will evaluate the President using the presidential evaluation form. He will forward this evaluation to the Office of Academic Affairs where it will be included with other vice presidents and deans.
- (4) An appropriate person will be selected to collect all completed forms and forward them to the Office of the President.

- b. Superiors Evaluation of Subordinates

- (1) The President will evaluate the vice president using the Administrative Affairs Form.
- (2) The vice president will evaluate his deans and directors using the Administrative Affairs Form.
- (3) The deans and directors will evaluate their subordinate personnel using the Administrative Affairs Form.

- (4) Each administrator will share the results of his evaluation with the subordinate and forward his evaluation to the President's Office through the designated channels.

3. Business Affairs

a. Subordinates Appraisal of Superiors

- (1) Subordinates evaluating superiors will be limited to individuals holding professional or faculty rank.
- (2) The vice president will evaluate the President using the Presidential Form and forward his evaluation to the Office of Academic Affairs where it will be included with those of other vice presidents and deans.

b. Superiors Appraisal of Subordinates

- (1) The President will evaluate the vice president using WKU Personnel Form 20.
- (2) The vice president will evaluate directors and managerial personnel using WKU Personnel Form 20.
- (3) Directors and managers will evaluate personnel non-exempt under the Wage and Hour Law using WKU Personnel Form 17.
- (4) All evaluations will be shared with the individual and the completed forms submitted to the President's Office.

IV. Statistical Treatment of the Evaluations

Statistical treatment of the evaluations will be determined by Dr. Thomas Madron. It will be Dr. Madron's responsibility to provide separate statistical treatment for faculty evaluations of administrators and administrators evaluations of superior administrators. Statistical treatment will include a presentation of numbers of evaluators, means, and other significant data.

V. Utilization of Results

The results of all evaluations will be placed in summary form by Dr. Madron and placed in the hands of the President. It is strongly recommended that the President and all others with whom the data may be shared treat the evaluation results with utmost confidentiality. The inadvertent release of these materials to unauthorized sources would undoubtedly influence the reliability and validity of future evaluations.

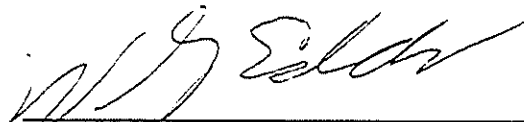
(Secretary's note: The Appendixes to which references are made are not included in these minutes but are being retained as a part of the official file.)

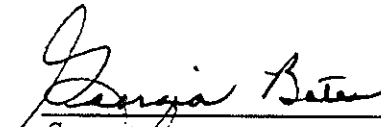
In the discussion which followed, Dr. Edds reiterated that the Board was not dealing with personalities but was most interested in individual performance. In response to his inquiry as to whether or not participation in the evaluation should be compulsory, it was agreed that as a professional endeavor designed to bring about individual improvement, attitudes should be positive and result in a rather wide participation. It was the unanimous consensus that results of the evaluation should be treated with confidentiality.

After further discussion relative to the evaluative instruments and other aspects of the plan, its acceptance by the Executive Committee was unanimous.

Dr. Embry, who serves as chairman of the special ad hoc committee to give further study to the faculty tenure policy, stated that he wished to withhold the recommended revisions of that committee for the meeting of the Board of Regents later in the day. In a brief report, however, on the meeting of his committee on Wednesday evening, October 22, in which other members of the University Committee on Faculty Tenure participated upon invitation, he stated that the exchange of ideas had been favorable and that most of the revisions being recommended were points that had initially been debated by the Committee on Faculty Tenure. He described the policy as being basically sound in his judgment.

There being no further business, the meeting was adjourned at approximately 2 o'clock.


Chairman


Secretary