

MINUTES OF MEETING OF BOARD OF REGENTS
WESTERN KENTUCKY UNIVERSITY
February 28, 1976

A special meeting of the Board of Regents of Western Kentucky University, which had been called at the written requests of Dr. Chalmer P. Embry and Dr. W. R. McCormack, was held on Saturday, February 28, 1976, at 1:30 p.m., CST, in the Regents Conference Room, Wetherby Administration Building, on the Western campus. Dr. W. Gerald Edds, Chairman, presided.

The meeting opened with a prayer of invocation by Dr. Paul B. Cook, Assistant to the President for Resources Management and Director of the Budget.

All members were present; namely,

Dr. William G. Buckman
Mr. Ronald W. Clark
Mr. John David Cole
Dr. W. Gerald Edds
Dr. Chalmer P. Embry
Mr. Stephen L. Henry
Dr. W. R. McCormack
Mr. Hugh Poland
Mr. John L. Ramsey
Mr. Albert G. Ross

Also present, in addition to Dr. Cook, were Dr. Dero G. Downing, President; Dr. Raymond L. Cravens, Vice President for Academic Affairs and Dean of the Faculties; Dr. John D. Minton, Vice President for Administrative Affairs; Mr. Harry K. Largen, Vice President for Business Affairs and Treasurer; Miss Georgia Bates, Secretary to the Board; Mr. Rhea P. Lazarus, Staff Assistant, Office of the President; Mr. William E. Bivin, University Attorney; and Mr. Dee Gibson, Jr., Director of Public Affairs and Community Relations.

The minutes of the regular meeting held on January 31, 1976, copies of which had previously been mailed to the members of the Board, were presented by the Chairman. After discussion, Mr. Cole moved their adoption. The motion was seconded by Dr. Embry and carried unanimously.

The next and final item on the brief agenda was "Other business." Preliminary to discussion pertaining to the recent administrative evaluation, Dr. McCormack expressed appreciation to fellow Board members for their presence and to Dr. Thomas Madron and those who aided him in the project. In noting the fine faculty response to the evaluation questionnaire, Dr. McCormack stated that the results obtained could be

used to "help each other" in striving to make Western the best university in the state of Kentucky. He went on to say that some of the comments contained in the evaluation were negative statements directed at some administrators as criticism by members of the faculty. Dr. McCormack added that while the previous two evaluations had not been discussed by the Board, he felt that the current report, which had been requested by the Board, warranted full discussion. Pointing out that the evaluation cost approximately \$6,000, he then enumerated objectives which he considered to be the purpose of an evaluation, noting the ways in which they differed with the purposes as stated in the guidelines adopted by the Board.

Dr. McCormack stated that he took exception to the position stated by Regent Clark relative to the administrative evaluation and requested that the Secretary read a copy of the memorandum which Mr. Clark sent to members of the Board on February 3. The text of that memorandum as read by the Secretary follows:

"As all of you have now received your copy of the evaluation, please permit me to make these following observations for your consideration:

1. As Dr. Madron so well put it, "this is an image evaluation." It does not really evaluate the type of job or performance an individual may be doing for the University. The instrument to evaluate performance is the step up or down method.
2. The image one might have, either good or bad, might depend on the decisions he might have made over the past year or so.
3. It is my personal belief, and strongly so, that any evaluation should not be used to go "hunting"; rather it should be used for counseling and improvement. This evaluation can serve to help our administrative staff if used in the right proper procedure. If the Board of Regents gets into this and starts to formulate judgements and puts pressure on the President to make decisions he does not think proper, then the evaluation has failed and future evaluations are useless.
4. I personally did not read any evaluations other than the President's. He received a darn good rating and I am proud of the rating he received. I wonder what type of rating we as Board Members would receive? It is hard to evaluate people if you do not understand their job.

"Finally, I did not get to discuss the disposition of the evaluation with everyone present at the meeting Saturday; however, I did discuss it with a few at the break and then after the meeting. It is my opinion that the majority of the Board concurs with the position that we should now bow out and leave the evaluation results in the hands of the President for his use. I strongly urge each of you to consider this as a wise course. I would personally oppose any further action by the Board and the use of this document.

"We had a very fine meeting Saturday. I congratulate Chairman Edds on a very fine job of presiding. We missed Dr. McCormack, Dr. Embry, and Al Ross. Hope they will be present for our next meeting in April."

Mr. Poland questioned the authenticity of the evaluation, stating that in his opinion personality was the number one consideration, rather than performance, as

reflected in the faculty responses. Other factors which would tend to lessen the validity of the administrative evaluation were pointed out by Mr. Poland and Mr. Clark. One example that was cited was the lack of knowledge of the duties and responsibilities of the administrator by members of the faculty who were evaluating that person. Mr. Poland commented on the growth and progress of Western during his extended tenure as a member of the Board of Regents. He expressed the opinion that such progress had to be the result of effective work of the people in the University. He also posed the question as to whom authority and responsibility are to be delegated--the students, the faculty, the President, or someone else.

Reference was made by Dr. McCormack to two unsigned letters received from members of the same department and to telephone calls from students, faculty, and other employees of the University which gave indication that fear and secrecy surround the campus. He made inquiry as to the existence of tyranny on the Hill. In noting that all should work in harmony, he stated that perhaps there is "too much quantity and not enough quality." Concern was also expressed by Dr. McCormack over the dissension that he stated seemed to exist between the faculty and the administration. Dr. Buckman cited telephone calls to his home, etc., in which faculty members expressed fear in taking their problems to department heads or deans; and while unable to explain the reasons, other than comments coming to him, he stated that if such environment existed, it should be corrected; otherwise, the complaining faculty members had been overly rated in rank.

Dr. McCormack then called attention to three administrators who had received poor evaluations since 1973 but whose salaries had been increased substantially in the intervening years according to figures produced by him. After further discussion and indication that the Board might go into closed session, President Downing directed attention to excerpts from his memorandum of January 17 which transmitted the Final Report of the 1976 Performance Appraisal Project to the Board. His statement, exclusive of added comments, follows:

"I am sending with this memorandum a copy of the Final Report as prepared by Dr. Madron to each member of the Board in accordance with the conditions contained in the Plan for Evaluation Guidelines and Procedures. Copies of the correspondence between Dr. Madron and me are attached for your information. Particular attention is directed to Attachment No. 3 which is the memorandum I addressed to Dr. Madron on January 16, acknowledging the receipt of the Report and requesting a supplemental report dealing with the specified items.

"Please let me call to your attention the fact that the Report is marked confidential in keeping with the position taken by the Executive Committee and also by the action of the Board of Regents on October 25, stating that 'confidentiality and professional integrity must be maintained throughout the entire process' ----. You will recognize that in some isolated cases the report includes statements and comments which are intemperate and potentially seriously damaging to the professional reputation and standing of the individual concerned. Inasmuch as such statements are anonymous and cannot be attributed to a particular individual, it seems to me that the responsibility for confidentiality must lie with those who are receiving a copy of the Report. I am confident that each of you recognize the importance of this responsibility as well as the potential damage that could result if the content of the report is not retained for the exclusive reference of the members of the Board of Regents and the President.

"As we look to the appropriate utilization of the Report, reference is made once again to the basic purposes for evaluation as stated in the plan adopted by the Board of Regents. The following statement is an excerpt taken from the approved plan. '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.' This statement, along with the conclusions and recommendations contained on pages 29-34 of the Report, appears to me to constitute a sound approach for the professional utilization of this information. It is a course of action which will seek to bring about the improvement of performance through the sharing of the portion of the information which relates to a particular individual with that person and the university official serving in the capacity of supervisor to that individual. Such a procedure is considered essential to the maintenance of professional relationships, and it is viewed as the most appropriate and effective means for the achievement of the stated purposes and objectives.

"As you know, this is basically the same procedure that is being followed in the adopted plan for the improvement of faculty performance through the evaluation of individual faculty members by the department head, dean, and Vice President for Academic Affairs. I trust you concur that it is the desired course of action, and I invite your suggestions as well as any reactions which you feel you would like to share with me."

In continuing his review of the chronological development pertaining to all facets of the administrative evaluation, President Downing then directed attention to his memorandum of February 25 to the Board, which follows:

"This is a follow-up to the report made to you on January 17 when a copy of the Final Report of the 1976 Performance Appraisal Project was sent to each member of the Board of Regents. As I indicated in that memorandum of transmittal, the basic purposes for evaluation contained in the Plan for Evaluation, Guidelines, and Procedures adopted by the Board of Regents is serving as the guide in our utilization of the information contained in the report.

"Inasmuch as we are now approaching the time of year when it will be the responsibility of the President to make annual recommendations to the Board of Regents on personnel actions which would become effective August 16 for the ensuing year, the 1976 Performance Appraisal Report will serve as one of the several factors in the development of such recommendations. The recommendations that will be forthcoming on personnel actions will include reappointments and/or reassignments, salary, promotions, etc. Permit me, therefore, to outline for your information the status of administrative progress in the utilization of the information contained in the 1976 Performance Appraisal Report.

"At the risk of being repetitious, I think that a brief summary review of the development and utilization of formal written performance appraisal techniques and procedures as a part of the basis for formulating such recommendations at Western

will be beneficial to all of us. Annual formal written review and evaluation reports of the performance of faculty members and academic department heads on standard forms date back to 1966-67. The forms used have provided for ratings of performance of a faculty member to be made by the department head, the college dean, and the Office of Academic Affairs. Ratings of the performance of academic department heads were made by the college dean and the Office of Academic Affairs. The rating information developed by that process has been one, but not an exclusive, source of information from which the President developed annual personnel recommendations to the Board of Regents regarding faculty members and academic department heads. Such information also has furnished a basis for conferences and discussions with individuals involved relating to improvement of performance in clearly identified areas of weakness, and in some cases the process has led to mutually agreed-to recommendations for reassignment of individuals to other duties and responsibilities within the institution.

"Again, the evaluation results were not deemed to be an exclusive, self-contained, and sufficient basis for recommendations but were considered and given weight when they confirmed or contradicted the combined best judgment of responsible officials based upon day-to-day experience, observation, and judgment. A similar process, although informally administered without use of a standard form, has been applied to the performance of each dean and other officials.

"As a result of a suggestion which came from the discussions that took place in a meeting of the Board of Regents on April 21, 1971, a committee from the Council of Academic Deans worked jointly with the Committee on Faculty Affairs of the Academic Council in the development of an evaluative instrument which was used by the faculty for the evaluation of academic department heads, college deans, the Vice President for Academic Affairs, and the President. This was the initial attempt in making an administrative evaluation; and it took place in January, 1973. The committee of the Council of Academic Deans which worked on the development of the evaluative instrument consisted of Dr. J. T. Sandefur, Dr. Marvin W. Russell, and Dr. James L. Davis.

"During the 1973-74 academic year, the Faculty Affairs Committee recommended a change in format from an evaluative type instrument to that of an administrative description questionnaire patterned after industrial psychology models, designed to provide information concerning the mode of practice of individual administrators. Such a questionnaire was forwarded to the faculty on April 3, 1974.

"At each step in our efforts to improve upon the techniques and procedures to acquire better information about individual performance, it has been agreed to by all persons involved that the primary purpose of the effort is to furnish information as a basis for promoting professional development, growth, and improvement of the individual involved.

"Let me pause at this point in the chronological review and mention one aspect of this process which is essential to an understanding of one of the basic principles embodied in the Plan and approved and adopted by the Board of Regents. I am referring to the following statement contained in the Plan. 'The primary purpose of the evaluative procedure should be to improve the quality of administration, and its basic approach should be positive rather than punitive.'

"In addition, I want to repeat certain observations that I have made previously but deserve to be mentioned as a reminder to those of us who share in this important responsibility. I refer to the fact that the confidential information with which we are working serves as only one of the means by which the desired ends may be achieved. I think we would agree that such data must be tempered with the professional judgment of experienced, qualified, competent individuals who are charged with the responsibility of administering the affairs of the University and in accordance with the established policies of the Board of Regents.

"You may recall that I have also previously observed that the sustained success of a large complex organization, such as Western Kentucky University, is dependent not only upon the effective performance of each individual--it is also dependent upon effective coordination of all available human resources. Each person possesses strengths, and invariably there are other areas in which that particular individual may not be so strong; therefore, the degree of success and the extent to which the University functions with effectiveness must also depend upon our ability to organize personnel and to coordinate their combined efforts in a manner that will maximize each individual's strengths and minimize his or her weaknesses. Hopefully, we can effectively apply this concept of personnel administration so that our people can complement one another to the end that each makes the greatest possible contribution and the goals of the University will be successfully achieved.

"Through the application of the above approach and in accordance with the procedures I have attempted to describe, there have been a number of changes in the administrative personnel which have come about as a result of a combination of factors. The enumeration of these changes makes it apparent that the evaluation of personnel and the realignment of our human resources are continuous and ongoing processes. For example, since June, 1973, changes in administrative personnel at the level of dean have taken place in three or the six colleges. A dean was appointed to head the Community College program, and two existing administrators were promoted to the position of dean. It is also significant to note that new department heads were named for ten of the academic departments and eleven changes were made in the administrative positions of director and/or supervisor.

"The above changes were in the academic or instructional areas of the University, while in the areas outside the Academic Affairs there were ten changes that were made in the administrative position of director. At the same time these changes were taking place in all areas of the University, we were engaged in studies which in some instances resulted in consolidation or alterations in the organizational structure. In such cases, these changes required reassignment of personnel and the redefinition of certain administrative roles. The most significant of these were the areas of Scholastic Development, Library Services, Institutional Research, Computer Center, Public Safety, and Special Programs.

"Turning again to the chronological development which I am attempting to provide for you in this progress report, reference is made to the minutes of the meeting of the Board of Regents on July 26, 1975, when the Board instructed 'that the two previous administrative evaluation summaries at the department headship level through the presidency of Western be provided each member of the Board and that a new evaluation be made during the first week of September, 1975.' In compliance with that action, I sent to you on August 20, 1975, copies of the information requested. You will recall that the memorandum of transmittal cautioned that the development of fair, objective, and useful evaluation instruments and procedures is a complex and difficult task requiring discreet, confidential, and professional use of the information produced.

"The Board of Regents at its meeting on October 25, 1975, approved the Plan for Evaluation Guidelines and Procedures as recommended by the President. That plan specified:

1. The personnel subject to evaluation.
2. The evaluative instrument to be used.
3. The procedures to be employed in the process.
4. Statistical treatment of the information gathered.
5. Time lines.
6. Utilization of results.

"The action taken by the Board and the position taken by the Executive Committee includes the commitment that 'confidentiality and professional integrity must be maintained throughout the entire process'... and that... 'the primary purpose of any evaluation procedure should be 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.'

"In my memorandum of January 17, 1976, transmitting to each member of the Board of Regents copy of the final report of the 1976 Performance Appraisal Project, I outlined the procedures being followed in the administrative utilization of this information. As I stated in that communique, this is considered to be the professional approach which calls for sharing the portion of the evaluation results which relates to a particular individual with that person and the University official serving in the capacity of supervisor to that individual.

"I have initiated the prescribed plan for the utilization of the information contained in the Report by a series of conferences which I have had with the Vice President for Business Affairs, the Vice President for Academic Affairs, and the Vice President for Administrative Affairs. In these initial conferences, which I intend to continue during the coming weeks, I have:

1. Discussed the content of the report as it relates to the individual Vice President.
 - a. Attention was given to each item of the evaluation instrument with emphasis placed on ways in which improvements can be made.
 - b. Questions were answered regarding the procedures that had been followed, and a special effort was made to arrive at understandings that would lead to more effective performance.
2. Outlined the plan to be followed by each of the Vice Presidents in carrying out the responsibilities of that office in the utilization of the information pertaining to individuals in their respective areas of responsibility (deans, department heads, directors, and heads of administrative offices).

"In order to fulfill the professional responsibilities inherent in this procedure, each of the Vice Presidents has been provided the essential portions of the report so that the appropriate individuals can be brought together in a conference for the purpose of discussing the information which pertains to that particular person. In addition, we will continue to analyze this and other information which may have a bearing upon future recommendations that will be submitted to the Board of Regents affecting personnel (salary, assignment of duties and responsibilities, reappointments, promotions, etc.).

"One additional point should be made as it relates to comments contained in my memorandum of January 17. I am referring to the fact that the procedure that is being followed in the utilization of these results also takes into account that the report contains an evaluation of the President. I am fully aware of the responsibility which the President has to the Board of Regents, and I recognize that this relationship would call for the sharing of the information pertaining to the President with the Board of Regents in the same confidential and professional manner and in the form directed by the Board.

"I submit this status report to you with the continued desire and sincere hope that the plan which we are following will prove to be in the best interest of Western Kentucky University and of each of the individuals concerned. I am sure that it is evident to each of us that the successful attainment of these objectives will be dependent in a large measure upon the extent to which we protect the integrity, dignity, and professional status of everyone involved.

"It is apparent that the process followed in this evaluation project leaves room for considerable improvement in the procedures followed as well as in the instruments to be used and the utilization of the results. These are elements that will be taken into consideration as we prepare to carry out this responsibility in a more effective manner."

After having studied the content of the report very carefully, President Downing stated that he was well aware of the fact that the evaluation is only one of a large number of factors that must be taken into consideration by those in positions of responsibility in the administration of the day-to-day affairs of the University. Being familiar with the broad-based, highly diversified roles and scopes of responsibilities of a large number of individuals who work with him day after day, the President expressed complete confidence in those persons and in the manner in which their demanding responsibilities, which in many ways are extremely complex and difficult, are being carried out. He acknowledged that while Western does not have a perfect process or a perfect administrative structure, he noted that great improvements have been made and stated that he was indebted to the many people across the campus--student body, faculty, staff--and those given assignments outside the classroom, either in a service role or some supporting function, for the manner in which they continue to direct their efforts to make Western what "all of us" aspire it to be. He went on to say that he would be remiss if he did not say that in his assessment of what transpires daily at the University, there would be no reason for anyone to have a feeling that he or she is working under duress or any reason to be fearful of their security, either personally or professionally. He concluded his remarks by saying that he was exceedingly proud of Western Kentucky University and felt that he was in a position to know something of its relative strengths--the greatest of which lies in its people.

At this point in the meeting, Dr. McCormack moved that the Board go into closed session to protect the reputation of individual persons to be discussed. The motion was seconded by Mr. Cole; and upon a call of the roll, the vote was as follows:

Aye: Buckman, Clark, Cole, Embry, Henry, McCormack, Poland, Ross, Edds

Nay: Ramsey

Dr. McCormack initiated the discussion by making reference to the two unsigned letters received by him from members of the same department which were critical of the department head. It was noted that this individual had received a low evaluation. After explaining the factors that contribute to the precarious position in which department heads are placed, President Downing expressed confidence that the real source of the problem would emerge and could be corrected in the process to be followed by the Vice President

in carrying out the responsibilities of his office in the utilization of the information pertaining to that individual. The discussion then centered around other aspects of the administrative evaluation, particularly as it related to selected individuals who were considered to have lower ratings in the report. President Downing responded to questions which arose regarding the individuals under discussion and went on to express concern over the implication that nothing had been done or was being done to strengthen the personnel structure of the University. He stated that efforts to bring about improvements in the administrative organization of the University was a continuing and ongoing process. In reminding those present of the many factors involved in complex decisions of this nature, he made a strong appeal to the Board to provide the kind of consideration to the President of Western that would enable him to work with others in bringing about improvement in an orderly, professional manner.

With reference to the plan of counseling with those individuals where such action is deemed desirable, Dr. Embry proposed that (1) the Chairman of the Board counsel with the President, (2) the President counsel with the Vice Presidents, (3) the Vice President counsel with the deans of the colleges, (4) the college deans counsel with the associate and assistant deans, and that (5) the associate and assistant deans counsel with the department heads.

In further discussion relative to the administrative evaluation, Mr. Cole reminded the Board that the internal use of the evaluation would be the subject of a subsequent report to the Board at the April 24 meeting, with its utilization being reflected in personnel recommendations which would have an effective date of August 16, and that any recommendations to the Board that they did not wish to accept could be acted upon at that time.

The Board returned to the open meeting at approximately 4 p. m. after having discussed those matters stated as the reason for going into closed session, and no action was taken.

In his appeal for increased intermural and free-play recreational facilities, Mr. Henry exhibited the results of a survey which had been made by Associated Student Government and stated that according to that survey Western ranked low in such facilities. In response to his request that top-priority be given to the matter, President Downing stated that the master plan for the physical plant which is being prepared by

the University Task Force would be the best means through which proper attention could be given to such long-range planning. In the meantime, it was suggested that Mr. Henry meet with the Recreational Committee and that he work closely with the Committee and the Office of Student Affairs in the development of a plan which would help to alleviate the problem.

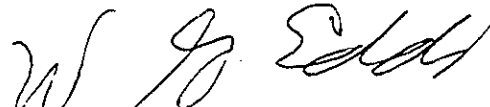
In response to Dr. Buckman's inquiry regarding the Faculty Senate, President Downing referred to his report to the Board on the preceding day, February 27, in which he recommended the adoption of the plan submitted for the establishment of an elected Advisory Faculty Senate as a part of the official organizational structure of Western. After further comments by the President and upon the motion of Dr. Buckman, seconded by Dr. Embry and carried unanimously, Chairman Edds appointed the following members of the Board and the Cochairmen of the President's Committee on Faculty Participation to serve as an ad hoc committee to study the recommended plan and to report back to the Board of Regents with its final recommendation at the meeting on April 24:

Dr. William G. Buckman, Chairman
Mr. John David Cole
Dr. Chalmer P. Embry
Dr. James L. Davis
Dr. Delbert Hayden

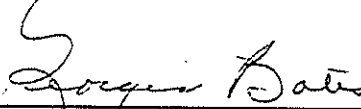
There being no further business, on motion duly made and seconded, the meeting was adjourned at approximately 4:30 p. m.

CERTIFICATION OF SECRETARY

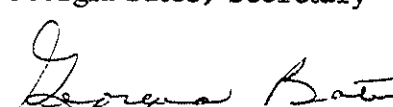
I certify that the minutes herein above set forth an accurate record of votes and actions taken by the Board of Regents of Western Kentucky University in its meeting held on February 28, 1976, in the Regents Conference Room of the Wetherby Administration Building on the Western campus and further certify that the meeting was held in compliance with Sections 2, 3, 4, and 5 of House Bill 100 enacted by the General Assembly of the Commonwealth of Kentucky at its 1974 Regular Session.



Chairman



Georgia Bates, Secretary



Secretary