MATC VISION

Milwaukee Area Technical College is committed to being a World-class educational institution that empowers students, faculty, and staff To realize their potential

September 10, 2008

NOTICE TO RESIDENTS OF THE MILWAUKEE AREA TECHNICAL COLLEGE DISTRICT, WISCONSIN

A Special Meeting (Board Retreat) of the MILWAUKEE AREA TECHNICAL COLLEGE DISTRICT BOARD, WISCONSIN, will be held in the FOUNDERS ROOM of the HILTON MILWAUKEE CITY CENTER, 509 WEST WISCONSIN AVENUE, MILWAUKEE, WISCONSIN, on SATURDAY, SEPTEMBER 13, 2008 beginning at 2:00 P.M. The agenda* for said meeting is presented as follows:

A. Roll Call

B. Compliance with Open Meetings Law

C. Discussion: Presidential Goal Setting and Evaluation Tool

D. Miscellaneous Items
   1. Communications and Petitions
   2. Information Items

* Action may be taken on any agenda item, whether designated as an action item or not. Agenda items may be moved into Closed Session for discussion when it becomes apparent that a Closed Session is appropriate under Section 19.85 of the Wisconsin Statutes. The board may return into Open Session to take action on any item discussed in Closed Session.

Reasonable accommodations are available through the ADA Office for individuals who need assistance. Please call 414-297-6221 to schedule services at least 48 hours prior to the meeting.
GOVERNANCE LEADERSHIP INSTITUTE

The Crucial Leadership Role of the Chair and the Executive Committee of the Board

The Right Chemistry and Being Productive: Board/Chair/CEO Relationship
BOARD AND CEO ROLES
DIFFERENT JOBS
DIFFERENT TASKS

Introduction
Local boards of trustees and chief executive officers play different roles and have different responsibilities in leading their districts. Boards of trustees exert leadership through governing the college on behalf of the community. Chief executives lead by administering and managing the institution in accordance with board governing policies.

This publication identifies many of the different, yet complementary, roles and tasks of district CEOs and boards. It is designed to help boards and district CEOs define their own roles and expectations of each other and clarify what each contributes to their institutions. The areas addressed include:

- Board and CEO Relationship
- Leading the Organization
- Educational Program
- Fiscal Affairs
- Human Resources
- Community Relations
- Legislative Relations
- Legal Affairs

The board of trustees and the CEO are both responsible for building and maintaining a strong board/CEO partnership. Respect, communication, and honoring the different responsibilities are the basis for the trust that is essential to be an effective governing/leadership team.

Advisory Committee on Education Services

1998-1999 Chairs: Ann Foxworthy, Superintendent/President, Allan Hancock CCD; Jerry Patterson, Trustee, Coast CCD

1999-2000 Chairs: Floyd Hogue, Superintendent/President, Fremont-Newark CCD; Nancy Palmer, Trustee, Sierra Joint CCD

Staff to Committee: Cindra Smith, Director of Education Services

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Community College League of California
AUTHORITY IN LAW

Education Code Section 70902 authorizes local boards of trustees for the community colleges and defines their powers.

E. C. 70902 authorizes board responsibilities in the following areas:

- college plans
- program approval
- academic standards and graduation requirements
- personnel and employment practices
- budgets
- tax and bond elections
- district property
- local decision-making process
- student conduct
- fees
- grants, gifts, and scholarships
- auxiliary services
- academic calendar
- Board of Governors' consultation

Chief executives gain their authority from boards. E.C. 70902 and 72400 state that boards may delegate authority for the above to the chief executive officer and other college staff and committees. Other sections of the Education Code identify more specific board responsibilities.

Title V of the Administrative Code also defines tasks for the board, CEO and others. The Chancellor’s office is responsible for monitoring whether colleges fulfill these conditions.

The Community College League of California’s Policy and Procedure Service identifies mandated board policies and administrative procedures (available by subscription in summer, 2000). Please contact the League for more information.

POLICY

Most of the board tasks listed in this document refer to the board’s policy role. “Policy” defines the general goals and acceptable practices for an institution. The board is responsible to discuss the general values and priorities that should be reflected in policy. The CEO and staff usually draft policy statements that incorporate these values and present them to the board for discussion and approval. The CEO also alerts the board about external factors that many require policy changes.
# Strengthening the Board and CEO Relationship

Governing boards and CEOs are partners in leading the institution. As partners, they have the following tasks:
- goal setting and evaluation
- communication
- board operations

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<thead>
<tr>
<th>BOARD SUPPORT FOR CEO</th>
<th>CEO SUPPORT FOR BOARD</th>
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</thead>
<tbody>
<tr>
<td><strong>Goal Setting and Evaluation</strong></td>
<td><strong>Goal Setting and Evaluation</strong></td>
</tr>
<tr>
<td>• Establish goals and expectations in consultation with the CEO</td>
<td>• Establish goals and expectations in consultation with the board; regularly report progress</td>
</tr>
<tr>
<td>• Periodically evaluate the CEO</td>
<td>• Ensure that there are CEO and board self evaluation processes</td>
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<tr>
<td>• Engage in periodic board self-evaluation</td>
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<tr>
<th><strong>Communication</strong></th>
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<tr>
<td>• Maintain open communication</td>
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<tr>
<td>• Direct the CEO only as a board, not as individual trustees</td>
</tr>
<tr>
<td>• Keep the CEO informed of major issues and questions; follow the 'no surprises' rule</td>
</tr>
<tr>
<td>• Establish and follow processes for board and staff communication that honor the CEO's leadership role; do not direct staff</td>
</tr>
<tr>
<td>• Call the CEO before board meetings if there are questions about agenda items</td>
</tr>
<tr>
<td>• Refer complaints and comments to CEO; listen impartially</td>
</tr>
<tr>
<td>• Always publicly support the CEO and college staff</td>
</tr>
<tr>
<td>• In multi-campus districts, notify the chancellor before approaching college presidents</td>
</tr>
<tr>
<td>• Maintain ongoing communication via e-mail, written, or phone updates</td>
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<tr>
<td>• Keep all board members informed of issues and major events; follow the 'no surprises' rule</td>
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<tr>
<td>• Accommodate different communication styles as feasible</td>
</tr>
<tr>
<td>• Treat all board members equally and respectfully</td>
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<tr>
<td>• Provide the same information to all board members</td>
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<tr>
<td>• Contact all board members before each board meeting to address any questions</td>
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<tr>
<td>• Follow up when the board refers comments or problems</td>
</tr>
<tr>
<td>• Always publicly support the board</td>
</tr>
<tr>
<td>• In multi campus districts, keep college presidents informed of board issues and concerns</td>
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<thead>
<tr>
<th><strong>Board Operations</strong></th>
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<tbody>
<tr>
<td>• Adopt and follow policies that:</td>
<td>• Provide adequate support for the board to follow its governing policies</td>
</tr>
<tr>
<td>• Define structure and role of the board and its officers</td>
<td>• Work with the chair to uphold the standards of practice</td>
</tr>
<tr>
<td>• Establish standards for trustee and board behavior</td>
<td>• Work with the board chair to develop meeting agendas</td>
</tr>
<tr>
<td>• Define meetings and meeting practices</td>
<td>• Prepare meeting agenda items that engage trustees in broad policy-level discussions</td>
</tr>
<tr>
<td>• Define the level of information and support desired from the CEO; study and discuss the information provided</td>
<td>• Provide sufficient information to empower boards to make wise policy decisions</td>
</tr>
<tr>
<td>• Attend conferences and other events to maintain own knowledge and skills</td>
<td>• Support and manage trustee and board development</td>
</tr>
<tr>
<td></td>
<td>• Invite and accompany trustees to conferences and events</td>
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ORGANIZATIONAL LEADERSHIP

Governing boards and CEOs play important and complementary roles in leading the organization. Task areas in organizational leadership include:

- general oversight
- policy making
- planning
- external leadership roles
- organizational structure
- decision making

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<thead>
<tr>
<th>BOARD ROLE AND TASKS</th>
<th>CEO ROLE AND TASKS</th>
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<tbody>
<tr>
<td><strong>General Oversight</strong></td>
<td><strong>CEO ROLE AND TASKS</strong></td>
</tr>
<tr>
<td>- Lead the institution through effective governing policies</td>
<td>- Lead and administer the institution</td>
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<tr>
<td>- Work in partnership with the CEO</td>
<td>- Implement and comply with board policy</td>
</tr>
<tr>
<td>- Support the CEO as the institution’s leader</td>
<td>- Work in partnership with the board; support the governing role of the board</td>
</tr>
<tr>
<td>- Create a positive climate for effective leadership through supporting institutional leaders and modeling integrity, vision, and ethical behavior</td>
<td>- Ensure that board policies are up to date and followed</td>
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<tr>
<td></td>
<td>- Create a positive climate and provide effective leadership by modeling integrity, vision, and ethical behavior</td>
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<tr>
<th>BOARD ROLE AND TASKS</th>
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<tr>
<td><strong>Policy Making</strong></td>
<td><strong>CEO ROLE AND TASKS</strong></td>
</tr>
<tr>
<td>- Identify and discuss broad policy-level values inherent in issues before the board</td>
<td>- Identify broad policy implications inherent in issues and agenda items presented for board discussion</td>
</tr>
<tr>
<td>- Reference and use current policy when making decisions</td>
<td>- Reference current policy when presenting items for board action</td>
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<tr>
<td>- Provide thoughtful input early in the policy drafting process</td>
<td>- Seek general input from the board prior to drafting policy</td>
</tr>
<tr>
<td>- Periodically review policies to ensure they are up-to-date</td>
<td>- Establish and manage a system for periodic review of broad policy</td>
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<tr>
<th>BOARD ROLE AND TASKS</th>
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<tr>
<td><strong>Planning</strong></td>
<td><strong>CEO ROLE AND TASKS</strong></td>
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<tr>
<td>- Adopt policies that require and set parameters for effective planning</td>
<td>- Anticipate and articulate future trends and needs</td>
</tr>
<tr>
<td>- Be knowledgeable about future community needs and interests</td>
<td>- Lead and manage a visionary and comprehensive planning processes</td>
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<tr>
<td>- Contribute to the development of the policy direction (mission, vision, and goals)</td>
<td>- Articulate the mission, vision, and goals; work in partnership with the board</td>
</tr>
<tr>
<td>- Ensure that public and community interests are represented in the mission, vision and policy goals</td>
<td>- Ensure that planning responds to current and future community needs</td>
</tr>
<tr>
<td>- Ensure that the policy direction meets current and future community needs</td>
<td>- Ensure that all district plans are linked</td>
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<tr>
<td></td>
<td>- Ensure that college operations and budgets are aligned with plans</td>
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<td></td>
<td>- Keep the board informed on progress toward accomplishing plans and goals</td>
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<tr>
<td>Board Role and Tasks</td>
<td>CEO Role and Tasks</td>
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<tr>
<td><strong>External Leadership Roles</strong></td>
<td><strong>Organizational Structure</strong></td>
</tr>
<tr>
<td>• Be active in the community</td>
<td>• Establish policies that:</td>
</tr>
<tr>
<td>• Actively support the college(s) in the community</td>
<td>• Define criteria for the organizational structure</td>
</tr>
<tr>
<td>• Participate in state conferences and, as time permits, in state and national community college associations</td>
<td>• Delegate authority to CEO to determine the organizational structure</td>
</tr>
<tr>
<td>• As time permits, become involved in state and/or national leadership positions</td>
<td>• Periodically review organization structure to ensure it meets board criteria</td>
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<tr>
<th>Decision Making</th>
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<tr>
<td>• Establish and follow policies that define administrative, faculty, student, and classified staff roles in policy development and decision making</td>
<td>• Develop and administer clear processes for administration, faculty, classified staff and student participation in policy development and decision making</td>
</tr>
<tr>
<td>• Establish and maintain formal processes for open communication with academic senate, classified staff and student leaders</td>
<td>• Ensure that information and training is provided to facilitate effective participation by college constituencies in decision-making processes</td>
</tr>
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</table>
EDUCATIONAL PROGRAMS AND SERVICES

This area includes teaching and learning and the instructional and student services programs of the district. Academic Senates play a major role in these areas through their responsibility for the "academic and professional matters" specified in Title 5.

Task areas in educational programs and services include:
- general oversight
- treatment of students
- academic programs and services
- institutional effectiveness

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<tr>
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<tr>
<td><strong>General Oversight</strong></td>
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<tr>
<td>- Adopt policies that define and delegate clear and appropriate authority and responsibility for educational programs and services to CEO, as well as the Academic Senate</td>
<td>- Lead and administer the delivery of high quality educational programs and services, including planning, development, program review, and staffing</td>
</tr>
<tr>
<td>- Review and approve significant changes to programs as required by state law and board policy</td>
<td>- Inform the board about the major programs and services of the college</td>
</tr>
<tr>
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<td>- Seek approval from the board as required</td>
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| **Treatment of Students** |                   |
| - Adopt policies that define clear criteria for student status and progress | - Ensure that student progress and goal achievement are appropriately recorded and recognized |
| - Adopt policies that ensure fair and equitable treatment of students | - Ensure that procedures exist and are followed for fair and equitable treatment of students, including discipline, due process, and grievances |
| - Determine whether or not the board wishes to be a court of appeal for student grievances | |

| **Academic Programs and Student Services** |                   |
| - Monitor that programs are aligned with policy direction and plans | - Ensure that the delivery of educational programs, curriculum, and student services are in accordance with district plans |
| - Require program review or other processes that address ongoing evaluation and improvement of programs | - Establish and maintain processes that foster quality, effectiveness, relevancy, and efficiency |
| - Be aware of the scope of offerings of the district | |

| **Institutional Effectiveness** |                   |
| - Define "student success" | - Ensure a comprehensive program to monitor institutional effectiveness |
| - Require the CEO to develop accountability and evaluation programs and processes | - Keep the board informed on progress toward accomplishing plans and goals |
| - Monitor how effective the institution is in achieving its goals and student success | - Provide reports to the board that enable it to be accountable to the local community and state and federal agencies |
**FISCAL AFFAIRS**

Boards of trustees and chief executive officers share the responsibility to ensure that the district enjoys fiscal health and stability. Fiscal affairs include:

- budgeting
- financial activity
- asset protection and management
- fundraising and grants
- monitoring fiscal health

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<tr>
<td><strong>General</strong></td>
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<tr>
<td>• Establish policies that set standards for fiscal affairs</td>
<td>• Establish and enforce administrative procedures that implement board policy and ensure the legal, ethical, and prudent management of college resources</td>
</tr>
<tr>
<td>• Approve budgets and expenditures as required by laws and board policy</td>
<td>• Present clear and informative budgets and reports to the board</td>
</tr>
<tr>
<td>• Monitor the fiscal health of the institution by establishing a monitoring schedule and studying reports</td>
<td>• Keep the board informed about the financial status of the district</td>
</tr>
<tr>
<td>• Require long-range projections of the fiscal status</td>
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<tr>
<td><strong>Budgeting</strong></td>
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<tr>
<td>• Adopt policies that require and define standards in the areas of:</td>
<td>• Develop and use a set of assumptions in budget planning</td>
</tr>
<tr>
<td>• Budget assumptions</td>
<td>• Develop and implement an inclusive budget planning process</td>
</tr>
<tr>
<td>• Balanced budgets</td>
<td>• Present and interpret a budget to the board using policy criteria and assumptions</td>
</tr>
<tr>
<td>• Adequate reserve</td>
<td>• Analyze current financial position and present to the board long-range financial needs and proposals</td>
</tr>
<tr>
<td>• Long-range revenue projections</td>
<td>• Alert the board about significant changes in the budget; submit for approval as required by policy</td>
</tr>
<tr>
<td>• Long-range projections for expenditure commitments (e.g. personnel, salaries and benefits, equipment, contracts)</td>
<td>• Ensure that budget planning is linked to college and program plans</td>
</tr>
<tr>
<td>• Facility needs and maintenance</td>
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<tr>
<td>• Approve the budget using board policy standards as criteria</td>
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<tr>
<td>• Require short and long-term fiscal impact information on relevant agenda items such as equipment purchases, loans, and investments</td>
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<tr>
<td><strong>Financial Activity</strong></td>
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</tr>
<tr>
<td>• Adopt policies that contain standards for:</td>
<td>• Develop procedures that ensure that expenditures and accounting processes are prudent, efficient, and adhere to law, board policy and auditing principles</td>
</tr>
<tr>
<td>• Fund transfers</td>
<td>• Monitor income, expenditures, and cash flow</td>
</tr>
<tr>
<td>• Purchase of equipment</td>
<td>• Monitor adherence to procedures for expending and accounting for funds</td>
</tr>
<tr>
<td>• Hiring and changes in status of personnel</td>
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<tr>
<td>• Contracts</td>
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<tr>
<td>BOARD ROLE AND TASKS</td>
<td>CEO ROLE AND TASKS</td>
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<tr>
<td>• Bid proposals and contracts</td>
<td>• Present contracts, expenditures, and other fiscal items to the board for approval as required</td>
</tr>
<tr>
<td>• Paying obligations</td>
<td>• Review the need for and propose TRANS and other cash management programs in a timely manner</td>
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<tr>
<td>• Filing financial reports</td>
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<tr>
<td>• Adopt policies that define when board approval is required for fiscal actions</td>
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<tr>
<td>• Approve contracts and expenditures as required by law and board policy, including real property transactions</td>
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<tr>
<td>• Approve TRANS and other major cash management strategies</td>
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| Asset Protection and Management                                                   |                                                                                  |
|-----------------------------------------------------------------------------------|                                                                                  |
| • Adopt policies that define and require:                                        | • Ensure that investment and cash flow management practices meet board criteria |
|   • Sound investment practices                                                   | • Ensure that college assets and personnel are adequately protected and secured |
|   • Sound cash flow management                                                   | • Ensure that liability and insurance coverage meets board policy standards |
|   • Adequate protection and security                                              | • Establish an adequate risk management program                                 |
|   • Adequate liability and insurance coverage                                     |                                                                                  |
|   • Risk management programs                                                     |                                                                                  |
|   • Monitor that policies are being followed                                      |                                                                                  |

<p>| Fundraising and Grants                                                             |                                                                                  |
|-----------------------------------------------------------------------------------|                                                                                  |
| • Determine the need for, approve, and actively support bond elections             | • Prepare information that helps the board determine the need for and approve bond elections |
| • Provide leadership to create a foundation and establish links between the district and foundation boards | • Lead and administer various fundraising efforts, including the foundation and asset management activities |
| • Support the foundation and fundraising efforts                                  | • Keep the board informed about grants sought and awarded, including their implications for the college |
| • Adopt policies that set criteria and priorities for grants                       | • Present grants for board approval as required;                                |
| • Accept or approve grants as required by law                                    |                                                                                  |
| • Understand the short and long-range implications of grants                      |                                                                                  |</p>
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<tr>
<th>BOARD ROLE AND TASKS</th>
<th>CEO ROLE AND TASKS</th>
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<tbody>
<tr>
<td><strong>Monitoring Fiscal Health</strong></td>
<td><strong>Periodically, report to the board compliance with fiscal control policies</strong></td>
</tr>
<tr>
<td>Require periodic reports to monitor fiscal control policies and accounting processes</td>
<td>Periodically report the fiscal condition of the institution; provide a summary that clearly shows the relationship of expenditures to budget</td>
</tr>
<tr>
<td>Require regular reports on the fiscal status of the institution</td>
<td>Educate the board on how to read financial statements</td>
</tr>
<tr>
<td>Become educated about financial statements and their implications</td>
<td>Assist the board with the selection of an auditing firm</td>
</tr>
<tr>
<td>Define broad expectations for the independent audit of the district accounts and business procedures</td>
<td>Cooperate with and auditor so the audit is thorough</td>
</tr>
<tr>
<td>Set criteria for an auditing firm to conduct the annual audit</td>
<td>Assist the board in reviewing the audit report</td>
</tr>
<tr>
<td>Review the audit report</td>
<td>Correct deviations (if any) found as a result of the audit</td>
</tr>
<tr>
<td>Discuss deviations (if any) and give appropriate direction to CEO</td>
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The area of human resources includes all personnel and employment issues, and is subject to numerous state and federal laws and regulations. The board and CEO work together to address:

- hiring and other personnel practices
- treatment of personnel
- professional development
- salaries, benefits, and collective bargaining

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<th>BOARD ROLE AND TASKS</th>
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<tbody>
<tr>
<td><strong>Personnel Hiring</strong></td>
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<tr>
<td>• Establish policies that require:</td>
<td>• Ensure that personnel recruitment and hiring processes are:</td>
</tr>
<tr>
<td>• Selection of the best qualified personnel</td>
<td>• Fair, legal, comply with laws</td>
</tr>
<tr>
<td>• Administrative, faculty, and staff diversity</td>
<td>• Result in good applicant pools</td>
</tr>
<tr>
<td>• Competitive salaries and working conditions, within budget constraints</td>
<td>• Reflect well on the institution</td>
</tr>
<tr>
<td>• Set policy regarding which positions require board approval</td>
<td>• Seek to achieve that staff diversity reflects college and community populations</td>
</tr>
<tr>
<td>• Compliance with equal employment and affirmative action laws</td>
<td>• Forward personnel actions to the board as required; inform the board about other key personnel changes</td>
</tr>
<tr>
<td>• Ratify hires as required by law (based on compliance with policy)</td>
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<tr>
<td><strong>Treatment of Personnel</strong></td>
<td></td>
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<tr>
<td>• Establish policies that require:</td>
<td>• Ensure that:</td>
</tr>
<tr>
<td>• Fair and effective evaluation and supervision processes</td>
<td>• Personnel regulations and procedures are fair, legal, and equitable and meet board policy criteria</td>
</tr>
<tr>
<td>• Safe and pleasant working environment</td>
<td>• Personnel manuals and handbooks are current and public</td>
</tr>
<tr>
<td>• Clear grievance procedures</td>
<td>• Personnel procedures are implemented and followed</td>
</tr>
<tr>
<td>• Due process in employee discipline and termination</td>
<td>• Grievance procedures are clear, equitable, and followed</td>
</tr>
<tr>
<td>• Academic freedom</td>
<td>• Discipline and termination are for demonstrable cause and follow procedures</td>
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<tr>
<td>• Protection of privacy</td>
<td>• Seek legal counsel when needed; share information with the board</td>
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<tr>
<td>• Adopt policies that guide implementation of ADA and harassment laws</td>
<td>• Alert the board early to personnel problems that may become public or reach the board level</td>
</tr>
<tr>
<td>• Adopt policies that ensure appropriate consultation with and delegation of authority to employee groups</td>
<td>• Provide adequate information to the board about personnel problems and recommendations</td>
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<tr>
<td>• Establish clear processes for board/staff communication that do not abrogate the board/CEO relationship</td>
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<tr>
<td>• Support CEO recommendations on disciplinary action or terminations when cause is demonstrated and procedures have been followed</td>
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<tr>
<td><strong>Professional Development</strong></td>
<td><strong>Professional Development</strong></td>
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<tr>
<td>• Establish policy expectations for staff orientation and ongoing professional development</td>
<td>• Ensure that resources are allocated for professional and staff development</td>
</tr>
<tr>
<td>• Publicly recognize staff achievements</td>
<td>• Encourage professional development and staff recognition programs</td>
</tr>
<tr>
<td>• Engage in trustee and board development</td>
<td>• Engage in ongoing learning</td>
</tr>
<tr>
<td></td>
<td>• Support trustee education and development</td>
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<tr>
<td><strong>Salaries, Benefits, and Collective Bargaining</strong></td>
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</tr>
<tr>
<td>• Delegate clear authority to the CEO or other agent to engage in collective bargaining on behalf of the board</td>
<td>• Engage in positive bargaining practices; follow board standards and criteria</td>
</tr>
<tr>
<td>• Set criteria for salaries and benefits that establish competitive, fair wages and that protect current and future district resources</td>
<td>• Provide the board with an analysis of the implications of various options in the bargaining process</td>
</tr>
<tr>
<td>• Ask the CEO to provide options and analyses on negotiating positions and their implications</td>
<td>• Provide training in collective bargaining approaches for all those involved in the process, as well as the board</td>
</tr>
<tr>
<td>• Participate in training on positive bargaining practices</td>
<td>• Inform the board of union proposals</td>
</tr>
<tr>
<td>• Provide clear direction to the CEO, including parameters for negotiations</td>
<td>• Maintain good communication with the board regarding the status of the negotiations</td>
</tr>
<tr>
<td>• Set and adhere to positive bargaining practices; stay on the “high road”</td>
<td>• Delegate clear authority to the negotiating agents and ensure that they understand board parameters and budget constraints</td>
</tr>
<tr>
<td>• Maintain the confidentiality of bargaining positions</td>
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COMMUNITY RELATIONS

Governing and leading community-based institutions requires boards and CEOs to be active participants in their communities and ensure strong college-community connections. Community relations roles and tasks are in the areas of:

- community involvement
- marketing and media relations
- foundation support

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<thead>
<tr>
<th>BOARD ROLE AND TASKS</th>
<th>CEO ROLE AND TASKS</th>
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<tbody>
<tr>
<td><strong>General</strong></td>
<td></td>
</tr>
<tr>
<td>• Ensure that general interests of the external communities are represented in board decisions</td>
<td>• Ensure that district programs respond to community needs</td>
</tr>
<tr>
<td>• Advocate for and support the colleges in the community</td>
<td>• Advocate for and support the colleges in the community</td>
</tr>
<tr>
<td>• Maintain links with business, government and community leaders</td>
<td>• Maintain links with business, government and community leaders</td>
</tr>
<tr>
<td>• Adopt policies that govern: community relations</td>
<td>• Lead and administer programs that</td>
</tr>
<tr>
<td>• marketing and public relations</td>
<td>• Reflect a positive image for the college</td>
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<tr>
<td>• foundations and fundraising</td>
<td>• Engender community support for the college</td>
</tr>
<tr>
<td></td>
<td>• Ensure strong college and community connections</td>
</tr>
<tr>
<td><strong>Community Involvement</strong></td>
<td></td>
</tr>
<tr>
<td>• Seek out various community perspectives</td>
<td>• Establish a culture that fosters responsiveness to community needs and positive relations with the public and community groups.</td>
</tr>
</tbody>
</table>
| • Establish and engage in systematic methods to link with community representatives and policy-makers including:  
  - K-12 boards  
  - local governments  
  - community and business policy boards  
  - higher education policy and advisory boards | • Actively seek and foster professional relationships with education, government, business, and other community leaders |
| • Adopt policies that:  
  - Ensure community input into strategic planning and institutional evaluation  
  - Encourage partnerships and relationships with community organizations  
  - Define community use of college facilities  
  - Set the policy direction for community service | • Participate in community events and service organizations |
<p>| | • Encourage partnership programs with K-12 and higher education institutions |
| | • Ensure that planning processes assess and respond to community needs |
| | • Ensure a comprehensive program of community services and events |
| | • Establish and monitor procedures for public use of and participation in college facilities, programs, services, and events |</p>
<table>
<thead>
<tr>
<th>BOARD ROLE AND TASKS</th>
<th>CEO ROLE AND TASKS</th>
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</thead>
<tbody>
<tr>
<td><strong>Marketing and Media Relations</strong></td>
<td><strong>Establish and administer comprehensive public relations operations; ensure the accuracy and quality of communication to public</strong></td>
</tr>
<tr>
<td>• Adopt policies that:</td>
<td>• Keep board informed about</td>
</tr>
<tr>
<td>• Set parameters for marketing and public relations programs</td>
<td>• Issues that may result in media contacts</td>
</tr>
<tr>
<td>• Establish standards of good practice (ethics) for trustee relations with the public and media</td>
<td>• Public relations and marketing efforts</td>
</tr>
<tr>
<td><strong>Foundation Support</strong></td>
<td><strong>Establish a foundation and ensure that it is effective</strong></td>
</tr>
<tr>
<td>• Adopt policies that establish the direction and parameters for a foundation</td>
<td>• Actively support foundation activities through personal involvement</td>
</tr>
<tr>
<td>• Support and monitor the foundation</td>
<td></td>
</tr>
<tr>
<td>• Establish links with the foundation board of directors</td>
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</tbody>
</table>
LEGISLATIVE RELATIONS

Legislative support is important for institutional success. The board and CEO play key roles in working with legislators and garnering support. The area of legislative relations includes:

- understanding policy trends and issues
- establishing and communicating priorities and needs
- advocating on behalf of the institution

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<thead>
<tr>
<th>BOARD ROLE AND TASKS</th>
<th>CEO ROLE AND TASKS</th>
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<tbody>
<tr>
<td><strong>Policy Trends and Issues</strong></td>
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</tr>
<tr>
<td>• Engage in ongoing study of policy issues and trends through reading and conference attendance</td>
<td>• Establish processes to stay up-to-date on policy issues and trends</td>
</tr>
<tr>
<td>• Allocate time at board meetings and hold study sessions to discuss policy issues, trends, and system priorities</td>
<td>• Ensure the board is aware of policy issues and trends:</td>
</tr>
<tr>
<td>• Understand the impact of state and national policy on local mission and goals</td>
<td>• Forward legislative alerts and other relevant information to the board</td>
</tr>
<tr>
<td></td>
<td>• Design board agendas to allow time to discuss issues</td>
</tr>
<tr>
<td><strong>Local Priorities</strong></td>
<td><strong>Local Priorities</strong></td>
</tr>
<tr>
<td>• Allocate time to study and understand local community needs and priorities</td>
<td>• Provide information and analysis to the board of local trends and issues that may require legislative response</td>
</tr>
<tr>
<td>• Adopt positions that further the ability of the district to achieve its goals</td>
<td>• Discuss local priorities and issues with the CCCT board of directors and the Community College League staff</td>
</tr>
<tr>
<td>• Discuss local priorities and issues with the CCCT board of directors and the Community College League staff</td>
<td></td>
</tr>
<tr>
<td><strong>Legislative Advocacy</strong></td>
<td><strong>Legislative Advocacy</strong></td>
</tr>
<tr>
<td>• Identify and make key contacts with legislators</td>
<td>• Manage the board’s legislative advocacy activities</td>
</tr>
<tr>
<td>• Ensure that the CEO and all board members are introduced to key contacts</td>
<td>• Identify a legislative liaison on the staff</td>
</tr>
<tr>
<td>• Study issues to ensure effective communication with legislators</td>
<td>• Maintain ongoing and appropriate communication with legislators</td>
</tr>
<tr>
<td>• Maintain ongoing and appropriate communication with legislators</td>
<td>• Advocate on behalf of the college and its contributions to the community</td>
</tr>
<tr>
<td>• Support board positions, as well as state system and association positions where not in conflict</td>
<td></td>
</tr>
</tbody>
</table>
LEGAL AFFAIRS

Governing boards and CEOs share the responsibility to ensure that the district:
- abides by local, state, and federal laws and legal intent
- uses legal counsel prudently

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<thead>
<tr>
<th>BOARD ROLE AND TASKS</th>
<th>CEO ROLE AND TASKS</th>
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</thead>
<tbody>
<tr>
<td><strong>Laws and Regulations</strong></td>
<td><strong>Laws and Regulations</strong></td>
</tr>
<tr>
<td>Adopt policies specifically required by law and regulation</td>
<td>Be aware of laws and regulations that affect the institution</td>
</tr>
<tr>
<td>Delegate authority to the CEO and require that procedures exist that comply with local, state and national laws and regulations</td>
<td>Inform the board and new trustees about major laws and regulations</td>
</tr>
<tr>
<td>Monitor compliance</td>
<td>Ensure that administrative procedures exist and are followed to comply with law and regulation</td>
</tr>
<tr>
<td>Follow laws related to board practices, including conflicts of interest, open and public meetings, confidentiality of closed sessions, and political practices</td>
<td>Monitor compliance and report to the board</td>
</tr>
<tr>
<td></td>
<td>Advise the board about laws and regulations that affect the board</td>
</tr>
<tr>
<td><strong>Legal Actions and Counsel</strong></td>
<td><strong>Legal Actions and Counsel</strong></td>
</tr>
<tr>
<td>Request legal counsel only as a board; work through the CEO</td>
<td>Recommend appropriate legal counsel to advise the board</td>
</tr>
<tr>
<td>Request legal advice well in advance of potential problems</td>
<td>Inform the board of legal counsel used to advise the college</td>
</tr>
<tr>
<td>Accept and expect realistic assessments of the board’s legal position</td>
<td>Inform the board of threats of legal action and lawsuits</td>
</tr>
<tr>
<td>Establish policies that guide the CEO’s response to lawsuits and threats of legal action</td>
<td>Keep the board informed of progress on and outcomes of legal matters</td>
</tr>
<tr>
<td>Adopt policies that insure and protect the assets and personnel of the district, as well as the board</td>
<td>Prepare summaries and analyses that review all options for the board when board action is required on legal issues</td>
</tr>
<tr>
<td></td>
<td>Ensure that the district has adequate liability protection</td>
</tr>
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CEO Expectations of Trustees

Understanding the expectations of your CEO is a positive strategy for creating and maintaining a strong and productive board CEO relationship. The following suggestions are a basis for beginning that relationship.

- Provide the CEO with a Clear Understanding of the Board’s Expectations
- Regularly Evaluate the CEO
- Recognize the Distinction Between Policy Settings and Operations
- Work with Fellow Board Members and the CEO in a Spirit of Harmony and Cooperation
- Provide Visible Public Support for the CEO
- Base Decisions on What is Best for the Community and the College. Not on a Special Interest!
- Refer Complaints and Suggestions to the CEO
- Make Sure the CEO is the Primary Contact with the College
- Protect the Mission of Student Learning
- Protect the Long-Term Interests of the College
- Prepare Adequately for Each Meeting
- Maintain Appropriate Confidentiality
- Avoid Public Criticism of the CEO
- Control Inappropriate Behavior of Fellow Board Members
- Recognize the CEO and Other College Staff for Local, State and National Leadership Roles and Achievements
- Support the Professional Involvement and Development of the CEO
- Regularly Review the CEO’s Employment Contract to be Sure It’s Provisions are Both Fair and Competitive
- Leadership Changes Should be Planned
Provide the CEO With A Clear Understanding of the Board's Expectations

- A CEO deserves to know what the board expects from him or her. All too often, these expectations are not explicit, or individual board members may have different expectations for the CEO. A goal setting retreat can be an excellent vehicle for a board and its CEO to agree on expectations and directions for the college district.

- It is especially important for the board to be clear in its expectations when employing a new CEO. Both the board and the candidate will be evaluating whether there is a good match between the needs of the institution and the strengths of the candidate. An honest conversation about expectations can avoid a mistake.

Regularly Evaluate The CEO

- Evaluation of the CEO is one of the most important responsibilities of a community college board. According to Carver, organizational performance and CEO performance are the same. There are many opportunities for informal evaluative comments during the course of interactions between a board and its CEO, but it is a good idea to schedule an annual evaluation of the CEO.

- Improvement of performance, a clearer sense of direction, and reinforcing recognition should be the primary goals of the evaluation. The process and criteria should be understood by and mutually acceptable to the board and the CEO.

- Boards need to understand that CEO’s are faced with conflicting demands, insufficient resources, hectic schedules, and long hours. Progress toward some district goals may take longer than expected when other priorities emerge. Although maintaining a positive institutional climate is an important responsibility for a CEO, the board’s evaluation of the CEO must be more than a reflection of current popularity.

- The formal evaluation should result in a written record of performance upon which the board bases its annual review of the CEO’s employment contract. Written evaluations should be sealed and placed in the CEO’s personnel file for review only by regular board members or the CEO.

- “As with a football team, a board’s success is not determined by how well the members like each other.”

Recognize the Distinction Between Policy Settings and Operations

- Boards have an obligation to see to it that the institution is well managed. That is not to say that the board should manage the college; they cannot. Instead, they select and
appoint a CEO to lead the administration of the college district. CEO's expect trustees to give them the freedom to operate the district and accomplish the goals that have been mutually set.

→ Boards should honor the internal governance systems of the college district. Individual trustees should not try to direct the actions of their CEO. Individually, trustees can make suggestions; the majority of the board in a board meeting can direct the CEO.

→ Board members set policy often relying upon information they receive in board reports, board agenda packets, and at board meetings. They need to be sure the information is accurate and reliable. After they approve the policies, they need to be sure that they are implemented as intended.

→ The tool board members have to accomplish these tasks is the ability to ask questions. However, boards should be aware that every request they make, including request for information and reports, has a cost to the district.

→ A common board folly, according to Carver, is for boards to want to know everything that is going on. Carver advises boards to focus on questions that yield information necessary to make a policy decision and questions that yield information necessary to monitor the implementation of those policies.

→ Carver labels other information as “incidental” and implies that boards often confuse it with more important monitoring information.

→ (If you need assistance to redo-review your policies using the policy-governance approach ACCT consultants are available to help.)

**Work with Fellow Board Members and the CEO in a Spirit of Harmony and Cooperation**

→ CEO's expect trustees to understand the importance of working with fellow board members and the CEO in a spirit of harmony and cooperation in spite of differences of opinion that may arise during vigorous debates of points at issue. Board member and CEO behaviors are very visible and set the tone for other relationships in the college district.

**Provide Visible Public Support for the CEO**

→ Faculty and staff members (and sometimes students) will, on the occasion of some decision of which they disapprove, take a dim view of the CEO. CEO's often come under attack because they are visible targets symbolizing the district. The confidence and trust between a board and a CEO must be based upon a long-term relationship and not wax and wane with immediate concerns of the campus community. Boards can do a great
deal to support, both publicly and privately, a CEO under fire for making an unpopular, but correct, decision.

- If a board does not have the confidence that the CEO is willing or able to carry out its policies and lead the institution, it must act to change the CEO. Ideally, this kind of change should be done in an orderly and discrete fashion. Tension or lack of trust between a CEO and a board can be very disruptive for the entire district.

**Base Decisions on What is Best for the Community and the College. Not on a Special Interest!**

- Every person has special interests, and most of us belong to groups that advocate for certain values, ideals, or political or religious beliefs. Some board members or their relatives may be employed by businesses that are potential contractors with the college.

**Refer Complaints and Suggestions to the CEO**

- Board members often receive communications from community members, students, or employees of the college district. If the communication reveals a potential administrative problem, the board member should refer it to the CEO to address through appropriate channels.

- If the person is trying to influence a board decision on policy, the board member may chose to listen, but should reserve judgment for the board room where recommendations from shared governance committees and the CEO can be heard.

- Popcock cautions even board chairs to resist the temptation to respond to queries from faculty, students, administrators, and the news media until they are confident of the facts and have consulted with the CEO on the response.

- Board members should never commit to any course of action based upon what they hear from individuals outside a board meeting.

**Make Sure the CEO is the Primary Contact with the College**

- The office of the CEO should be the main point of contact between the board and the college. Having a separate board office on the campus or hiring separate staff for the board threatens the effectiveness of the CEO and invites the board to cross the line between policy and implementation.

- Some CEO’s want all communications from the board members to pass through them. The CEO can then contact appropriate staff members to gather information before
answering the board member’s questions. Other CEO’s are comfortable with trustees contacting other members of the executive leadership team so long as the CEO knows about the contacts and their nature. If this is the case, it is important for both the board members and the executive leadership team to keep the CEO in the information loop.

Board members may choose to visit the campus occasionally to become better informed by talking with students and employees and sitting in on some shared governance committees. Although board members should not feel they need the CEO’s permission to visit, the CEO should always be informed. The CEO staff can help to facilitate the visit. A trustee, who does not inform the CEO about campus visits, can by this action, convey a lack of trust in the CEO.

A meeting between a union representative and a board member during a collective bargaining impasse can damage the negotiation process. A board member who consistently attends a shared governance committee runs the risk of inhibiting discussion and interfering with a process which is intended to bring informed recommendations to the board.

Protect the Mission of Student Learning

The mission of a board of trustees, according to Nason, is to act as guardians of the college mission. Trustees must make sure that the institution’s programs conform to its stated purpose and the district funds are spent in support of the mission of student learning. Policies set by the board must be in support of the mission.

Protect the Long-Term Interests of the College

Boards have a special responsibility for future generations of students. While college staff may be focused upon short-term planning. Here again, it is not the responsibility of the board to draw up the long-range plans, but insist that the administration and the faculty do so in terms that the board can approve.

Boards must also assure that colleges have adequate physical facilities. Because colleges are human service institutions, employees tend to focus on the problems of its people and can lose sight of long-term needs for facilities.

Prepare Adequately for Each Meeting

Trustees must pledge to devote sufficient time, thought, and study to their duties as board members so they can render effective and creditable service. This especially means attending board meetings on time, reading agenda materials, and preparing for board meetings.
Board members who need additional information about an item on the agenda should let the CEO know enough in advance to prepare the information. CEO's expect that the board members will not surprise them or other staff at a board meeting. Trustees who attend board meetings unprepared not only lose effectiveness themselves, but they also affect the operation of the entire board.

**Maintain Appropriate Confidentiality**

- Board members and their CEO's must recognize that deliberations and discussions of the board, staff, and legal counsel in closed or executive session are not to be released or discussed in public without the prior approval of the board by majority vote.

- Open meeting laws in most states restrict closed-session topics to such items as personnel matters, student discipline, pending litigation, salary negotiations, and land acquisition. Disclosure of confidential information is not only un-ethical; it may result in litigation against the college and individuals involved.

- "It has become politically correct to maintain that everyone is equally capable of discharging board responsibilities, but that is simply not true."

**Avoid Public Criticism of the CEO**

- Trustees should never criticize their CEO or other college staff in an open meeting. Formative evaluation comments can be made to the CEO in private. Closed sessions can be scheduled to evaluate the CEO as needed.

- Public criticism undermines the ability of the CEO to provide effective leadership and doesn't reflect well on the board.

**Control Inappropriate Behavior of Fellow Board Members**

- Popcock points out that no CEO should be expected to discipline a trustee. A board chair can be very helpful by discussing concerns with a particular trustee in private. There may be occasions in which the whole board may have to deal with a disruptive trustee or with one who is not living up to expectations or standards of ethics.

- Unfortunately, open meeting laws in some states do not permit a board to address these issues in closed or executive sessions.

**Recognize the CEO and other College Staff for Local, State and National Leadership Roles and Achievements**
Public recognition for achievements can be an important motivator. Although a good CEO will frequently recognize other staff members and extend credit for successes to others, a CEO is often uncomfortable pointing out personal and professional achievements. Trustees, however, are in a position to publicly recognize the CEO as well as other college employees.

Support the Professional Involvement and Development of the CEO

Trustees should provide sufficient funds for the CEO to travel and to represent the college and to engage in professional activities. Boards have a lot invested in their CEOs. It is important to protect and develop that investment by making sure that the CEO has the support to attend important conferences and to serve on important professional commissions and committees.

Likewise, it is important for trustees to attend conferences and to engage in professional development activities. Board members can improve skills, become better informed, and learn from their colleagues in other colleges. Trying to save money by cutting board and CEO travel budgets can prove costly in the long run.

Regularly Review the CEO's Employment Contract to be Sure It's Provisions are Both Fair and Competitive

The CEO's contract should clearly state the terms of employment, including duties, salary, benefits, expense allowances, important working conditions, and the term of office. CEOs and boards should never agree to any benefit that is not included in writing in the contract.

The contract serves as a written record and can be used to prevent misunderstandings which otherwise could prove to be embarrassing to the CEO and the board.

One important provision for a board to consider in a CEO contract is a sufficient expense allowance for the CEO to attend important community activities and to represent the college at local events.

The CEO is often the most visible symbol of the college in the community. If community leaders view the CEO as a supporter of the community, they are most likely to support the college.

When colleges have effective CEOs, boards should do what they can, within reason, to retain them.
The correct match between skills and abilities of the CEO and the needs for leadership of the district is not always easy to find. Moreover, a CEO search is costly in terms of time and money.

**Leadership Changes Should be Planned**

- If the majority of the board determines that it is necessary to make a change in CEO leadership, the board should communicate this to the CEO in a closed session board meeting. It would be unusual for a CEO to be surprised by an action like this because of the informal and formal feedback provided by the evaluation process.
- It is important for the board to make its decision known to the CEO clearly and in enough time for the CEO to plan for the future. Likewise, it is important for the CEO to communicate plans to leave a leadership position in a timely enough manner for the board to plan for the future of the college.
- The board will need to decide whether to employ a search consultant, what characteristics would be desirable in a new CEO, and what the involvement of college staff will be in the search process. All too often, changes in leadership are accompanied by controversy. Newspaper articles and contentious lawsuits focus negative attention on the college.
- Barring evidence of unethical conduct on the part of the CEO, the board’s responsibility to protect the CEO does not end until the CEO leaves. If the board were to help with the transition of the CEO, it should be possible to avoid these problems.
- The colleges identified as the best are those that have histories of strong and stable leadership at the board and CEO levels. Positive relationships between boards and CEOs do not develop accidentally. They must be continually nourished and developed.

**In Summary**

- By understanding the expectations that boards hold for them, CEOs can provide the level of support their trustees deserve. By understanding the expectations that CEOs have for boards, trustees can provide the climate for effective leadership.
Inside Higher Ed (insidehighered.com)

Renewing the Presidency

April 5, 2006

David E. Shi loves his job. But two years ago, almost a decade into his presidency at Furman University, he found himself at a career crossroads. An established historian, Shi yearned to research and write again, and like many college presidents, he felt worn down by the increasing demands of the job — particularly after an emotionally wrenching year in which members of the South Carolina institution’s soccer team had been killed in a traffic accident.

With one major fund raising campaign winding down and Furman officials beginning to think about a new one, Shi thought it might be time to pack it in.

“In advance of the campaign getting launched in a public way, it seemed like it might be an opportune time for me to revert to full-time professoring and scholarship,” he says.

When Shi mentioned that possibility to leaders of the Board of Trustees during his annual review in 2003, they were loathe to lose him. So they suggested an alternative: a sabbatical that would give Shi a chance to do the research he longed for and, importantly, recharge his batteries.

“If it all went as you hope it would, we’d get a guy back who’s refreshed and ready to go,” says Bill Howes, chairman of the Furman board. “If David can come back fired up, and we can go into this next campaign and accomplish our two goals — a science building renewal and building that endowment — the school will have made 60 years of progress in David’s 15 years.”

Next fall, after the freshmen get settled in orientation, Shi will leave Furman, not to return until a few weeks before graduation — eight months in all.

Many colleges give their chief executives a sabbatical as they leave their jobs, usually to help them make the transition back to the faculty (though occasionally to entice them out of the president’s office). Statistics compiled by the American Council on Education in 2001 show that 17 percent of all presidential contracts had provisions calling for sabbaticals. But sabbaticals in the middle of a president’s term are relatively uncommon, and extremely rare outside a relatively small group of private liberal arts institutions.

That may be partially due to the mechanical challenges posed by the idea of a presidential sabbatical — how and when can a president afford to leave? who should fill in while he or she is gone? — and partly by the political challenge of “selling” the idea of a president taking time off to board members or, at public universities, legislators.

But presidents who’ve taken sabbaticals and some experts on the academic presidency say they believe more boards should consider providing leaves as a way of extending the life of successful presidencies.
"We recommend that board chairs consider the value of a sabbatical to a long-serving president," says Susan Johnston, executive vice president of the Association of Governing Boards of Colleges and Universities. "It's a way to sustain a president's interest in serving the institution, and to recognize the pressures, the workload and the time commitment that are growing in those jobs."

Time-Honored Tradition

Sabbaticals are standard practice in higher education, more than in any other professional field; many if not most colleges have policies allowing paid leave for their faculty members after a certain number of years of service - usually six or seven.

Columbia University's trustees, in 1907, offered a rationale for why: "The practice now prevalent in colleges and universities of this country of granting periodical leaves of absence to their professors was established not in the interest of the professors themselves but for the good of university education. University teaching must be progressive; it requires on the part of the teaching body, as it were, a periodical refurbishing of its equipment. It is not merely national, it is international; contact with other institutions, with specialists of other countries, with methods of acquiring and imparting in vogue elsewhere, which cannot be obtained during the summer vacation as this is a period of rest practically everywhere, is for the real university teacher an intellectual and practical necessity."

If sabbatical leaves make sense for faculty members, "it's hard not to think it would be good for presidents as well," says Kathryn Mohrman, who as president of Colorado College took a one-semester sabbatical in 2002 in which she taught American studies at China's Sichuan University. (She is now executive director of the Hopkins Nanjing Center at Johns Hopkins University's School of Advanced International Studies.)

But political and practical considerations of various kinds make that not so, she and others say. The idea seems especially foreign at public institutions, "because of the accountability issues that public presidents are always dealing with," says Claire Van Ummersen, vice president and director of the Center for Effective Leadership at the American Council on Education.

"Imagine," she says, "a public board meeting in which the chairman says that the board is going to let the president go for four or five months and pay his or her salary." In a climate of increasing scrutiny of executive compensation, she says, "you can just see the board chair being called in to the governor to try to explain why."

Presidential sabbaticals might face fewer political obstacles at private institutions, and particularly small ones, Van Ummersen says, "because those institutions do not have huge research agendas and are not dealing with pressure of the legislature." Liberal arts colleges are "something you can get your arms around a little more easily," adds Frances D. Fergusson, who took three sabbaticals during her 20-year term as president of Vassar College, which ends this summer. But even at those institutions, she and others say, mechanical considerations may limit their likelihood.

"What might give a board pause is, 'So how do we manage this? Who runs the institution while the president is away?' " says Johnston of the Association of Governing Boards.
While those practical considerations can present some meaningful hurdles, many experts on the academic presidency argue that the benefits of sabbaticals outweigh the potential risks – especially in an era in which the demands on college chiefs are growing.

"The demands are clearly growing, and these jobs have a 24-hour nature," says Eugene L. Anderson of the American Council on Education’s Center for Policy Analysis, which publishes The American College President, an occasional survey.

"The life of a president is a very frenetic one, carried out very much in the public eye, and one has less opportunity than would be desirable to reflect and recharge," says Joanne V. Creighton, president of Mount Holyoke, who took a 2002 sabbatical in which she traveled, served as a dissertation reviewer, wrote scholarly papers and "reflected on her presidency." "It was an opportunity to pull out of the heat of the schedule of a president, and it had significant recharging benefits – especially intellectual recharging. Presidents are people, too, and they get tired."

Adds Stuart Bounds, who, as president of Maryland’s Chesapeake College, was the rare recipient of a sabbatical at a public community college: "The inherent nature of the job is such that you get so caught up in keeping up with the day to day issues on the campus and in the community that, if you’re not careful, you will really lose sight of the most important issues that drive your thinking and commitment to the college and higher ed in general." After his three month leave last summer, in which the president participated in the Oxford Round Table in Higher Education Leadership at the University of Oxford and examined the role and future of community colleges, Bounds says he returned “with a sense of starting anew, and a fresh commitment to the job I’ve had since 1984.”

**Looking Forward at Furman**

That outcome is precisely what trustees at Furman had in mind in suggesting a sabbatical for David Shi, Howes, the board chairman, says that Shi has done a "marvelous job" as president, and that when he made noises about returning to the faculty full time, the board did not relish the idea of beginning its next fund raising campaign with anyone else at the controls.

So board leaders suggested that Shi explore the idea of a sabbatical, with the idea that it would produce a “renewal of energy and spirit on the part of our president that benefits the university because he reups his commitments, intellectually and in terms of energy, and we get to see how another member or two of our administration perform with David being gone," says Howes. "It just seemed like a win-win situation."

After mulling it over, Shi thought so, too. It will allow him to complete the eighth edition of America: A Narrative History (W. W. Norton), the nation’s best-selling history textbook, and design a seminar he plans to teach as part of Furman’s new core curriculum for freshmen. He will leave early in the 2006-7 academic year, after convocation, and return about two weeks before graduation, in time to hand out the diplomas and help with the public launch of the fund raising drive. Thomas Kazee, Furman’s vice president for academic affairs and dean of the faculty, will act as president, and Linda Bartlett, associate academic dean, will fill in for Kazee as dean.
“It’s the best of both worlds: This will allow me to get done what I wanted to do from a scholarly and teaching standpoint and then come back and get this campaign back to a roaring start and ideally see it to its fruition,” says Shi, who describes presidential sabbaticals as “another tool in the toolbox that boards of trustees can use to nurture and sustain effective presidencies.”

Oberlin College, often a pioneer in higher education, was out front on this approach, too: Every Oberlin president since the turn of the 20th century has taken a sabbatical, says President Nancy S. Dye, who, like all her predecessors, visited Asia on her 2000 leave. Dye says that her time away “changed the way I see undergraduate education, and changed what I think the priorities of Oberlin should be,” with a particular emphasis on international education.

The sabbatical was “good for the college” as well as “an enriching experience for me intellectually” — so much so, says Dye, who is finishing up her 12th year at the Ohio college, that she’s “looking forward to putting in a request for another one.”

— Doug Lederman
GOVERNANCE LEADERSHIP INSTITUTE

The Crucial Leadership Role of the Chair and the Executive Committee of the Board

Leadership and Fundraising

Accountability, Assessment and Planning
ACCT
ASSOCIATION OF COMMUNITY COLLEGE TRUSTEES

Presidential Evaluation:
How to define the evaluation components?

Critical Responsibilities of the Board

ACCT
ASSOCIATION OF COMMUNITY COLLEGE TRUSTEES

How colleges and systems handle evaluation and self-assessment?

Goal: How to Support the President and Make Evaluation a Rewarding Experience
An Effective Presidential Evaluation Process is a Prudent Investment

- CEO contract – Any parameters or expectations?
- Timeline – How often?
- Process – Who should be involved?
- Instrument and documentation – Data and documentation
- Discussion and consensus – Sharing information
- Formal agreements and next steps

Get Your Bearings

- What do you need to know to design an effective evaluation process?

Outcomes!

- Stronger relationships!
- Board Members more supportive!
- Presidents and Board working as a team!
Plan the Process

- Study how other colleges conduct presidential evaluations
- Involve the president and all board members
- Focus on priorities
- Cover as many different topics as you can

ACCT
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COMMUNITY COLLEGE TRUSTEES

www.acct.org

Center for Effective Governance

Resource available to Boards and Presidents

What criteria should we use?

- Community Representation
- Policy Implementation
- Board–CEO Relations
- College Operations
- Monitor Institutional Performance
- Fundraising
- Communication
- External and internal relationships
How do we design an instrument?

Performance
Excellent
Good
Adequate
Marginal
Poor

To get numerical averages, respondents might be asked to rate the statement according to a scale

Board–CEO Relations

• The board and CEO have a positive, cooperative relationship.
• A climate of mutual trust and respect exists between the board and CEO.
• The board sets clear expectations for the CEO.
• The CEO’s job description is current and accurate.
• The board provides a high level of support to the chief executive.
• The board maintains open communication with the CEO.

Open Ended Questions

A evaluation instrument may be designed with space for general comments under each item or at the end of each section of the form. Some general questions include:

– What are the president’s greatest strengths?

– What are the major accomplishments of the president in the past year?

– What areas in which the president could improve?
Strengthen and Build the Relationship

- Get to know the expectation of all board members and the president
- Take advantage of what others have learned
- Be clear on expectations and time frame

Reward and Celebrate

Focus should be:

Good Team to a Great Team!
Board Leadership Services

How to contact us:

Narcisa A. Polonio
ACCT – Vice President for Board Leadership Services
Npolonio@acct.org
(202) 775-4667, Ext. 118
(202) 276-1983
Conducting a Presidential Evaluation
Can Benefit the Board, the CEO and the College

By Narciso Polonio
ACCT Vice President for Board Leadership Services

Conducting a board retreat is a valuable way to facilitate the president's evaluation.
One trustee suggested that boards should move away from evaluation to "value-action." That approach would focus on the positive, but also identify areas that require greater attention by the CEO and the board.

One of the outcomes of the presidential assessment is to strengthen the relationship between the CEO and the board. It sets the stage for objective consideration of strengths and weaknesses, recognizing superior performance and challenges the CEO to constantly strive for improvement. It should also serve as an example of the board and president's commitment to accountability at all levels of the institution.

The assessment should never be about "getting the president." Dedicating time to design a process and to implement an effective evaluation is a prudent investment benefiting the president, the board and thus the college community. ACCT encourages boards to consider planning a retreat dedicated to the presidential evaluation and board self-assessment, and, if appropriate, to bring in an experienced facilitator to guide the discussion.

Why do many boards find it difficult to conduct the president's evaluation?
The relations of the board and the president is not just a typical supervisor-subordinate relationship.
We are all used to the one-on-one evaluation where a supervisor and subordinate meet to discuss performance. The relationship of the president and board is different from any other relationship within the institution. The president works for and reports to the full board—not to just one board member.

While this may be an obvious distinction, it adds a level of complexity. Board members are not on campus every day to observe every detail of the president's performance. The president is probably much more knowledgeable about all the requirements and pressures of the position than individual trustees. The president and board are dependent on each other. Sometimes the board will lead, but often it is the president who guides and leads the board. Adding to this complexity are the diverse opinions, experiences and points of view represented on the board.

Some boards find it difficult to take on this responsibility. Very often the reluctance has to do with emotions and experiences that many individuals connect to evaluation. It can be perceived as confrontational and negative; some even believe it is inappropriate to evaluate the president.

Some trustees don't have a lot of experience in this area and are just not sure what is appropriate in academia. Others find it embarrassing and confusing; still others find it difficult to agree with other members of the board. Many board members are aware of the dangers in conducting an assessment, and others choose to simply avoid or delegate the responsibility to the chair or a smaller group of interested trustees.

What do boards frequently want to aid their evaluations?
Many board members who contact ACCT are looking for a ready-made instrument that they can share with the rest of the board and get the evaluation process out of the way. We suggest to them that the
role of the president is too critical to the well-being of the institution to be handled in a routine way.

Assessing the CEO is one of the key responsibilities of the board. It is imperative that boards, with the assistance and cooperation of the president, dedicate the time necessary for a careful analysis. A commitment to an appropriate evaluation design and process is a valuable investment of time. Experience shows that it will take a couple of years of enduring the process and making adjustments for the board and president to be comfortable with a design and process that meets their needs.

What do presidents want?
Most presidents reach out to ACCT looking for expert advice on how to best assist their board. We find that many feel uncomfortable about having to provide guidance to the board, wanting to make sure they seek information on "what has worked best in other colleges" and to provide alternative approaches and instruments to their board. Most want to be involved, but do not want to be perceived as trying to manipulate the board. Many are eager to obtain feedback from their board and are very supportive of the idea of participating in an annual assessment process.

What has ACCT learned?
When it comes to handling presidential evaluations, boards fall into the following categories:
- Formal – The board follows a well-designed process with clear timelines and expectations. It includes opportunities for discussion, provides written feedback to the president, and establishes the goals, priorities and timeframe for the

---

### A Sample Evaluation and Board Self-Assessment Process

- Assess the most recent performance as a mechanism for constructive consideration of strengths and weaknesses.
- Recognize superior performance and the need for constant improvement.
- Enhance the board/CEO relationship and the unique leadership partnership.
- Set standards and heightened morale on campus by setting an example.

**Preliminary Work**

President prepares self-assessment report based on goals and priorities previously established with the board.

1. Annual goals/objectives and strategic initiatives established jointly by the president and board.
2. State of the college—status report of the college on key indicators such as enrollment, fundraising, overall functioning and stability of the institution, status of strategic plans, etc.
3. Trustees complete survey form on president's performance.
   a. Sample list of performance review criteria:
      i. Leadership on campus and in the community
      ii. Communication with the board
      iii. Representation of the district
      iv. Administrative and management skills
      v. Fiscal management
      vi. Personal attributes including trust and integrity
4. Self-evaluation form on board's performance (rate both board and individual performance).
5. Prepare summary of both trustee surveys.

** fase-and Workshop**
- President to present both self-evaluation and state of the college and participate in questions and answers with the board.
- Distribute and discuss the summary findings from the completed surveys on the president's performance and board's self-evaluation.
- Facilitate discussion on accomplishments and items needing further attention by the president, the board and individual trustees.
- Set goals and priorities and the timeframe for the next evaluation and self-assessment process and provide a letter summarizing assessment to the president.

*continued on page 42*
BOARD SERVICES (continued from page 41)

next review. All the board members and the president are comfortable with the process.

- Informal — The board and the president meet, the president presents information to the board, and an informal discussion takes place.

- Avoid it — The board is busy and puts off the evaluation for a year or two.

- Don’t do it — The board has no formal evaluation process and historically has not conducted presidential evaluations.

- Adopt an instrument or process from another college — The board follows a procedure developed elsewhere and follows the required steps.

- Ask the president — The board asks the president to conduct research on how other colleges carry out the evaluation and to suggest a process.

The president takes the leadership role in designing, implementing and guiding the discussion.

Why is an effective evaluation a prudent investment?

Where the president and board have taken the challenge to design and implement an effective assessment, the rewards include:

- Enhanced knowledge of the institution by the board and greater understanding of the complexity of the presidency.
- A commitment to nurture and support the president.
- A commitment to hold on to a good leader.
- Greater clarity in goals and priorities.
- A greater focus on expectations and outcomes.
- Greater respect and improved communications.
- Better group and planning skills by the board.
- A sense of ownership and pride in the assessment process.
- An opportunity to reflect and provide important guidance to the president.
- Greater trust between the board and president.

We recommend that the board take on the tasks of reviewing their current evaluation process and consider holding a retreat that would allow them time to work with their president to understand, reflect and appreciate their roles.

The retreat should be conducted in a professional manner, based on mutual consensus and a commitment to strengthening leadership at the college.

To get started, the board and president may want to seek advice from experienced facilitators who can assist with all of the components, including how to maintain confidentiality and guide the discussion. The external facilitator can assist the board by interviewing the president and trustees and incorporating their ideas and suggestions into a customized instrument. The consultant can also analyze data, facilitate a constructive discussion and prepare next steps for the board.

We always recommend combining the president’s evaluation with board self-assessment. Many boards and presidents have worked well together to handle the assessment responsibility. The association has learned a lot from these boards and we want to make sure we continue to share what works well.

Narcia Polonio can be reached at 202-775 4667, ext. 126, cell phone 202-276-1983, or email: npolonio@acct.org.

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Honor Outstanding and Retiring Trustees with an ACCT Lifetime Membership

The Lifetime Membership is a unique opportunity for community, junior, and technical colleges to honor outstanding and retiring board members and to pay special tribute to their many contributions to your institution.

Lifetime Membership fees are invested in the Association of Community College Trustees Trust Fund and managed by a special Trust Fund Board.

Lifetime Membership Fee: $1,000

Lifetime Members receive:

- Complimentary registration to all meetings after retiring from the board
- ACCT’s Trustee Quarterly
- Recognition by your peers at ACCT meetings
GOVERNANCE LEADERSHIP INSTITUTE

PRESIDENTIAL PERFORMANCE APPRAISAL

Please rate the President in the following key functional areas.
1 = does not meet expectations; 2 = meets some expectations; 3 = meets expectations;
4 = exceeds expectations; 5 = significantly exceeds expectations

Please provide comments to improve the performance of the President in specific functions of the job.

Appropriate questions will be designed for each category taking into account the tenure of the President, priorities previously established by the Board and Institutional needs and concerns. ACCT recommends that the performance appraisal instrument be designed with input from the Board and President.

<table>
<thead>
<tr>
<th>Institutional Performance</th>
<th>1</th>
<th>2</th>
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<tbody>
<tr>
<td>(Sample) Provides effective leadership in establishing and maintaining excellent student services</td>
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<td>(Sample) Provides effective leadership for maintenance and upgrade of the physical plant</td>
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<td>(Sample) Is creative and innovative in solving problems and dealing with crisis</td>
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<td>Stays current with trends, information, legislation, and other movements pertinent to the College’s future</td>
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<td>Media relations</td>
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<td>Personnel policies and procedures</td>
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<td>Gives recognition due to staff</td>
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<td>Ensure excellence and quality</td>
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<td>Access to higher education</td>
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<td>Technology</td>
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<tr>
<th>Institutional Leadership</th>
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<tr>
<td>(Sample) Is informed about developments in education, and particularly community colleges</td>
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<td>(Sample) Provides leadership for the professional development of staff, and maintains her own professional development</td>
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<td>College operations</td>
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Sample Evaluation Instrument
For Discussion with ACCT
Not for further distribution

- Vision
- Problems and issues
- Student involvement
- Excellence
- Technology resources
- Inclusiveness
- Strategic plan
- Budget
- Morale

**COMMENTS:**

<table>
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<tr>
<th>External Relations</th>
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<tr>
<td>(Sample) Relationships with the news media and other public relations vehicles within the community</td>
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<td>(Sample) Encourages involvement from and respects all constituencies and gives their issues fair consideration</td>
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<td>College image</td>
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<td>Community partners</td>
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<td>Federal and state level</td>
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<td>Trends and impact on the college</td>
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<td>Visibility</td>
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<td>Leader</td>
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<th>Budgetary/Fiscal Management</th>
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<td>(Sample) Fiscal management</td>
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<td>(Sample) Develops and support appropriate strategies of attracting funds to the institution</td>
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<td>Financial needs</td>
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<td>Ends statements, strategic initiatives</td>
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<td>(Sample) Exercises good judgment in dealing with sensitive issues between people and groups</td>
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<td>(Sample) Is well-organized and efficient in accomplishment of objectives</td>
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<td>Remake decisions</td>
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<td>Respect</td>
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<td>Conflict</td>
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<td>Sensitive to differing needs</td>
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162
Sample Evaluation Instrument
For Discussion with ACCT
Not for further distribution

- High standards
- Professional
- Enthusiasm
- Creative

**COMMENTS:**

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<tr>
<th>Relations with Governing Board</th>
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<tr>
<td>(Sample) Offers professional advice to the board on items requiring board action, with recommendations based on thorough student and analysis and sound educational principles; marshalling as many staff and external points of view, issues, and options as needed for fully informed Board decisions</td>
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<td>Governance policies</td>
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<td>Constructive criticism</td>
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<td>Communicates</td>
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<td>Reports to the Board</td>
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<td>Prepares for meetings</td>
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<td>Keeps the Board informed</td>
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<td>Dealing with the Board as a whole</td>
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<td>Provides effective support</td>
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<th>Specific Performance Goals</th>
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<td>(Sample) Comprehensive diversity policy and plan developed with specific action recommended.</td>
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<td>Major Gifts Campaign</td>
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<td>Facility planned and Moving Forward.</td>
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</table>

**COMMENTS:**

**What initiatives/projects should the President focus on over the next year?**

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163
Guidelines to Successful Presidential Assessment

Wisconsin Technical College District Boards Association
William A. Weary
January 25, 2008
A Short History of Assessment

- 1969  Kingman Brewster
- 1970s SUNY and Florida
- 1980s Fear and distrust
- 1990s Rising profile: "Accountability"
- 2000  Ingram & Weary, Presidential & Board Assessment in Higher Education
- 2000s Sarbanes-Oxley era
Why Assess Presidents?

1. Focuses president’s efforts.
2. Improves presidential performance.
3. Helps board reflect on the institution and the board’s role within it.
4. Draws president and board together.
5. Makes clear the board’s and president’s commitment to accountability.
6. Defines appropriate expectations.
Why Assess Presidents?

7. Steers boards away from "compliance" toward partnership.
The Institutional Agenda

- The most important and frequently the rarest information an institution can have.
- The 6-to-8 tasks the institution must perform over the coming 5-to-7 years.
The Institutional Agenda

- The basis for most institutional tasks and the essential foundation for healthy governance.
- The more widely known and the greater the participation in its generation, the more effective the institution.
Institutional Agenda Exercises

1. Write down the five or so most significant challenges that your institution must address in the next five or so years.

2. Now, on the basis of your list of challenges, write down the five or more jobs that your institution must perform – and complete – if it is to address those challenges successfully.

3. Share those jobs with colleagues.
Criteria for Presidential Assessment

1. Write down the five or so jobs your president must perform if he or she is to further the “agenda” you’ve just prepared.

2. “Specific criteria.”

3. Identify the three or four tasks the president must perform this year – to lay the groundwork for success over the next four or five years.
Sample Sets of Criteria

- Take five or 10 minutes to read through the five sets of criteria for presidential performance reviews (A-E) found in your handouts (pp. 2-12).
- What do you make of each of them? Scribble a few notes on each.
- Discuss your conclusions with those at your tables.
Characteristics of Good Criteria

1. They are most effectively couched in terms of "tasks," "jobs," or "projects."

2. They spring from the "institutional agenda" and relate closely to it.

3. The president has the power to complete them.

4. They describe work that the president alone is most suited to perform.
Characteristics of Good Criteria

5. When considered as a whole they give meaning to the work of the president and the institution.
6. They are supportive and inspiring.
7. They are both broad and specific.
8. The president can speak to them.
9. The community can speak to them.
10. They engage a conversation.
Characteristics of Good Criteria

11. Agreement can be reached on whether the tasks have been completed.
12. Inquiry yields a three-dimensional portrait of the president in action.
13. They are formally agreed to by both board and president, following joint preparation.
Benefits of Sound Criteria

1. They minimize the natural tendency of those within and close to leadership to impose personal whims and preferences on assessment process.

2. They lift assessment to an analytical and institutional plane.
Benefits of Sound Criteria

3. The facilitate community focus on long-range institutional goals (the "agenda").
4. They set, within broader goals, a tone of accountability that is appropriate to a well-functioning and professional institution of higher education.
5. They build broad respect for the institution and its leadership.
Lessons of Presidential Assessment

- When conducted well, it's beneficial.
- There are indeed ways of doing assessment well.
Winston Churchill

"Want of foresight, unwillingness to act when action would be simple and effective, lack of clear thinking, confusion of counsel until the emergency comes, until self-preservation strikes its jarring gong – these are the features which constitute the endless repetition of history."
Presidential Assessment is at its Best When:

1. It has as its major purpose improvement of the president's performance.
2. It engages the president in the process.
3. It occurs within the context of ongoing, expressed support for the president's work.
4. It rests upon clearly stated criteria for performance.
Presidential Assessment is at its Best When:

5. It makes use of reliable evidence – direct observation and firsthand experience.
University and Community College System of Nevada

"The Chancellor will not receive or utilize 'pseudo-quantitative data' collected through anonymous questionnaires. This is the only way to protect the President from bias due to low response rates, incomplete information on the part of respondents, and political interference by organized groups on and off campus. It is also the only way to protect the Chancellor from receiving a meaningless popularity poll."

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Presidential Assessment is at its Best When:

6. It ties into the board’s assessment of its own performance.
7. It forms one piece of institution-wide goal-setting and accountability.
Presidential Assessment is at its Best When:

8. It occurs as a part of a comprehensive and written policy of presidential performance reviews, linked with the board's.

9. It respects and strengthens the presidency, the board, and governance.

10. It is light enough to be carried long distances.
When Sound Presidential Assessment is Not in Place

1. Personal agendas rule, and with them, cliques and politics.
2. Shifting board populations create shifting expectations – and presidential turnover.
When Sound Presidential Assessment is Not in Place

4. Uneasiness and even fear abound.
5. Someone else -- a rogue group of constituents, a faculty senate, or the media -- performs the assessment, and according to their criteria.
Your Own Planning

Take a few moments to write down the three most important conclusions you draw from this morning’s piece of the workshop – as they apply to your college.
Case Studies

1. Read through case studies 1 and 2 (pp. 14 and 16).
2. Write down the three most important conclusions you draw from each.
3. Discuss each document at your table, sharing your conclusions and generating three table responses for each. About 20 minutes.
Best Practice for Presidential Assessment, in:

1. Ongoing presidential assessment
2. Annual presidential assessment
3. Periodic presidential assessment
Ongoing Presidential Assessment

1. What it does not mean.
2. President and board chair.
3. Responsive board.
5. Knowing the institution – and higher education today.
6. Positive references to the president.
7. Gratitude, expressed gratitude.
8. Speaking up for the board and for boards!
Ongoing Presidential Assessment: the President's Role

1. Use of the "annual list" to report back.
2. Ongoing communication with board members.
3. "Sleeplessness."
4. No surprises.
5. Positive references to the board.
7. Education about governance.
Ongoing Presidential Assessment Provides:

1. Shared knowledge.
2. A clear focus on “the agenda.”
4. Openness and resilience.
5. Comfort and the willingness to take risks.
7. A basis for conversation over the years.
Annual Performance Reviews

1. Confidential to the president and the board.
2. Managed by a small board committee.
3. Focal point is the president's self-assessment.
Questions Posed Each Year by the Arizona Board of Regents

1. Provide a brief summary of your performance in addressing the goals and objectives you established for yourself for the year just completed.

2. Describe particularly significant accomplishments during the past year that should be brought to the attention of the board.
Questions Posed Each Year by the Arizona Board of Regents

3. Describe any persistent problems you are facing in your role and identify how the board might assist you in identifying them.

4. What are the major challenges and opportunities the board will face in the coming year?
Questions Posed Each Year by the Arizona Board of Regents

5. Briefly discuss the strengths and weaknesses of your administrative team.

6. Provide a brief summary of your goals and objectives for the university for the year ahead.
Annual Performance Reviews

4. Board member input?
5. Confidential to president and board.
6. Meeting of committee and president to discuss – and set draft goals. The “annual conversation.”
7. Assessment committee report to the board.
Annual Performance Reviews

9. Board ratification of goals.
10. Compensation recommendations and adjustments.
11. Board chair meeting with president.
12. Letter to the file.
Reasons for Failure of (Comprehensive) Reviews

1. Lack of clear criteria, criteria of any kind, or use of institutional, statistical criteria.
2. Use of ill-conceived surveys.
3. Trustee-led interviews.
4. Inappropriate constituent input.
5. Annual application.
6. Absence of overall policy.
Reasons for Failure of (Comprehensive) Reviews

7. An ad hoc approach.
10. Overconfidence.
11. Ignoring the results – or burying them.
Periodic or Comprehensive Performance Reviews

- Every four or five years.
- Synergistic – with the first two forms.

1. Board-approved policy in place – and questions answered (p. 24)
2. Board appointment of an assessment committee.
3. Board "charge" to the committee.
4. Board announcement to the community.
Periodic or Comprehensive Performance Reviews

5. Assessment criteria and materials on which to base them (pp. 25-27).
6. Presidential self-assessment (pp. 28-29).
7. Board survey (pp. 30-32).
6. Interviews (pp. 33).
7. Draft report, going to the president first.
8. Discussion of the report with committee.
9. Presentation to the board of the report.
Periodic or Comprehensive Performance Reviews

10. Board conversation with the president. Major celebration!
11. Further meeting of board chair and president, with letter to the file ratifying any adjustments to compensation.
12. General notice to the community.
The Place of the Board

1. What are the three-to-five most important characteristics required for your board to advance this agenda?
2. What are the five or six most significant obstacles to your board’s best performance?
3. What are the obstacles to your president’s best work?
The Place of the Board

4. What are your president's greatest gifts?

5. Considering the presidential agenda – the list of criteria you assembled this morning – what are three-to-five ways the board can help him or her complete these tasks?
The Place of the Board

6. Considering all of the above, what are the three-to-five tasks the board must perform to meet general standards, advance the institutional agenda, lift board performance, and serve, assist, and support the president?

7. Now write down what the president can do this year to advance the above.

8. Combine the board and presidential!
The Best Case

1. Presidential search based on determination of the institutional agenda.
2. New presidency launched with mutually approved goals, board and president.
3. Annual reports on progress – and new goal setting.
4. Spring retreats.
5. Joint comprehensive review every five-to-six years.
The Return

■ Write down the three tasks you wish to perform on returning to your college.
■ Thank you!
Presidential Assessment

January 25, 2008

William A. Weary
www.fieldstoneconsulting.com
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Washington, DC

9:00 - 9:15 Welcome and overview
9:15 - 9:30 Some history and rationale
9:30 - 10:00 Sound criteria: The key to effective assessment

1. The institutional agenda
2. Criteria for presidential performance and assessment
3. Some sample sets of criteria

10:00 – 10:15 Morning break
10:15 - 10:30 Sound criteria: The key to effective assessment (conclusion)

4. Characteristics of good criteria
5. Benefits of sound criteria

10:30 - 11:00 Principles of sound presidential assessment
11:00 - 12:30 Lunch
12:30 - 1:15 Case studies
1:15 - 2:00 Best assessment practice

1. Ongoing assessment
2. Annual performance review
3. Comprehensive assessment

2:00 - 2:20 The place of the board
2:20 - 2:30 The best case
2:30 - 2:45 Conclusion
# Wisconsin Technical College District Boards Association

Madison, WI

## Presidential Assessment Handouts

January 25, 2008

William A. Weary  
[www.fieldstoneconsulting.com](http://www.fieldstoneconsulting.com)  
Fieldstone Consulting, Inc.  
Washington, DC

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Sample Presidential Assessment Instruments

Assessment Instrument A

For each item, please indicate whether the president’s performance is excellent, good, fair, poor, or that you don’t know.

General administrative effectiveness (Management of human, fiscal, and physical resources)

1. Please rate the president’s effectiveness in:

   (1) Planning
   (2) Decision making
   (3) Solving problems
   (4) Leading change
   (5) Linking plans and actions
   (6) Developing a management team
   (7) Delegating responsibility

2. Please rate the president’s commitment to academic values and university goals

Educational leadership and effectiveness

1. University operations show that plans meeting long-term needs are:

   (1) Developed
   (2) Maintained
   (3) Renewed
2. The president provides leadership and support for:

   (1) Periodic evaluation of educational programs and accomplishments

   (2) An environment that stimulates

       (a) Teaching

       (b) Learning

       (c) Research and scholarship

       (d) Professional development of faculty and staff

   (3) Educational ideas and innovations that enhance the learning environment

Communications

1. The president has established a credible administrative team

2. The president encourages and supports open lines of communication throughout the university.

3. Consultation and participation are encouraged and valued.

4. The president effectively promotes a sense of community.

Advancement

1. There is solid evidence of community understanding and support for the university.

2. The president establishes and maintains constructive relations with the media.

3. The president provides leadership and supports effective institutional advancement programs including fundraising and alumni programs.

4. The president effectively enhances the local, regional, and national reputation of the university.
Personal attributes

1. How well does the president:

   (1) Articulate concepts and initiatives?

   (2) Build a strong sense of team?

   (3) Solve problems effectively?

   (4) Solve problems innovatively?

   (5) Take into account the public relations and political implications of actions?

   (6) Deal with many different problems and events simultaneously?

   (7) Withstand criticism and direct opposition into productive channels?

   (8) Understand issues and facts before making decisions?

   (9) Get to the central issues in complex problems?

   (10) Promote coordination and efficiency in programs and operations?

2. The operations of the university give positive evidence of the president’s knowledge of the job, judgment, leadership, flexibility, planning and organizational skills, vision, human relations and communications skills, objectivity, and fairness.
Assessment Instrument B

1. Provide leadership for the University's strategic responses to the state funding environment
   (1) Capital campaign.
   (2) Alignment of budgeting, resource allocation, and incentive systems.
   (3) Achievement of efficiencies.

2. Provide leadership for the development of a campus environment focused on providing outstanding experiences and services to students, and fostering trust and respect between all members of the University community.
   (1) Student advising.
   (2) Communication.
   (3) Campus culture.

3. Provide leadership to ensure the University's continued progress in advancing its strategic directions and goals.
   (1) Research and technology center.
   (2) Inter- and intra-institutional collaboration.
   (3) Continued implementation of the strategic plan.
   (4) Implementation of University initiatives.
   (5) Focused accreditation visit.
   (6) Development of capacity-based enrollment model.
Assessment Instrument C

1. Increase revenue

   A. Launch the capital campaign
      1. Complete the approval of the campaign case for support.
      2. Complete the implementation of database screening.
      3. Complete the kickoff of the family gifts division.
      4. Complete the determination of the scope of the capital campaign.
      5. Complete implementation of the solicitation and enlistment of campaign general chair.
      6. Complete the faculty and staff campaign.
      7. Complete the regional prospect review and cultivation.
      8. Complete small group cultivation meetings and top donors one-on-one cultivations.

   B. Increase external funding for research
      1. Initiate process for design or acquisition and implementation of a secure, Web-based system to aid faculty and administrators with the grant proposal submission process and with retrieving award information.
      2. Provide an update on the collaborative efforts between the University and local business and government leaders in the development of a research infrastructure that will support the growth of academic, industrial, and federal research here.
      3. Assess current research program space and determine the space needed to support the doubling of research funding.
      4. Provide support and cost-sharing that encourage the submission of proposals to major national and state competitions. Compare the results of those efforts to previous years.
      5. Complete an assessment of the need for additional research centers and a review of the current research centers' capacity for increasing their productivity and contribution.
2. Academic program and prioritization

1. Develop plan for identifying high and low priority academic programs and services. Implement process of program and service review for short-term targets.

2. Identify for possible elimination, effective this academic year, degree programs that are inactive and degree programs that are both low-incidence and redundant with regional offerings.

3. Implement process of program and service review for long term targets.

3. Assessment and reporting

A. Student learning

1. Complete the assessment plan for undergraduate student learning that includes the core curriculum as well as majors.

2. Obtain approval of the student assessment plan from the Faculty Senate and Board of Trustees. Submit the assessment plan to the accreditor.

B. Dashboard indicators

1. Develop operational definitions of 3-5 indicators for each of the following areas: Student affairs, enrollment services and admission, retention, financial aid, academic affairs, research, financial planning, space utilization, development athletics, technology, alumni, public perception.

2. Obtain historical data and comparison-institution data. Present a mockup of indicators to the board of trustees.

3. Present to the board of trustees a full set of indicators for the current academic year, and submit a plan for the refinement of the system for the coming year.
4. Implementation of priorities of strategic plan

A. First-year experience

1. Obtain endorsement from appropriate groups for the completed First Year Experience plan for this year and next.
2. Begin implementation of the plan.
3. Present to the board of trustees the finalized FYE program and begin assessing the effectiveness of the program.

B. Implement admission standards and create enrollment model based

1. Communicate changes in admission standards to high schools in the community, the region, and the state, as well as to other relevant community partners.
2. Establish timeline for implementing extended portions of the plan (e.g., advertisement changes for developmental students). Present a progress report on the development of a University enrollment model to the appropriate board of trustees committees. Present to the board of trustees the finalized University enrollment model and report on its implementation.

C. Identify doctoral and research programs for selective investment.

1. Complete the development of a review system of doctoral and graduate programs for selective investment. Complete the identification of high priority programs.
2. Establish a continuing process for aligning resource allocation decisions with these priorities.

D. Enhance culture of shared governance and open communications

1. Complete the identification of exemplary practices from comparison and peer institutions. Present to the board of trustees (at the December or February meeting) a report on the nature and characteristics of shared governance at colleges and universities.
2. Implement the strategies and activities developed by the strategic planning shared-governance implementation committee.
5. Engagement

A. Economic development with a focus on the technology center.
   1. Present to the board of trustees a progress report on the development of a business plan for the technology center.
   2. Complete the development of a plan for a conference that brings together University and community leaders in the discussion of the proposed technology center.
   3. Present to the board of trustees a completed business plan for the technology center.

B. Service learning: Expand, recognize, and reward service learning
   1. Identify and charge with specific responsibilities a council on engagement, comprised of University and community members.
   2. Involving the council on engagement and the office of service learning, compile an inventory of current service learning requirements, options, and activities.
   3. Develop a method for recognition and reward of service learning activities on campus.
   4. Establish goals for increased service learning activities.
   5. Complete the development and implementation of strategies in support of service learning activities.
   6. Continue to monitor the implementation strategies.

C. Government: Strengthen ties and improve effectiveness of relations with local, state, and federal governments.
   1. Complete the development of and begin the implementation of a plan for strengthened ties among the president’s office, state governmental relations consultant, and the office of research services that leads to strengthened ties between the University and local, state, and federal government units.
   2. Complete an assessment of University communication with government units at all levels, the level of exposure of government officials to the campus and research community, the level of awareness of government officials on issues related to the University mission.
6. Diversity

1. Involving the commission on diversity, define diversity.
2. Establish goals for fostering greater diversity for the current academic year and determine procedures for assessing goal achievement.
3. Complete the development of a plan to broaden the scope and increase the effectiveness of the current multicultural student center.
4. Report to the board of trustees a report on the progress in achieving diversity goals, including reports from the African American and Latino advisory groups.

7. Integrated marketing

1. Complete a plan for implementing the reports resulting from the work of the task force for the development of an integrated marketing structure for University marketing and communications.
2. Successfully recruit and hire the individual who will direct the implementation of the integrated marketing plan.
Assessment Instrument D

1. Provide the *US News & World Report* institutional statistics, as well as any others you find relevant.

2. Explain why the institution is not at the top of the list.

3. Provide a plan for reaching the top.

4. Recount what you have done in the last year to move toward the top.

5. Help us understand why you were unable to move further.
Assessment Instrument E

1. Restructure the administration
   i. Form a coherent team.
   ii. Build effectiveness, engagement, and responsiveness.

2. Move the university toward fiscal sustainability.
   i. Build institutional advancement.
   ii. Align programs with mission, need, opportunity, and fiscal reality.
   iii. Expand workforce training.
   iv. Increase grants and contracts.

3. Lift the quality of the academic program.
   i. Initiate student outcomes assessment.
   ii. Reinvigorate program review and rationalization.
   iii. Structure programs for greatest effectiveness and efficiency.
   iv. Attract and retain the best faculty.

4. Increase enrollment and retention, with stronger students.
   i. Create and use a marketing plan.
   ii. Make the university more user friendly.

5. Engage faculty and staff.
   i. Make good use of shared governance.
   ii. Communicate.
   iii. Build morale.

6. Bring the plant into alignment with mission, program, and sound condition.

7. Instill teamwork, process, and entrepreneurial thinking through the campus.

8. Lift the university’s profile and public image.
   i. Develop university support among state, business, and civic leaders.
   ii. Deliver a clear vision and message.
   iii. Enhance the university’s role as valued state partner.

9. Communicate well with the board.
Principles of Effective Presidential Assessment
Lessons from the Field

Presidential assessment is at its best when:

1. It has as its major purpose improvement of the president’s performance.

2. It engages the president in the process.

3. It occurs within the context of ongoing, expressed support for the president’s work.

4. It rests upon clearly stated criteria for performance.

5. It makes use of reliable evidence.

6. It ties into the board’s assessment of its own performance.

7. It forms one piece of institution-wide goal-setting and accountability.

8. It occurs as part of a comprehensive policy of presidential performance reviews and is linked with the board’s.

9. It respects and strengthens the presidency, the board, and governance.

10. It can be carried long distances.
Case Study 1

Late in the spring of his second year at this state university, the president, wishing to consolidate his support and authority, asked the board to conduct a full, 360 degree assessment of his performance. Although the board felt a bit pressured, it complied. The president and board wanted the process wound up by the end of September at the latest.

The first two years had been both successful and difficult, as the president tackled and resolved some significant, long-deferred issues. While most within the community gave him high grades for his energy, focus, and success, the nay-sayers were vocal. Several of those critics also sat on the board and were closely tied not only to the preceding president, but also to one or two key continuing senior administrators.

The board chair appointed an assessment committee of about a dozen trustees (total membership on the board was about 20) and made sure to include one or two of the nay-sayers. Meetings were declared open to any other board members wishing to attend.

The assessment committee’s surveys went out just as the university was concluding the semester and were sent to all board members, administrators, and leaders among the faculty, staff, students, and alumni. Some individuals prominent for years in the life of the university also were included. The survey consisted of a long list of characteristics of an effective president; recipients were asked to comment on each of the characteristics.

Completed questionnaires were to be signed, with title, and returned to the provost’s office, from which they would be forwarded to the assessment committee for its members’ consideration. As the surveys came back in, several members read through them; they paid special attention to those written by their long acquaintances and friends.

An unexpected wrinkle was the return of surveys by only half of the board. Among those returned were several strong, articulate statements of support, as well as some vehement protests and complaints. Under each of the characteristics, most trustees simply noted “excellent” or “very good.” The impression these returns gave was of lackluster support, tainted with opposition.

Comments from those in the university’s employ were extremely positive, detailed, and, often, lengthy. Their cumulative description sounded a bit like, “God on a good day.”

As members of the committee read through the questionnaires and noted both the paucity of board responses and the contrast in tone between those of trustees and employees, they began to worry. They also began to interpret comments in the light of their personal knowledge of the respondents and what those respondents had confided to them along the way.
The assessment committee decided to break itself into small groups and to try at least to interview all of the trustees, in groups. To make sure that those working for the president were being honest (their completed and signed surveys had been sent to the provost's office), the committee also decided to interview the president's direct reports, telephoned all of them for greater precision, and inquired whether they had been fully honest.

By this time, the picture had become quite complex. No shared view had emerged from the process. Doubts had. With no clear course of action to move the process forward, time passed. By late autumn, those around the president -- as well as the president -- had begun to wonder whether the president was "in trouble." Had he done something none of them knew about? Was he really so sterling as they all had imagined? Naysayers could be heard saying that the board finally was getting the message. The president was particularly hurt and confused, and the silence became more deafening.

When the process finally and painfully concluded, in March, the board joined in celebrating the fine work of its president, and told him just how much appreciated he was.

What are the three most important lessons you take away from this case?
Case Study 2

The university recently hired its first president in the last 25 years. Her beloved predecessor and founder still was active in the community and in contact with long-time friends on the board. Of course, no president is perfect, and the board had recognized for many years that lack of attention to issues of program, evaluation, and fiscal health had taken a significant toll on institutional health. The new president was hired to address these issues, and, as part of the new start, the board had put together an assessment process to chart her success in the years to come. Even so, some members of the board yearned in their hearts for the return of the happy days they remembered from a decade ago.

Distributed electronically to all members of the board (foundation board as well), administration, faculty, and student body at the close of the president’s first year, the form (below) asked constituents to return their assessment by July 1 to the university’s human resource department.

When the completed reports were reviewed, the board’s assessment committee noted that:

1. Board members consistently wrote in the margins that they couldn’t accurately gauge a knowledgeable response for the categories of “leadership,” “academic management,” “strategic planning,” “administrative management,” and “internal management,” though they’d heard little positive in this last category. The board also had to rate the president low in both “fundraising” and “external relations.”

2. Faculty, staff, and students registered extreme displeasure with a seemingly isolated president and one intent on doing business in ways new to them.

3. Administrators’ assessments were badly split.

4. Numbers of faculty, staff, and student responses were disappointingly low.

The assessment committee sat down with the president that summer and reported the very disturbing results of this first year. She clearly, it concluded, had not kept her board informed of her work, and her faculty and students were in an uproar. Where was the esprit de corps and high morale the board required? And how could an administrative staff show so little overall support for a president members had helped to select?

The assessment committee recommended to the board that it continue to meet, and on a monthly basis, to monitor the president and assess whether this period of probation should result in early termination of the contract. The survey would be distributed again in January, with redoubled attempts to increase numbers of respondents. No ratings of individual sections could fall below a five.

The president, who had spent a difficult year moving the board’s agenda forward, left the meeting feeling unappreciated and crushed. Was this the right assignment?

What are the three most important lessons you draw from this case study?
Presidential Assessment Instrument

Please return completed form to the Office of Human Resources by July 1!

Constituency (circle one)

1. Board
2. Administration
3. Faculty
4. Professional staff
5. Service staff
6. Students
7. Foundation board

Date

Instructions

The broad areas in which the president should be evaluated are as follows:

1. Leadership.
2. Academic management.
3. Strategic planning.
4. Administrative management.
5. Budget and finance.
6. Fundraising
7. External relations
8. Personal characteristics
9. Internal relations
10. Other

The specific elements of the broad areas listed below can be addressed as open-ended questions or in terms of a rating scale, as follows:

9 = Outstanding
7 = Exceeds expectations
5 = Meets expectations
3 = Improvement needed
1 = Unacceptable
N/A = Not applicable or not observed

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It is anticipated that a successful president who is doing a satisfactory job will be rated as not less than "5" for every element listed below.

1. **Leadership**

*Circle one*

9  8  7  6  5  4  3  2  1  N/A

1. Evidence of ability to identify and analyze problems and issues concerning the institution and to address the problems and issues.
2. Evidence of ability to identify potential areas of conflict and to develop solutions in a timely fashion.
3. Evidence of ability to be on top of matters of critical importance to the institution.
4. Evidence of contributions to education statewide.
5. Ability to provide effective leadership in the development of inter-institutional policies.
6. Evidence of high esteem for the president on the part of colleagues in other education programs within the state.
7. Ability to make decisions in critical situations and to handle crises in a way that inspires confidence in the institutional head and in the institution.
8. Awareness of the implications of decisions and the ability to assume the responsibility for decisions.
9. Ability to implement decisions and awareness of the impact of the decisions.
10. Communicates well with the board of regents and the administration, as well as the faculty, staff, and students.
11. Keeps the board of regents adequately informed on a timely basis on issues.
12. Develops support for board policies and actions with the campus constituencies and the local community, the legislature and the state.
13. Promotes esprit de corps and group identity within the campus community.
14. Is accessible; promotes a feeling of openness in seeking the thinking of others.
15. Is credible and honest in relationships with others.
16. Has the ability to relate well with students, faculty, and staff.
2. **Academic management**

*Circle one*

9 8 7 6 5 4 3 2 1 N/A

1. Existence of a sound academic program to carry out the mission of the institution.
2. Existence of effective planning and well developed and widely understood institutional goals and objectives.
3. Existence of evaluation procedures to insure the quality and relevance of all aspects of the academic and academic support services.
4. Evidence that the planning process is responsive to the changing circumstances of the institution, student needs, and needs of the society and is consistent with board directive and policies.
5. Ability to identify, encourage, and initiate needed changes in the curriculum.
6. Evidence that the president has contributed substantially to the development and enhancement of the academic quality of the institution.
7. Evidence of the president's ability to attract high quality personnel to achieve an academic program of some excellence.

3. **Strategic planning**

*Circle one*

9 8 7 6 5 4 3 2 1 N/A

1. Is there full commitment to the goals established by the board for the institution?

4. **Administrative management**

*Circle one*

9 8 7 6 5 4 3 2 1 N/A

1. Have outstanding administrative associates been appointed? If not, has corrective action been taken?
2. Is morale of the employees high?
3. Are there satisfactory procedures in place for evaluating administrative and service staff?
4. Has the president established effective administration of the major support functions of the institution, such as purchasing, personnel, alumni relations, physical plan management, capital planning?
5. Is the president available for timely resolution of differences between administrators, establishment of policies, and solutions to administrative problems?
6. Are reports to the board timely, accurate, and of high quality?
7. Has the president established standards of control, review, and follow-up to ensure efficient and effective completion of tasks?
8. Does the president delegate appropriate authority to subordinates and then support the subordinates in carrying out the responsibilities?
9. Does the president encourage participative decision-making, seeking ideas and comments from those most directly affected by potential decisions?
10. Does the president have the ability to make sound, logical decisions under stress?
11. Is there a willingness to assume responsibility for decision-making and the decisions made?

5. Budget and finance

Circle one

9 8 7 6 5 4 3 2 1 N/A

1. Is there evidence of a thorough understanding of the budget and the budgetary process?
2. Are proposals, contracts, and other policy issues requiring board approval developed and presented in timely and effective fashion?
3. Are financial reports to the board complete, accurate, and of high quality?
4. Is there careful adherence to board policies previously established, including collective bargaining contracts, when developing the budgets and fiscal policies of the institution?
5. Are decisions as to priorities among budget categories and programs made in an effective and timely manner?
6. Is there evidence that the essential missions and programs of the institution are given high priority in budgetary allocations?
7. Is there evidence that certain programs of lesser importance to the mission of the institution are given higher priority than appropriate, i.e. athletics, etc.?
8. Is there evidence that the president effectively addresses budget issues in a way to achieve more efficient and effective utilization of resources, including reallocations of funds?

9. Is there an effective process for the costing of proposals presented to the board for approval?

6. **Fundraising**

*Circle one*

| 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N/A |

Does the president have a favorable record of attracting funds to the institution?

1. Federal grants and contracts
2. Building funds
3. Academic gift funds

7. **External relations**

*Circle one*

| 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N/A |

1. Demonstrates the ability to relate to and communicate with a larger community external to the institution.
2. Represents the institution in a positive manner to its various publics.
3. Demonstrates strong support and trust from:

   a. The community.
   b. Special groups, such as minority community, service organizations, business leaders, etc.
   c. Municipal leaders.
   d. Legislative representatives from the area.
   e. State offices and departments.
   f. Other sectors of education through the state coordinating council for post-high school education.
8. **Personal characteristics**

_Circle one_

| 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N/A |

1. How is the incumbent rated as to:
   
   a. Poise under pressure?
   b. Integrity?
   c. Openness?
   d. Energy?
   e. Skill in relating to others?

2. Sensitivity to:
   
   a. Student and staff needs?
   b. Affirmative action?

9. **Internal relations**

_Circle one_

| 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N/A |

**Faculty**

1. Is there a sensitivity to:
   
   a. Meaningful participation in governance?
   b. The need for appropriate grievance procedures?
   c. The need for affirmative action programs?
   d. The need for adequate communication mechanisms?
e. Faculty fears and concerns?

2. Morale
3. Governance

**Students**

1. Is there a sensitivity to:
   a. The needs of students with respect to their various activities at the institution?
   b. Student participation in governance?
   c. Effective communication with students?

10. **Other items of interest**

**Circle one**

9  8  7  6  5  4  3  2  1  N/A

**Area**

1. Leadership
2. Academic management
3. Strategic planning
4. Administrative management
5. Budget and finance
6. Fundraising
7. External relations
8. Personal characteristics
9. Internal relations
10. Other

**Total of the above**

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Questions for the Board to Answer Before Beginning a Comprehensive Presidential Assessment and/or Creating Policy

1. What do our bylaws, policies, and applicable state and/or system regulations say?

2. What is the rationale for performing the presidential assessment? What are the intended outcomes?

3. What is the reason for conducting it now?

4. By which date does the board wish the assessment concluded?

5. Which group will be responsible for conducting the assessment? Who will serve? Why? What exact tasks will it perform?

6. Who will provide staff support for the committee’s work?

7. What role will the president play in the process?

8. What are the criteria upon which the assessment will be based?

9. In what ways does the board’s performance figure in a presidential assessment?

10. Upon what kinds of evidence and information -- in terms of both documentation and interviews -- should the assessment be based?

11. How does the board wish to conclude the assessment process?

12. What kind of a report will be made to the community following the assessment?

13. What degree of openness should surround the process? Who sees the president’s self-assessment? The board’s assessment of the president? The final report and recommendations? Who keeps copies of them?

14. Should a consultant assist the process? What role should she or he play? How do we select one?

15. How does the board wish to announce the process?

16. What can be budgeted for this process?

17. How do we inform the assessment committee of our intentions?
Sample Criteria for a Comprehensive Presidential Assessment

General Criteria for Presidential Assessment

1. Academic leadership
2. Administrative management
3. Fiscal management
4. Personnel management
5. Fundraising
6. Relationships with the board
7. Relationships to internal constituencies
8. Relationships with external constituencies
9. Appropriate personal characteristics and style

Specific Criteria for Presidential Assessment

10. Restructure the administration

   (1) Form a coherent team.
   (2) Build effectiveness, engagement, and responsiveness.

11. Move the university toward fiscal sustainability.

   (1) Build institutional advancement.
   (2) Align programs with mission, need, opportunity, and fiscal reality.
   (3) Expand workforce training.
   (4) Increase grants and contracts.
12. Lift the quality of the academic program.
   (1) Initiate student outcomes assessment.
   (2) Reinvigorate program review and rationalization.
   (3) Structure programs for greatest effectiveness and efficiency.
   (4) Attract and retain the best faculty.

13. Increase enrollment and retention, with stronger students.
   (1) Create and use a marketing plan.
   (2) Make the university more user friendly.

14. Engage faculty and staff.
   (1) Make good use of shared governance.
   (2) Communicate.
   (3) Build morale.

15. Bring the plant into alignment with mission, program, and sound condition.

16. Instill teamwork, process, and entrepreneurial thinking throughout the campus.

17. Lift the university’s profile and public image.
   (1) Develop university support among state, business, and civic leaders.
   (2) Deliver a clear vision and message.
   (3) Enhance the university’s role as valued state partner.

18. Communicate well with the board.
Materials Helpful in Generating a Set of Criteria for Assessment

- An institutional profile
- The admission brochure
- The course catalog
- The most recent annual report
- Copies of alumni magazines, newsletters, and campaign literature
- A selection of recent media articles and press releases
- The executive summary of any fairly recent accrediting team’s report
- Presidential speeches and statements with impact on institutional goals and policy
- A board list, including names and occupations, length of service, and positions
- The board bylaws and articles of incorporation
- Any board policy manual or compilation of policy statements
- Illustrative minutes of board meetings (two or three sets)
- Current board and institutional plans and/or mission statements (goals and objectives)
- The leadership statement used in selecting the current president
- Any performance goals from annual performance reviews and any records from those reviews.
- The president’s current letter of appointment or contract
- Other relevant documents
Guidelines for Preparation of the President’s Self-Assessment

Possible Subjects

1. Major achievements (for a specified period of time), especially as measured against board expectations, if these were made clear

2. Major unmet goals and objectives (with elaboration about the causes of any frustration)

3. Assessment of working relationships with key groups -- board; alumni (association); faculty (senate); students (government); business community; governments; others

4. Key areas in which the governing board has been especially supportive, or in which the presidency and president would benefit from more support

5. What any president should do at any institution, what any president should do at this institution, what this president should be doing at this institution

6. Professional needs (including professional development, sabbatical plans, etc.)

7. Personal needs (including spousal, as they relate to her or his role in representing the institution)

8. Major goals and objectives for the period to come. Changes in job requirements -- institutional “agenda” -- since taking the position

Possible Questions

1. In the first year or two of your presidency, did you have any sense of having been misinformed or misled? What has surprised you at any point in your presidency?

2. What’s changed? Is there a new agenda? Whose? What do you need to accomplish it?
3. What do you want to learn or accomplish in this process of assessment?

4. What do you see as the board’s priorities? What will it need to accomplish them?

5. What should be the board’s goals for the coming year? The coming three years?

6. Is this a “different” board from the one that appointed you? In what ways? Why?

7. What new tools do you need to continue an effective presidency?
Sample Board Questionnaire for Presidential Assessment

Following is a general summary of presidential responsibilities, as well as the current presidential goals from which the president and board are working. Please review them and then complete the sentences that follow ... from your own perspective.

**General Criteria for Presidential Assessment**

1. Academic leadership
2. Administrative management
3. Fiscal management
4. Personnel management
5. Fundraising
6. Relationships with the board
7. Relationships to internal constituencies
8. Relationships with external constituencies
9. Appropriate personal characteristics and style

1. Which of the foregoing responsibilities do you feel the president has been especially effective in meeting? Please add a sentence or two of explanation for each.

2. Which of the foregoing responsibilities do you feel the president has special difficulty meeting? Please add a sentence or two of explanation for each.
Specific Criteria for Presidential Assessment

1. Restructure the administration
   (1) Form a coherent team.
   (2) Build effectiveness, engagement, and responsiveness.

2. Move the university toward fiscal sustainability.
   (1) Build institutional advancement.
   (2) Align programs with mission, need, opportunity, and fiscal reality.
   (3) Expand workforce training.
   (4) Increase grants and contracts.

3. Lift the quality of the academic program.
   (1) Initiate student outcomes assessment.
   (2) Reinvigorate program review and rationalization.
   (3) Structure programs for greatest effectiveness and efficiency.
   (4) Attract and retain the best faculty.

4. Increase enrollment and retention, with stronger students.
   (1) Create and use a marketing plan.
   (2) Make the university more user friendly.

5. Engage faculty and staff.
   (1) Make good use of shared governance.
   (2) Communicate.
   (3) Build morale.

6. Bring the plant into alignment with mission, program, and sound condition.

7. Instil teamwork, process, and entrepreneurial thinking throughout the campus.

8. Lift the university’s profile and public image.
   (1) Develop university support among state, business, and civic leaders.
   (2) Deliver a clear vision and message.
   (3) Enhance the university’s role as valued state partner.
9. Communicate well with the board.

1. How would you characterize the president's and the board's capacity to work together to set clear goals and objectives?

2. I would give the president particularly high marks on his or her accomplishment of these goals and objectives. (Please elaborate with a sentence or two explaining why.)

3. I would give the president particularly low marks on his or her shortcomings or difficulties in accomplishing these goals and objectives. (Please elaborate with a sentence or two explaining why.)

Now, please complete the following sentences.

1. The key obstacles keeping the president from reaching those goals or objectives are ....

2. I would characterize the relationship between the board and president as ....

3. The board can more effectively support the president by ....

4. The president would work more effectively with the board if ....

5. The specific goals on which the president should work in the coming years are ....

6. Overall, I believe that our president ....

7. If I had one suggestion to pass on to the president it would be ....
Possible Individuals and Groups to be Interviewed in a Presidential Assessment

- Board members
- President
- Any members of the president's informal management team -- such as executive assistant and the president's spouse -- not otherwise included below
- Administration
  - Chief academic officer
  - Chief financial officer
  - Chief advancement officer
  - Chief student services officer
  - Chief information officer/Director of institutional research
  - Deans, division directors, department chairs, others
  - Business or financial office
  - Plant officers
  - Athletic officers
  - Student services administration
  - Others
- Faculty
- Students
- Alumni and community members
- Support Staff
- Representatives of any associated governing body or institution, as well as government officials and legislators, key patrons and funders, significant friends at neighboring institutions (could be excluded or restricted in number and time required)
Sample Interview Questions for Presidential Assessment

1. What are the president's most significant achievements?

2. What major issues, opportunities, or challenges must the president address over the next few years?

3. What will the president need in order to resolve those issues, opportunities, or challenges?

4. What suggestions would you make to improve the president's performance?

5. As you consider the president's performance, can you think of an example of a decision that was handled particularly well? One that wasn't?

6. What can you tell us about the way this institution is governed?

7. If you feel that you are reasonably familiar with the quality of the relationships between the board and president, how would you characterize them?

8. In what contexts do you know the board? For what is it known? How is it seen on campus and/or in the community?

9. What are the major issues, opportunities, or challenges the board must address over the next few years?

10. What will the board need in order to resolve those issues, opportunities, or challenges?

11. As you consider the board, can you think of an example of a decision that was handled particularly well? One that wasn't?

12. What suggestions would you make to improve the board's performance?

13. Is this institution moving ahead?
Additional Questions -- for Interviews with Trustees

1. How do you view the president’s overall performance and effectiveness as a leader?

2. How does the board see the president?

3. What do you see as the president’s significant strengths? Shortcomings?

4. How would you describe the quality of the relationship between the board and the president? How much informal assessment and support is going on? What is the context for this formal assessment?

5. What suggestions would you make to strengthen the relationship of the president and the board?

6. How can the board support the president more effectively?

7. How can the president (and the administration) support the board more effectively?

8. What are the major obstacles to optimal board effectiveness here?

9. How would you overcome those obstacles?

10. What other observations or suggestions do you have?
Sample Board Survey and Criteria

Following is a general summary of board responsibilities as well as the current goals from which the board is working. Please review these responsibilities and answer the questions that follow ... from your own perspective.

*General Criteria for Board Assessment*

1. Setting mission and purposes.
2. Appointing the president.
3. Supporting the president.
4. Monitoring the president’s performance.
5. Assessing the board’s performance.
6. Insisting on strategic planning.
7. Reviewing educational and public-service programs.
8. Ensuring adequate resources.
9. Ensuring good management.
11. Relating campus to community and community to campus.
12. Serving occasionally as a court of appeal.

1. Which of the foregoing responsibilities do you feel the board has been especially effective in meeting? Please add a sentence or two of explanation for each.

2. Which of the foregoing responsibilities do you feel the board had special difficulty in meeting? Please add a sentence or two of explanation for each.
Specific Criteria for Board Assessment

1. Hold our first annual spring meeting in retreat format, for the purpose of assessing performance over the year and setting goals for the following year.

2. Reinvigorate the committee structure, and, especially, the committee on trustees. On the basis of the annual board retreat, give committees charges for the coming year.

3. Lay the groundwork for the silent phase of the capital campaign and provide leadership through its conclusion. Each board member will take part in a minimum of a half dozen cultivations.

4. Create and use a board policy manual. Board and presidential assessment policies are to be included. Concurrently, review and revise the bylaws.

5. Identify a group of peer institutions, assemble a set of benchmarks, and integrate into committee and board work.

6. Work with the president and administration to set up a procedure to review all educational and administrative programs.

7. Support the president and express gratitude for his good work.

1. The board’s two or three most important strengths or assets are ....

2. The board’s two or three most significant weaknesses or liabilities are ....

3. The two or three top goals the board should set for itself in the coming years are ....

4. The major challenges for the president in the coming ______ years are ....
Board Assessment: A Schematic Summary

Ongoing Assessment

- Committee on governance
- Surveys, discussion, and observation (board, consultant, committee) of “process”

Annual Assessment

- Annual tasks and goals, keyed into charges to committees
- Committee on governance manages
- Criteria: General and specific
- Board questionnaire or other review
- Report and recommendations
- Discussion and goal setting

Governance Audit

- Long range tasks and goals
- Consultant (bylaw review, meeting observation; interviews, reports, retreat, etc.)
- Public announcement
- Managed by committee on governance; perhaps by an ad hoc committee
- Criteria: General and specific
- Board questionnaires, self-studies (AGB Self-Study, etc., individual reviews, inventories)
- Interviews of board members, president, and perhaps others
- Report and recommendations
- Discussion and goal setting
- Retreat