

# CR 1

March 27, 2012

Members, Board of Trustees:

## PROPOSED PROCESS FOR THE PRESIDENT'S EVALUATION

Recommendation: that the Board of Trustees receive, review and approve the attached example outline process for the President's annual evaluation.

Background: Pursuant to Section E. (Evaluation), of President Eli Capilouto's Employment Agreement with the University of Kentucky Board of Trustees, an annual performance evaluation shall be performed in accordance with what was at the time Governing Regulation, Part II.A.6(a) (Executive Committee). That Governing Regulation has since been amended to GR II. E.2(a).

The proposed outline of this evaluation process would replace the previous evaluation procedure. In addition to the University and Staff Senates and the Student Government Association, the proposed process also would include an identified number of individuals. Input from the various constituencies would be conducted by a Human Resources professional. The Chair of the Board of Trustees and the Executive Committee, in consultation with the President, will agree on a set of interview questions. The performance assessment document will contain both qualitative and quantitative components.

In addition to the interview process, the President will prepare and submit an annual self-evaluation to the Board. Each member of the Board also will be asked to provide an evaluation of the President. The Executive committee will review the President's self-evaluation, a summary of the interviews, and reports from the respective groups listed by GR II and Board members and will meet with the President to provide feedback. The Executive Committee will share the information with the full Board of Trustees and make a recommendation to the Board.

This process would be used to assess the President's performance and provide feedback on his accomplishments and challenges. It also would be used to determine any changes to the President's compensation, including merit increases and performance payments per his Employment Agreement.

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Action taken:     Approved     Disapproved     Other \_\_\_\_\_

I. DESCRIPTION

A. The president shall be evaluated annually through an assessment based on 20 to 30 confidential interviews with representatives of key constituent groups who are in a position to comment on the President's performance. Every 3 to 4 years the number of people interviewed should be increased to 30 to 50. The Board of Trustees Executive Committee will manage the evaluation. A professional interviewer or human resource specialist will conduct the interviews. The Board Chair and the Executive Committee, in consultation with the President, shall agree upon the choice of the professional based on experience, expertise and ability to conduct a dispassionate and objective review. The President and Executive Committee shall identify respectively an equal number of individuals from each of the following constituent groups who will participate in the interviews:

- a. University Senate
- b. Staff Senate
- c. Student Government Association
- d. Alumni Association
- e. Senior Administrators
- f. Elected Officials
- g. Donors
- h. State and local community leaders

- B. The President and Board Chair will discuss categorical dimensions (e.g., Leadership, Strategy and Priorities, etc.) that will be addressed in the interviews and determine the corresponding questions appropriate for each dimension.
- C. The President will prepare an annual self-evaluation prior to the interviews.
- D. The Executive Committee will review the self-evaluation and interview results and meet with the President to discuss and provide feedback.
- E. The Executive Committee will share results with the full Board of Trustees

I. PERFORMANCE ASSESSMENT DIMENSIONS AND QUESTIONS

- A. Provide quantitative response to each question (on a scale of 1-5, with 1 being "Poor" and 5 being "Excellent").
- B. Provide qualitative responses to each question.

## **STRATEGY AND PRIORITIES**

1. Has the President effectively worked with key constituents to identify the current reality UK faces, and built a shared understanding of that reality among constituencies?
2. Has the President clearly articulated his strategic priorities and explained the rationale underlying them? Are the President's priorities the right ones for UK today?
3. Do the President's policies and actions strike an appropriate balance between the short-term needs and the long-term interests of the University?

## **LEADERSHIP**

1. How effective is the President in creating a learning environment that reinforces UK's core values?
2. Is the President effectively leading the organization in executing the initiatives and actions associated with his priorities?
3. Is the pace of execution consistent with the University's needs and the organization's capabilities?

## **ORGANIZATION AND TEAM**

1. Is the President moving appropriately to design an organization (including structure and management systems) that will produce solid strategic and operational execution?
2. Is the President building and developing the management team needed to drive the University's future success?

## **RELATIONSHIPS WITH CONSTITUENCIES**

1. Has the President established a productive relationship with the Board that enables the Board to contribute most effectively to UK's advancement?
2. Has the President engaged, and built credibility with, constituencies important to the University?

## **FINANCIAL MANAGEMENT**

1. Has the President demonstrated careful stewardship of UK's financial resources, identifying and setting in motion needed improvements in financial planning and management systems?
2. Is the President defining a path forward that incorporates the financial goals and approaches needed to fund his strategic priorities?
3. Has the President taken the appropriate initial steps toward developing a University-wide system for risk management?

## **FUND-RAISING**

Is the President committing the necessary time and energy to raise funds for the University? Does he have the skills to succeed in this endeavor?

## **FUTURE CONSIDERATION**

1. Has the President positioned the University to make meaningful progress in the next year, three years, and five years?
2. Has the President demonstrated the multiple skills necessary for leading the University in the next year, three years, and five years?

## **OTHER**

What advice would you give the President on his leadership of UK?