

**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
FACULTY SENATE**

FSR 15/16-07: Revision to Handbook Appendix A

History: Bill 392 was submitted to FSEC for first reading on 4/25/16 from Ad Hoc Committee on the Faculty Handbook, in response to the Administration’s return of the Senate’s work-up on the material (which itself was in response to approved Senate action from 2012).

The Bill passed the first reading in the FSEC meeting of 4/25/16. The Bill was submitted to the Full Senate for a second reading in a special session on 8/16/16 and passed unanimously.

1 **WHEREAS,** Faculty Handbook revisions to Appendix A were approved by the Faculty
2 Senate during the 2012-13 academic year and have received an
3 Administration response proposing extensive revisions to the material
4 passed by the Senate, AND

5 **WHEREAS,** the Faculty Senate’s Ad Hoc Committee on the Faculty Handbook (“the
6 Committee”) has carefully considered the Administration proposals and the
7 material originally sent forward by the Faculty Senate

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9 **NOW THEREFORE BE IT RESOLVED**

10 That the following text for Appendix A be adopted as the new Appendix A
11 of the UAH Faculty Handbook.

12

13 [INSERT “accept changes” version of the documents here]

Appendix A

Selection, Appointment, Evaluation and End of Appointment of a Dean

I. Selection and Appointment

I.a. Primary responsibility and final authority for the selection and retention of deans rests with the Provost with the concurrence of the President. The evaluation and advice of the faculty shall be systematically obtained and considered prior to the appointment of a dean.

Whenever it becomes appropriate to select a dean, the provost appoints a representative search and screen advisory committee. Normally, the committee is composed of seven to eleven members, and the majority of the committee is selected from the eligible faculty of the college affected, to include one or more department chairs from the college, with other university personnel making up the balance. The term "eligible faculty" means faculty as defined by tenured, tenure-earning, full-time clinical or full-time research faculty status. Usually the provost appoints a staff member from the Office of the Provost to provide liaison and logistical support to the committee. The Provost appoints the chair of the committee.

I.b. The committee conducts a national search unless limited by fiscal restraints as deemed by the administration, in which case the search may be limited to internal candidates. The committee establishes procedures that provide for participation in the process by the department chairs of the appropriate college, eligible faculty of that college, the Provost, the President, faculty and deans outside the college, and other appropriate groups. Findings of the committee are transmitted in writing to the Provost for consideration.

I.c. The Provost, upon recommendation to and concurrence of the President, may appoint a dean selected from nominees favorably recommended for appointment by the committee or may ask the committee to seek additional candidates for the dean position. In the event that no acceptable nominee is available for appointment as determined by the committee and/or provost, the search may be extended or begun anew or an interim or acting appointment may be made by the Provost as described in the section below on incapacity and temporary appointments.

I.d. The duration of the appointment as a dean is determined by the provost but is not to exceed a 5 year duration. Each dean is subject to annual reviews, a mid-term review and a comprehensive evaluation every fifth year. The appointment may be terminated by the provost in accordance with the procedures set forth below.

II. Review and Evaluation of a Dean

II.a. The Provost performs an annual evaluation of each dean during the spring semester or summer term. The Provost counsels each dean regarding his or her relative strengths and weaknesses. If performance is determined to be unsatisfactory, the Provost may remove the dean at any point during the appointment period, according to the procedures outlined in this

appendix.

II.b. It is the responsibility of the faculty to participate in reviews of the dean and to provide reasons for their recommendations which can be considered by the provost when making decisions.

II.c. In the fifth semester following each appointment or comprehensive review of a dean, the Provost will conduct an interim evaluation by sending each eligible faculty member a questionnaire (including qualitative questions consistent with those used on the fifth year evaluation form) seeking opinions on the performance of the dean. The replies from faculty will be returned directly and privately to the Office of the Provost and kept in that office in the strictest confidence. After the evaluation questionnaires have been reviewed, the Provost will prepare a written evaluation and discuss the faculty input with the incumbent dean. At that time, the provost may continue or end the appointment or give a warning to the dean as deemed necessary based upon the results of the evaluation.

II.d. Early in the fall semester of every fifth year of continuing appointment, the provost will initiate a comprehensive review to evaluate the performance of the dean. Evaluation of a general nature – such as degree and quality of judgment, initiative, and competency – may be supplemented by specific criteria relating to the achievement of college goals and objects. An underlying principle of the entire evaluation process, however, requires that all analyses be supported by factual documentation, and that the evaluations are based exclusively upon the consideration of professional standards of performance.

II.e. The fifth year comprehensive review is conducted by a committee composed of five to seven members selected by the Provost. The majority of the membership of the committee must be tenured, full-time research or clinical faculty who are not serving as chairs/administrators. The committee must include one or more department chairs from within the college and a representative faculty member from another college. For the dean of the Honors College and the School of Graduate Studies, a committee will be chosen from relevant campus-wide faculty pools. The Provost appoints the committee chair. The committee will assess the dean's leadership qualities, professional competency, and working relationships.

II.f. The committee will develop procedures that provide for participation in the evaluation process by the department chairs of the appropriate college, all eligible faculty of that college, faculty and deans outside the college, and other appropriate groups. The Office of the Provost will develop a standard evaluation form, provide advice, and assist the committee in the distribution and collection of evaluations. The evaluation form will be developed in consultation with the Personnel Committee of the Faculty Senate and should contain a summary item for an overall rating of the dean. Completed evaluation forms should be transmitted directly and privately to the Office of the Provost. All evaluations and assessments must be held in the strictest confidence by each member of the committee and by the Office of the Provost. The committee transmits the evaluations it has collected and a written report of its findings and recommendations to the Provost.

II.g. The Provost, upon recommendation to and concurrence of the President, will make a decision whether to continue or allow the appointment of the dean to end.

II.h. After the review is complete, the Provost will discuss both the recommendations and the findings of the review committee and the response of the Provost to those recommendations

and findings with the incumbent dean. A written report may be requested by the dean.

II.i. The Provost communicates any actions resulting from the review process to the faculty of the college.

III. End of a Dean's Appointment

III.a. A dean is appointed to an anticipated time frame. At the end of the appointment time, the dean's appointment is completed. The Provost, with the concurrence of the President, may elect to reappoint utilizing the process given in A.II or the Provost may decide to let the appointment end.

The end of the dean's appointment may occur as a result of the formal five-year evaluation process. The provost with concurrence of the president may end the dean's appointment as dean at any time prior to and after the formal five-year evaluation process. In addition, ending the appointment of a dean prior to the formal five-year evaluation process may also occur upon consultation between the Provost with the dean, and with the concurrence of the President and with input from the faculty and chairs which may include an appropriate review committee as stated in III.b. The decision to end the dean's appointment following this consultation is made by the Provost.

b. Ending the appointment of a dean prior to the formal five-year evaluation process may be initiated by the Provost, with the concurrence of the President, upon petition of a majority of the eligible faculty of the college, or upon petition of a majority of the chairs of the departments within the college. If appropriate, a review may be undertaken by a committee selected in the manner prescribed in the section on review and evaluation of a dean, and in accordance with the procedures prescribed herein. In the event that the Provost disagrees with the recommendations put forth by the chairs and faculty, an explanation will be provided to the review committee and the petitioners.

IV. Incapacity and Temporary Appointment of a Dean

In the event of unexpected vacancies caused by untimely resignation, illness, death, or other causes, the Provost will appoint an individual on acting status. Normally, such an appointment will be for one academic year. Normally, the Provost will consult with the college's department chairs, faculty, the deans, and other appropriate individuals in determining whom to appoint.

A.V. Review and Evaluation of An Associate or Assistant Dean

Final authority for the selection and retention of associate deans and assistant deans rests with the academic dean with the concurrence of the Provost. The evaluation and advice of the faculty shall be systematically obtained and considered prior to the appointment of associate or assistant deans.

. The Dean may continue or end the appointment of an assistant or associate dean with the concurrence of the Provost. The Dean may review the assistant or associate dean at any time and must conduct a review prior to reappointment or in the fifth year of the appointment.

Early in the fall semester of every fifth year of an appointment of an associate or assistant dean, the Dean of the college will initiate a comprehensive review to evaluate his or her performance. The Dean will establish procedures that ensure participation in the evaluation process by the

department chairs within the college, faculty of the college, and appropriate individuals outside the college with whom the associate or assistant dean interacts.

The Dean, upon recommendation to and concurrence of the Provost, will make a decision on the continuation or reassignment of the assistant or associate dean.

The Dean communicates any actions resulting from the review process to the faculty of the college.