

University of California, Merced
Five-Year Senior Leadership Development Assessment
for Members of the Senior Management Group

ADMINISTRATIVE GUIDELINES

As of April 2016, the Chancellor, Provost and Executive Vice Chancellor (P/EVC), Vice Chancellors, University Librarian, Associate Vice Chancellor for Information Technology and Chief Information Officer, and Campus Counsel are designated members of the UC Merced Senior Management Group (SMG). The Chancellor serves at the pleasure of the UC President, and other SMG members serve at the pleasure of the Chancellor and/or the P/EVC. In the spirit of maximum administrative effectiveness, understanding our weaknesses, and efficiently accomplishing our goals, a comprehensive leadership development assessment of each SMG administrator will be conducted (1) no later than the fifth year of service in the SMG position and (2) at five-year intervals thereafter, or earlier at the Chancellor's and P/EVC's discretion.

Five-year assessments will be conducted under the general direction of the Chancellor or the P/EVC, acting on behalf of the Chancellor. The purpose of this assessment is to provide the SMG member with feedback from a broader perspective than is usual provided in an annual performance evaluation. This is a managerial, coaching, and development exercise, rather than an evaluation of achievement toward specific goals.

The five-year assessment does not replace the annual performance review.

Policy Reference: SMG Performance Management Review Process
(<https://regents.universityofcalifornia.edu/policies/7702.pdf>)

COMPOSITION OF CONFIDENTIAL REVIEW COMMITTEES

A confidential review committee will be appointed to assess the performance and accomplishments of the administrator and report its findings to the Chancellor and/or P/EVC. The recommended composition of the confidential review committee is as follows:

For all SMG members, the standard committee composition will be:

- one Dean and/or one Vice Provost
- one Vice Chancellor
- one staff representative
- two members of the faculty who are not current SMG members

Additions to this standard are as follows:

- For the P/EVC, one additional faculty member, bringing total faculty representation to three. The three faculty members will be from different divisions.
- For the Vice Chancellor, University Relations, a representative from the Foundation Trustees will be added.
- For the University Librarian, a campus librarian will be added.

Members of the confidential review committee must have had extensive and substantive interactions with the administrator in his or her areas of responsibility. Committee members will be appointed by the Chancellor and/or P/EVC in consultation with the Academic Senate and staff leadership. The Chancellor and/or P/EVC will designate one member to be committee chair. Although the committee is to be made up of a relatively small number of individuals, it will consult broadly in terms of seeking input from all constituents, including faculty, staff, and students as appropriate.

CHARGE TO REVIEW COMMITTEE

1. To review and evaluate the performance of the SMG administrator during the period of service since the last leadership development assessment, or since initial appointment if this is the first 5-year review, based on the defined Criteria for Evaluation (see below).
2. To consult broadly by seeking input from all constituents, including faculty, staff, students and others as appropriate.
3. To review input pertaining to the first charge from a representative group of persons knowledgeable about the quality and effectiveness of the SMG administrator's performance, and to assess and summarize the input in a balanced, thoughtful, and fair manner.
4. To provide the Chancellor and/or P/EVC with a confidential written report of the findings and conclusions of the committee.
5. To conduct all activities of the review committee in a timely and **completely confidential** manner. The written report and its contents will only be known to the candidate, review committee, Chancellor, P/EVC, the SMG Coordinator, and limited office staff. The membership of the review committee will only be known to the Chancellor, P/EVC, Assistant Vice Chancellor of Human Resources, SMG Coordinator, and limited office staff.

CRITERIA FOR EVALUATION

The specific responsibilities of SMG administrators vary widely as a function of the type of unit they lead. However, SMG administrators share certain general responsibilities regardless of their specific functional areas. Based on these general responsibilities, the following evaluation criteria are expressly applicable to all members of the SMG. The development assessment will assess each SMG administrator's effectiveness in the following areas emphasizing internal and external leadership. The established criteria are consistent with the categories provided by UCOP for the annual review process.

Accountability and Governance

- Establishing a well-developed philosophy and direction for the unit, and articulating this philosophy both to the unit and to the campus community.
- Linking the work of the unit to the strategic goals and core academic missions of the university.
- Working with program area heads and/or department chairs to achieve the goals of the unit.

Collaboration and Communication

- Working constructively with and communicating with internal campus constituencies in a system of shared governance.
- Representing the campus with the Office of the President and with related senior officers systemwide.

People Leadership

- Recruiting, developing, and retaining high quality staff, administrators, faculty, and students (as appropriate).
- Managing the operation of a unit, e.g., personnel reviews, budget, etc.

Inspiring Innovation and Leading Change

- Stimulating creative ideas and adaptive approaches to challenges and opportunities.
- Serving as a collegial, collaborative, and contributing member of the campus senior leadership team.
- Contributing to the profession of which the administrator is a part.

Resource Management and Financial Budget

- Managing the resources of a unit – operational, financial, and human (e.g., personnel reviews, budget, facilities, etc.)
- Efficient stewardship of university resources
- Long range planning and development for the unit and campus.

Diversity

- Demonstrating an active and engaged commitment to diversity
- Ensuring equal opportunity in recruitment and retention processes.
- Achieving the objective of a diverse and inclusive community.

Client Service

- Representing the unit and the University at community, state, and national levels, including the major communities of interest to the unit.
- Building productive partnerships on behalf of the campus.

Health and Safety

- Ensuring a safe, healthy, and environmentally sound workplace.

Principles of Community

- Ensuring that the UCM [Principles of Community](#) are integrated into the operational strategy of the campus to foster the best possible learning and working environment.

PROCEDURES

1. The Chancellor and/or P/EVC will meet with the review committee at its first meeting to discuss the charge and process for the assessment. The Chancellor and/or P/EVC will oversee the assessment process with the Senior Management Group Coordinator or designated staff providing direction and support to the review committee.
2. The committee is to work under the direction of its chair.
3. All communication to and from the committee will be handled through the Office of the Chancellor, P/EVC, and/or SMG Coordinator to ensure confidentiality.
4. Each SMG administrator undergoing assessment will be asked prior to onset of the assessment to provide a statement of achievements and challenges over the current term of service, and a list of potential internal and external references. This statement will be made available to the review committee. Further information from the administrator may be solicited for the review committee by the Chancellor and/or P/EVC as they deem appropriate.
5. At the beginning of each assessment, confidential letters will be solicited from the internal and external references identified by the SMG administrator. The list will be supplemented by additional references identified by the review committee. These confidential letters will be provided to the review committee in their entirety.
6. The report of the committee, along with the evaluative letters that were solicited will be submitted to the Chancellor and/or P/EVC. The review committee will have an opportunity to meet with the Chancellor and/or P/EVC at any point in the process.
7. A redacted copy of the report will be provided to the SMG administrator under review. A written response to the report may be submitted by the SMG administrator.
8. The confidential report forms the basis of a discussion between the Chancellor and/or P/EVC and the administrator.
9. Responsibility for final action on the leadership development assessment rests solely with the Chancellor and/or P/EVC.

CONSTITUENCIES TO BE CONSULTED

Individuals from appropriate constituencies with direct experience in the SMG administrator's areas of responsibility will be consulted during the review process. The constituencies may include relevant Academic Senate Committees, faculty, deans, chairs, academic unit heads, staff (from all levels of the SMG members' respective division/unit), UCM students through the Graduate Student Association President and Associated Students President, other appropriate administrators within the UC system, and other pertinent groups including those external to the campus. All UCM Academic Senate

members will be invited to write letters commenting on the assessment of the P/EVC.

The review committee will develop a specific set of questions that will be provided to all reviewers consulted based on the Criteria for Evaluation. In addition to questions about the capacity in which the reviewer interacted with the SMG administrator and the extent and frequency of the interaction, reviewers will be asked to respond specifically to the Criteria for Evaluation, using specific illustrative examples whenever possible. In all cases, solicitation of letters must permit a reasonable time for response. The number of and responses to the solicitation for letters will be recorded; unsolicited letters will be noted and categorized, and will be provided to the review committee along with the solicited letters.

At the conclusion of the leadership development assessment, should the SMG administrator being assessed request access to the confidential letters, a summary of responses will be prepared. This summary will be written so as to protect the confidentiality of the letter writers.

**MODEL TIMELINE FOR FIVE-YEAR SENIOR LEADERSHIP DEVELOPMENT
ASSESSMENT OF SMG ADMINISTRATORS**

| Action | Initiated By | Due Date |
|--|-------------------------|-----------------|
| Advise SMG member under assessment that the assessment is to be undertaken; request self-evaluation and list of suggested reviewers and constituencies (2 internal and 2 external) | Chancellor and/or P/EVC | |
| Apprise Senate that assessment is initiated | Chancellor and/or P/EVC | |
| Request from the Academic Senate Committee on Committees a slate of suggested faculty for Review Committee | Chancellor and/or P/EVC | |
| Request from the Staff Assembly a slate of suggested staff for Review Committee | Chancellor and/or P/EVC | |
| Appoint and charge the review committee chair and members | Chancellor and/or P/EVC | |
| Convene the review committee | Chair | |
| Solicit written input for the review committee | Chancellor and/or P/EVC | |
| Prepare report for the Chancellor and/or P/EVC | review committee | |
| Meet with review committee regarding the outcome of the assessment | Chancellor and/or P/EVC | |
| Provide SMG administrator with a redacted copy of the report | Chancellor and/or P/EVC | |
| Meet with SMG administrator regarding the outcome of the assessment | Chancellor and/or P/EVC | |