Procedures for the Evaluation of Vice President for Research

The performance of the Vice President for Research will be reviewed in his or her third year in the first evaluation cycle and every fifth year thereafter. The purpose of such comprehensive reviews is to evaluate the progress of the Vice President for Research, to provide the opportunity for constructive input from faculty and other constituencies, to review the individual’s professional contributions and performance as a “leader” and as an “administrator,” and to provide feedback to improve his or her performance in making reappointment decisions.

The Evaluation of the Vice President for Research is a summary of faculty responses to the Georgia State University Evaluation Form by those holding rank as defined in the Statutes Art. V, Sec. 1 and contract with .75 EFT or above. The Evaluation of the Vice President for Research will also contain a staff component which is a summary of staff responses to the Georgia State University Staff Component Form for the Vice President for Research by staff members listed in this document as designated evaluators. Additionally, student association leadership may be invited to complete an evaluation of the Vice President for Research. This evaluation does not preclude evaluations by other constituencies, as approved by the Executive Committee. The administrator being evaluated is not eligible to complete an evaluation on him/herself.

Ad Hoc Evaluation Committee

On or before August 10, the Provost will notify the Vice President for Research that an evaluation will be conducted by an elected Ad Hoc Evaluation Committee during the spring semester of the third year, in the fifth year, and every fifth year thereafter. The committee will consist of one faculty member elected from each college, as well as one member from the Counseling Center or the University Library (membership from these two units on the presidential and vice presidential Ad Hoc Evaluation Committees will rotate in the alphabetical order listed, starting first with the Counseling Center). These seven (7) elected members may include departmental chairs, but may not include deans. The committee will also include the chair of the Senate Research Committee.

Before the end of the fall semester, the election of the faculty members to the Ad Hoc Evaluation Committee shall be conducted in a general college faculty meeting. Nominations will be made from the floor. Nominees must be tenured faculty members who may or may not have served as Senators. Voting will be done by secret ballot. The election of committee members will be by simple majority. Members of an elected committee of the college such as the Faculty Affairs or Executive Committee will serve as tellers to count the votes. By December 15, deans will send the names of the elected faculty members to the Provost. On or before January 15, the Chair of the Senate Research Committee will call the first meeting to elect the chair for the ad hoc evaluation committee. The chair for the Ad Hoc Evaluation Committee will be elected by all the committee members from among the faculty members of the committee who are not department chairs. The elected chair of the Ad Hoc Evaluation Committee will inform the Provost of the results of this election.

At the first meeting of the ad hoc committee, the Provost and/or the Chair of the Executive Committee will meet with each evaluation committee to restate their charge, the expectations for the data analysis and subsequent report, and answer questions.

Prior to this first meeting, the Senate Office administrator will provide the committee with a copy of the procedures, the evaluation instrument, and the list of designated evaluators via
On or before January 10, the Vice President for Research will provide a three-page narrative (maximum) listing and describing accomplishments of the past three or five years, and documents to support these accomplishments. This narrative and supporting documents should be submitted to the Senate Office. On or before February 1, the Provost will send a letter to each university faculty and staff member announcing the *Ad Hoc Evaluation Committee* members and chair. The letter will describe the designated evaluators and explain that other faculty members who wish to participate in the evaluation can contact the Senate Office administrator. Respondents who are not listed as designated evaluators will be considered faculty volunteers. Such volunteer responses and written comments of volunteers will be analyzed separately for the final report. A record will be kept of the number of faculty volunteer requests, but not of the names. There will be no staff volunteer respondents.

Before the end of the fall semester, the Senate Office administrator will send the Office of Institutional Research (OIR) a copy of the evaluation instrument and a listing of all designated evaluators and their email addresses.

**Outside Evaluators**

By January 10, the Provost selects 3-5 outside constituents/evaluators. The names of these individuals and the questions asked would be approved by the administrator and by the Executive Committee of the Senate. The Chair of the Executive Committee will select three names and send letters to these evaluators by January 15 requesting that they serve as an evaluator. If necessary, the Executive Committee will move down the list or request further names or choose other evaluators until three agree to evaluate the Vice President's performance. The Vice President's narrative and supporting documents will be sent to three evaluators selected by the Executive Committee. Evaluators will review this material and send back their letters on or before February 28.

The letters give a supplementary perspective to the Senate appraisals, but the latter provide the specific context and conditions under which the administrator performed. The evaluation committee should consider that such letters may be, at times, both more and less reliable than internal appraisals of an administrator's work: more reliable because the reviewer may be a more objective judge, but less reliable because the reviewer may lack an understanding of the specific context. Therefore, the evaluation committee shall attempt to interpret and contextualize the letters from the external reviewers.

**Distribution of Evaluation Forms**

Each designated evaluator will receive notification, via email, that the evaluation process is beginning. Attached to this email will be the 3-page summary of accomplishments for the administrator being evaluated. The evaluators will also be informed that an email will be sent to them from OIR explaining the anonymity of the online process and a URL for them to complete the evaluation. Only designated evaluators will be given access to the online evaluation. Faculty members who want to complete a “faculty volunteer” evaluation should contact the Senate Office administrator. There will be no staff volunteer respondents.

Faculty members receiving the evaluation will consist of, but not be limited to, the following categories:

1. Administrators holding faculty rank (including Vice Presidents, Associate and Assistant Vice Presidents, Associate Provosts, Deans, Associate and Assistant Deans, Chairs, and the University Council);

2. All faculty members of the Senate Research and Budget Committees for the
preceding three years;

(3) Faculty members receiving or applying for (both internal and external) grants and contracts in the preceding three years;

(4) All faculty appointed to serve on committees by the Vice President for Research;

(5) Members of the Intellectual Property (IP) Committee;

(6) The Ad Hoc Evaluation Committee members.

Staff Component of the Evaluation of the Vice President for Research
The purpose of the staff component of the Evaluation of the Vice President for Research is to seek feedback in this nonacademic area from designated staff members in order to assist the Ad Hoc Evaluation Committee in making recommendations for improving the performance of the administrator. The certification, distribution, collection, and analysis of the staff questionnaire will be analyzed and summarized separately from the faculty questionnaire responses. The written comments from the staff respondents will also be recorded separately from the faculty responses. The staff responses will be reviewed and summarized by the Ad Hoc Evaluation Committee, which includes the previously mentioned elected faculty members. This committee will not include an elected or appointed staff member.

Staff members receiving the evaluation will consist of the following categories:

(1) Special Assistant VP for Research for Technology Management;

(2) Director of the Office of Research Awards Administration and all staff members in the Office of Sponsored Programs and the Office of Grants and Contracts;

(3) Attorneys on the staff of the Assistant Vice President for Legal Affairs;

(4) Comptroller and Finance & Administration Audit Staff; IS&T and F&A Spectrum staff; Staff Development Services;

(5) College and Department Administrative and Business officers involved in the processing and managing of grants and contracts;

(6) Associate VP for Finance; Assistant VP for Human Resources; Assistant VP for Planning and Facilities Management Services; Assistant VP for External Relations; Assistant VP for Development;

(7) Alternative Dispute Resolution Coordinator and Faculty Ombudsperson; Director of Affirmative Action.

(8) Staff appointed to committees by the VP for Research.

Guidelines for Questionnaire Forms
A similar but separate procedure will be followed for both the faculty evaluation and for the staff evaluation unless otherwise indicated.

ALL PARTS OF THE EVALUATION WILL BE ANONYMOUS.
On or before February 1, OIR will contact all designated evaluators and provide them with the URL for completing the questionnaire. From the date of university distribution, faculty and staff members will have two weeks (14 calendar days) to complete the evaluation. Faculty volunteers may request a “faculty volunteer” evaluation instrument from the Senate Office before or during the 14 day period, but all questionnaires must be completed by the appointed due date. There will be no staff volunteer respondents. All efforts will be made to ensure that evaluators constitute an informed constituency of the administrator under review. Additionally, all efforts will be made to achieve the highest response level as possible. Up to three rounds of emails will be sent to evaluators within this two-week period requesting the return of the evaluation instrument.

The questionnaire and the written comments will be assembled, processed, and analyzed in the following manner:

Within one week of the survey closure, OIR will export the data file generated in E-Listen to SPSS for analysis. Analysis of quantitative data will include frequency counts, percentages and, if applicable, means and standard deviations. Tables and graphs will be exported from SPSS into a PDF document for electronic dissemination. Qualitative responses will be downloaded from E-Listen directly into a Word document without any changes to wording, punctuation, or grammar. In order to make evident which responses are those of a single evaluator, comments from all sections of the survey submitted by an individual respondent will be presented in unison. Because the survey is anonymous, respondents will be assigned numbers only for organization purposes (e.g., respondent 1, respondent 2). These numbers cannot be linked to individual identities. A PDF file will be created for the electronic dissemination of survey comments.

All electronic and hard-copy reports will be given to the Senate Office administrator.

OIR will retain all raw data files. After completion of the survey analysis, E-Listen files and SPSS files will be eliminated after six months.

**Summary Report**

Upon conclusion of the review, on or before March 27, the Chair of the *Ad Hoc* Evaluation Committee will provide the Provost with a confidential written report (Summary Evaluation of the Administrator Report [SEA] report) of no more than five pages in length. Using the response items and a comprehensive summary of the written comments, including direct quotations, the report should provide the overall findings, proposed performance goals for the Vice President of Research, and recommendations to the Provost. The analysis, comments, and demographic data of faculty volunteers will be presented and summarized separately.

On the same day, the Chair of the *Ad Hoc* Evaluation Committee will give a copy of the report and the organized written comments to the Vice President for Research and the Senate Office administrator.

On or before April 1, the meeting for the formal presentation and discussion of the SFEA report will be conducted by the Provost and will include the Vice President for Research and the *Ad Hoc* Evaluation Committee chair. At that time, the Provost will also present a draft one-page summary report to the Vice President for Research.

On or before April 1, the Vice President for Research and the chair of the *Ad Hoc* Evaluation Committee may submit comments on the one-page summary report to the Executive Committee.
On or before April 6, the Provost will provide an opportunity in a secure area for the Executive Committee of the University Senate to read the SFEA report, data, and the draft one-page summary report. The full Executive Committee will finalize the one-page summary report upon the conclusion of reading the SFEA report and the draft one-page summary report.

Subsequently, the Provost will forward the one-page summary report to the President and the Vice President for Research. The Provost will make a recommendation on reappointment of the Vice President for Research to the President.

On the first working day in July and after the discussion of the reports with the Executive Committee of the Senate, the responses, written comments, and all copies of the reports used by the Ad Hoc Evaluation Committee and the Senate Office will be destroyed. The President, the Provost, and the Vice President for Research can either maintain or destroy their copies of the report but each should keep a copy of the one-page summary report. Reports of the evaluation of the Vice President shall be disseminated only as described above. The reports will not be disseminated in the public domain (Internet, news, media, etc.).

On or before April 1 of the year of the third or fifth year evaluation, the Provost will give a follow-up report to the Executive Committee on the areas of concern raised in the Vice President for Research’s evaluation report. The Provost’s follow-up report should include specific actions taken for each area of concern and performance goal identified in the evaluation report.

**Distribution of Results**
The one-page summary report will be sent to all faculty of the college (when evaluating a college-level administrator) and to all faculty of the university (when evaluating a university-level administrator) at the conclusion of the evaluation process. The one-page summary will also be sent to the University Senate as an information item at the first full non-organizational meeting of the University Senate upon conclusion of the evaluation process.
GEORGIA STATE UNIVERSITY
Evaluation of the Vice President for Research

SECTION A. RATINGS OF VICE PRESIDENT FOR RESEARCH

There are seven categories in this section. If you have been employed in the University fewer than the number of years under which this evaluation falls, please consider the performance of the administrator since your hire date.

Please respond to each of the categories according to the scale below:

A. Strongly Agree
B. Agree
C. Neither Agree nor Disagree
D. Disagree
E. Strongly Disagree
F. Don't know

If an item is not applicable, please omit the item (i.e., do not respond to that item).

Self Identification: Respondent Category
Please identify yourself as follows:

My respondent category is: 1. Administrator (half-time or more)
2. Faculty who has received external funding in the last 3 - 5 years
3. Faculty who has received internal funding only in the last 3 - 5 years
4. Faculty who has applied but never received funding in the last 3 - 5 years
5. Faculty who has never applied for funding in the last 3 - 5 years
Category I. Goals and Priorities

1. The Vice President for Research has provided leadership in achieving research goals for the University.

2. These research goals are appropriate for accomplishing the research mission of the University.

3. I agree with the priorities of the Vice President for Research in addressing the research goals of the University.

4. The Vice President for Research is an articulate and effective communicator of the research goals and research accomplishments of the University.

5. The Vice President for Research is effective in efforts to attain the goals of the university community.

(Please use the comments section for any comments on Category I)

Category II. Research Programs of the University

6. The Vice President for Research has fostered an effective research environment at the University.

7. The Vice President for Research responds to new opportunities which advance or facilitate research and scholarship at the University.

8. The Vice President for Research is effective in procuring resources from within University for research.

9. The Vice President for Research is effective in procuring resources from outside sources.

10. The Vice President for Research is effective in assisting faculty to procure resources from outside sources.

11. The Vice President for Research evidenced knowledge in identifying the research resources at the University.

12. The Vice President for Research interacts effectively with the various federal, state, and private agencies that provide sponsored funding to the University.

(Please use the comments section for any comments on Category II)

Category III. Resource Allocation

13. The Vice President for Research appropriately involves faculty and department chairmen and deans in the allocation process of university research funds.

14. The Vice President for Research is aware of the strengths and weaknesses colleges, departments and other academic units and their needs for research funding.

(Please use the comments form for any comments on Category III)
Category IV. Organizational Matters

15. The Vice President for Research operates according to the University Statutes and Senate Bylaws.

16. The Vice President for Research recruits and develops effective staff for his office.

17. The Vice President for Research selects effective Assistant Vice Presidents for Research.

18. The Vice President for Research interacts effectively with the appropriate faculty and university committees.

19. The Vice President for Research has good working relationships with other administrators at Georgia State University.

20. The Vice President for Research matches faculty interest with appropriate inside and outside opportunities and resources.

21. The Vice President for Research effectively administers and follows up on organizational and administrative matters.

22. The Vice President for Research keeps the faculty of the University well informed on all important matters relating to the Research Office.

(Please use the comments section for any comments on Category IV)

Category V. Managerial Characteristics

23. The Vice President for Research encourages individual initiative in seeking research funding.

24. The Vice President for Research encourages teamwork in university research.

25. The Vice President for Research maintains appropriate levels of confidentiality regarding faculty personnel matters.

26. The Vice President for Research promotes a positive stance towards diversity in light of race, gender, age, religion, color, national origin, sexual orientation, veteran status, or disability in his or her hiring, promoting, and managing of faculty and staff.

27. The Vice President for Research actively supports and promotes affirmative action policies and diversity programs.

28. The Vice President for Research provides the needed services to support research activity at Georgia State University.

(Please use the comments section for any comments on Category V)

Category VI. Personal Characteristics
29. The Vice President for Research relates well to the employees and students of GSU.

30. The Vice President for Research is accessible to the GSU community (e.g., responds to e-mails, phone calls in timely manner.)

31. The Vice President for Research is open to suggestions.

32. The Vice President for Research is open to new opportunities.

33. The Vice President for Research responds constructively to criticism.

34. The Vice President for Research respects the rights and dignity of others.

35. The Vice President for Research maintains a personal professional development program.

(Please use the comments section for any comments on Category VI.)

Category VII. Overall Evaluation

36. Overall I rate the performance of the Vice President for Research as:

   A. Excellent   B. Good   C. Fair   D. Poor   E. Unable to Rate

37. On at least one occasion over the past three years I have had a working relationship with the individual being evaluated (e.g., working together on a project or committee).

   A. Yes   B. No

(Please use the comments section for any comments on Category VII.)
INSTRUCTIONS

Written comments provide important and specific information that cannot be obtained by the questionnaire responses. You are strongly encouraged to offer both positive and negative comments. For the committee report, all comments will be directly quoted.

CATEGORY I. GOALS AND PRIORITIES

CATEGORY II. RESEARCH PROGRAMS OF THE UNIVERSITY

CATEGORY III. RESEARCH ALLOCATION

CATEGORY IV. ORGANIZATIONAL MATTERS

CATEGORY V. MANAGERIAL CHARACTERISTICS

CATEGORY VI. PERSONAL CHARACTERISTICS

CATEGORY VII. OVERALL EVALUATION
SECTION C. RESPONDENT CHARACTERISTICS

1. What is your rank?
   A. Professor or Regents' Professor
   B. Associate Professor
   C. Assistant Professor
   D. Instructor or Lecturer

2. Are your responsibilities primarily administrative (e.g., associate/assistant dean, department chairman, center director, etc.)?
   A. Yes
   B. No

3. What is your tenure status?
   A. Tenured
   B. Not tenured, but on tenure track
   C. Not on tenure track

4. How long have you been employed at Georgia State University?
   A. Less than one year
   B. One to less than three years
   C. Three to less than six years
   D. Six to less than fifteen years
   E. Fifteen or more years

5. Do you have research grants?
   A. Yes
   B. No
   C. Not applicable (for example: by your contract you are administrative faculty, teaching faculty, etc.)

6. What is your annual external funding?
   A. below $10,000
   B. 10k - 50k
   C. 50k - 100k
   D. above 100k
   E. none

7. What is your annual internal funding?
   A. below $1,000
   B. 1k - 3k
   C. 3k - 10k
   D. above 10k
   E. none
GEORGIA STATE UNIVERSITY
Staff Component Form of the Evaluation of the
Vice President for Research
SECTION A. RATINGS OF THE VICE PRESIDENT FOR RESEARCH

INSTRUCTIONS

There are five categories in this section. If you have been employed in the University fewer than the number of years under which this evaluation fall, please consider the performance of the administrator since your hire date.

Please respond according to the scale below:

A. Strongly Agree
B. Agree
C. Neither Agree nor Disagree
D. Disagree
E. Strongly Disagree
F. Don’t know

Category I. Organizational Matters
1. The Vice President for Research operates according to the University Statutes and Senate Bylaws.
2. The Vice President for Research communicates priorities and administrative procedures effectively.
3. The Vice President for Research keeps staff fully informed on all important matters relating to the university.
4. The Vice President for Research works effectively with staff in identifying short-term and long-term goals, in setting priorities and in focusing resources.
5. The Vice President for Research maintains appropriate administrative organization, sharing governance with staff when appropriate.
6. The Vice President for Research is available to administrative staff.
7. The Vice President for Research facilitates open communication among staff in the University.
8. The Vice President for Research is effective in securing and distributing resources to staff including merit raises and support for professional development.

(Please use the comments section for any comments on Category I.)

Category II. Leadership
9. The Vice President for Research develops and communicates a clear strategic and management direction for the division.
10. The Vice President for Research encourages an environment that rewards individual initiative.
11. The Vice President for Research encourages an environment that rewards teamwork and collaboration in the University.
12. The Vice President for Research creates a climate of respect and high morale.
13. The Vice President for Research provides sound fiscal management in line with the division and university strategic plans.

14. The Vice President for Research portrays a progressive and positive image of the university.

15. The Vice President for Research consults with appropriate individuals before making decisions.

16. The Vice President for Research provides leadership in securing appropriate compensation for staff consistent with aspirational institutions.

(Please use the comments section for any comments on Category II.)

Category III. Personnel Management

17. The Vice President for Research promotes fair staff workloads.

18. The Vice President for Research is willing to explain thoroughly the reasons for decisions.

19. The Vice President for Research uses sound judgment in issues of reappointments, dismissals, and promotions.

20. The Vice President for Research provides support for the successful recruitment and retention of staff.

21. The Vice President for Research recognizes contributions of staff.

22. The Vice President for Research lets people know what is expected of them.

23. The Vice President for Research supports staff in providing service to the division and greater university community.

24. The Vice President for Research holds staff accountable for their responsibilities.

25. The Vice President for Research responds to issues of concern from staff.

26. The Vice President for Research encourages and promotes career and professional development among staff.

27. The Vice President for Research evaluates staff effectively and fairly, according to established measures and standards for staff performance.

28. The Vice President for Research maintains appropriate levels of confidentiality in personnel matters.

29. The Vice President for Research promotes a positive stance towards diversity in light of race, gender, age, religion, color, national origin, sexual orientation, veteran status, or disability in the hiring, promoting, and managing of staff.

30. The Vice President for Research actively supports and promotes affirmative action policies and diversity programs at the university.

(Please use the comments section for any comments on Category III.)

Category IV. Personal Characteristics

31. The Vice President for Research relates well to employees and students of GSU and the division.

32. The Vice President for Research is accessible to the GSU community (e.g., responds to emails and phone calls in a timely manner).

33. The Vice President for Research is available, approachable and open to suggestions.
34. The Vice President for Research respects the rights and dignity of others

35. The Vice President for Research provides innovative leadership and promotes an environment which nourishes individual staff growth

(Please use the comments section for any comments on Category IV.)

**Category V. Overall Evaluation**

36. Overall I rate the performance of the Vice President for Research as:
   A. Excellent  B. Good  C. Fair  D. Poor  E. Unable to rate

37. On at least one occasion over the past three years, I have had a working relationship with the Vice President for Research being evaluated (e.g., direct report, project or committee work, etc.)
   A. Yes  B. No

(Please use the comments section for any comments on Category V.)

**SECTION B. WRITTEN COMMENTS**

**INSTRUCTIONS**

Written comments provide important and specific information that cannot be obtained by the questionnaire responses. You are strongly encouraged to offer both positive and negative comments. For the committee report, all comments will be directly quoted.

- Category I. Organizational Matters
- Category II. Leadership
- Category III. Personnel Management
- Category IV. Personal Characteristics
- Category V. Overall Performance Evaluation