

**draft**

**Presidential Evaluation Process for  
College of the Micronesia-FSM**

**I. Purposes of the Presidential Evaluation Process**

The primary purpose of annual and periodic assessments of the president of the College of Micronesia-FSM is to enable the president to strengthen his or her overall performance in service to the College. What follows is a process for the Board of Regents to conduct an annual evaluation of the president and a more comprehensive, summative assessment after [two or three] years. Both the annual and periodic reviews should also have as their purpose the enabling of the Board and president to set and reset mutually agreed-upon goals.

The Board of Regents may use the assessment process in making compensation decisions; however, the annual assessment process should be separated from the compensation process. The latter can be handled by the full Board or by a designated subcommittee.

It should be noted that in reviewing the president's performance, annually or after longer time periods, the Board of Regents is also examining its own performance and how it governs the College; that is, an evaluation of the president cannot be done in isolation from an assessment of his or her relationship with the Board of Regents. A Board assessment can be done formally and simultaneously with the comprehensive presidential assessment; it is something the Board of Regents should consider when time for the first comprehensive assessment approaches. (Note addendum B).

What follows is an explanation of the annual and the periodic review process, with suggested policy language to guide the Board of Regents through the evaluation process.

**II. General Policy on Presidential Assessment**

The COM-FSM Board of Regents should consider adopting, as official Board policy, a general policy statement on presidential assessment such as that which follows:

Recognizing the importance of having exceptional leadership at the College of Micronesia-FSM, the Board of Regents establishes this policy on presidential assessment. In doing so, the board also acknowledges the importance of meeting its responsibilities, with the president, for effective institutional governance and management.

1. The board shall review the president's stewardship annually.

## **DRAFT**

This process shall be elaborated in a separate procedural statement and periodically revised and brought to the board for approval. The heart of the process shall be a written self-assessment by the chief executive and will include a report on the goals and objectives from the previous 12-month period (as previously agreed upon by the president and the board). It also shall include proposed goals and objectives for the subsequent 12 months. Other questions to be addressed by the chief executive and other information about the institution's condition and progress will be agreed upon with the chief executive in advance and will be appended to his or her written statement.

This process shall be conducted by the full Board or a designated board committee. It and the president shall determine the format of the president's report and an appropriate schedule for completion and discussion.

2. The Board of Regents shall review the president's stewardship every four to six years in a more comprehensive manner.

At least once in every four to six year period of presidential incumbency, the Board of Regents shall conduct a comprehensive review of the president's performance and solicit the views of key stakeholders.

Assuming that the president and governing board are prepared to renew a long-term commitment to one another, the two parties should mutually decide on the timing and details of a process by which the Board or a third party can assess the institution's management. The heart of this process shall be personal interviews with the president, Regents, and appropriate individuals as well as small groups of leaders of both internal and external stakeholder groups and organizations. Because the special focus of the process will be on the chief executive-board relationship and on matters of broad institutional management, strong consideration will be given to employing external consultants to assist the Board in the process, to ensure that the process is objective, candid, and useful.

This process shall be coordinated by a special committee of Board members. The committee shall (1) establish the necessary protocols, (2) determine who else besides the president and individual Board members to interview, (3) decide on the form of the final report and related expectations, and (4) fix the schedule of activities. The entire process ordinarily shall be completed within four months, including a thorough presentation to and discussion with the full board and president. If external consultants are used, the ad hoc committee will select them and work with them to accomplish items 1-4.

### **III. The Annual Review Process and Policy**

An annual evaluation with clear expectations and deadlines will be done by the Board of Regents at the conclusion of each 12 months of service by the president (except in the years when a summative, more comprehensive review is undertaken). Each year, the annual evaluation will begin with the president's submission of an Annual Management Review Statement. The Statement will be submitted to the chair of the Board of Regents.

## **DRAFT**

The Statement will focus on a review of agreed upon goals developed in collaboration with the Regents, personal and institutional achievements, and principal challenges and opportunities moving forward. The Statement and any subsequent discussion will be kept confidential. The Board of Regents, if it chooses, can appoint a subcommittee or separate standing committee to conduct the evaluation, with subsequent full-board discussion.

### Board of Regents Policy Statement

The COM-FSM Board of Regents should adopt, as official Board policy, a statement such as that which follows, which supplements the general policy:

This supplements the Board of Regent's general policy on presidential assessment and details the purposes and process by which the president's performance, beginning no later than the end of his or her second year of incumbency, shall be reviewed each year.

#### *Purposes*

To enable the president to strengthen his or her performance, to enable the president and Board of Regents to reset mutually agreeable goals, and to inform annual decisions on compensation adjustments and other terms of employment.

#### *Responsibility*

It shall be the Board's responsibility to assess the president's performance and to solicit the views of other leaders within and outside of the College. For the purposes of annual presidential reviews, however, the process shall be a private matter between the Board of Regents and the president. The Board of Regents may designate an ad hoc evaluation for the annual review if it so chooses.

#### *Process*

The heart of this process shall be a written Management Review Statement by the president in a format and timetable mutually agreed upon with the Board of Regents. Normally, unless revised by the Board in consultation with the president in the intervening period, the statement will retain the same format. This statement, along with any supplemental information the Board may have requested of the president, shall be shared with all Board members before the Regent's meeting – or with the assessment committee, if one is designated in any given year – at which the president's review process and goals will be discussed (with the president present). Because this statement constitutes a potentially sensitive personnel matter, all Regents are expected to treat it as strictly confidential.

As soon as is practical following their receipt of the president's annual statement, the Board chair – and if designated in any given year, the assessment committee – shall meet with the president to discuss the statement and his or her proposed goals for the coming year. At the Board's next regularly scheduled meeting, the Board chair shall

## **DRAFT**

inform the Board of Regents of the process to date. At that time, in executive session, the Board will engage in a discussion of the president's goals for the subsequent year and seek to approve them. This meeting is intended for the Board and the president to have a wide-ranging discussion about the conduct of the presidency within the context of the condition and progress of the College of Marshall Island. The Board, of course, reserves the right to adjust the proposed goals and priorities.

### *Outcomes*

Following discussion with the president about the president's performance, and following agreement on his or her goals for the next 12 months, the Board or committee shall, in executive session, receive, discuss, and ratify any recommendations regarding compensation. Immediately following this meeting, the Board chair shall meet with the president to report on the Board's private deliberations, including its decisions concerning compensation. Any decisions made about compensation shall be included in a confidential memorandum-for-the-record that briefly summarizes the Board's conclusions, as well as all actions taken in executive session concerning the president's performance review and compensation.

### Annual Management Review Statement

This statement should be the president's personal perception of his or her leadership over the past 12 months and should be treated as a confidential report to the Board of Regents. The centerpiece of the Review Statement is the self-assessment of mutually-agreed upon goals and priorities that the Regents and president have agreed to for the past year. If such goals were not made explicit for the current period to be assessed, the president should proceed with the self-assessment and assess self-determined goals as is best possible based upon the search process, reasons for assuming the position, and developments at the College up until the time of the assessment. In subsequent years, the Review Statement will contain a set of five to ten prospective goals and priorities (to be discussed with the Board) which will then be assessed the following year. Attachments to the Review Statement could include reports from participation at professional meetings, and College accreditation or other reports on the College's academic and fiscal health, including progress on long-range plans.

The Review Statement should generally follow this format:

#### ***The Chief Executive's Annual Management Review Statement***

##### *Retrospective*

- The goals mutually agreed upon about this time last year with a description of efforts to meet them.
- Any other personal and institutional achievements that you, your management team, or the faculty are especially pleased with beyond those cited above.

## **DRAFT**

- Particular disappointments, frustrations, or problems you may have experienced, especially those likely to persist.
- Relationships with the Board, faculty, staff, students, alumni, community and RMI leaders, or any other appropriate stakeholder groups or organizations. Examples of how the Board has been supportive of you personally and professionally—or how it can be next year.
- Any personal, family, or professional matters that affect the conduct of your presidency that the Board should know about. (The Board will consider such matters in absolute confidence, but you may choose instead to discuss these privately with the Board’s leaders. How can the Board or its leaders help address and resolve them?)
- Aspects of your presidency that have been especially rewarding, difficult, or frustrating that would help the Board more fully grasp how things are going.

### *Prospective*

- The College’s principal challenges and opportunities as you see them.
- The five to ten primary goals you propose for yourself and for the College for the next year or so.
- Any other thoughts, ambitions, or plans you have as president.

### *Other Information*

- Attach any other information that will help the Board assess the College’s health and progress over the past year or more (benchmarks, trend data, ratios, and the like).

## **IV. Comprehensive Review Process and Policy**

### Board of Regents Policy Statement

The COM-FSM Board of Regents should adopt, as official Board policy, a statement such as that which follows, which supplements the general policy:

This supplements the Board of Regent’s standing policy concerning annual presidential performance reviews. It details the purposes and process whereby the Board of Regents shall assess the performance of the president at four to six year intervals. Its implementation presumes that the president has served with distinction in his or her position for at least four years.

### *Purposes*

To strengthen the president’s performance and ensure the quality of the relationship between the president and the Board of Regents leadership by assessing the quality of

## **DRAFT**

their relationship and communication with one another on goals and mutual support. The process seeks to gather, on a wide range of management matters, the informed perceptions of leaders of major internal and external stakeholder groups, as well as those of the president and Board of Regents.

### *Responsibility*

It shall be the responsibility of the Board of Regents chair and president to mutually determine the composition of assessment committee of three to four Board members, one of whom will be designated chair. The Board may decide to employ one or two consultants to advise the committee on and conduct the review process. If so, no consultant shall be connected directly or indirectly with the College by present or past affiliation. The president shall be consulted on and be comfortable with the choice of the consultant(s). Procedural details shall be decided upon by the committee—and if used, with the consultant’s advice and counsel – and within the parameters of this policy.

### *Process*

All activities in this process shall be completed within four months. The activities shall include personal and small-group interviews with appropriate individuals, internal and external to the institution, as the committee shall agree on. They also shall agree on the general nature of the questions to ask. (See addendum A for a suggested interview protocol). A staff member shall be assigned by the Board chair to work directly with the committee (and consultants, if used).

The customary annual presidential management review shall be modified consistent with the consultant’s and committee’s advice. Prepared in advance of the review process, the statement shall provide a comprehensive picture of the institution’s academic, financial, and other indicators of progress during the chief executive’s tenure. It should highlight particular achievements, as well as persistent institutional issues.

The committee also shall decide how best to seize the opportunities for communication with the community before, during, and after this process. The committee is delegated the authority to (1) determine the report’s general written and/or oral format (for later submission to the full Board), and (2) the arrangement by which the committee will be available to discuss their report with the president and the full Board in executive session. If a consultant is used, the full Board should set the consultant’s compensation and an appropriate schedule of payments and reimbursements.

### *Outcomes*

The consultant (or committee) will provide a comprehensive written report detailing the institution’s progress and major achievements during the president’s tenure. This shall include several substantive recommendations for the president designed to strengthen the College’s management and governance. The report will help the Board and the president decide whether to consider setting or renewing a longer commitment to one another.

## **DRAFT**

### Process for comprehensive review

This process, to be conducted after the fourth year of incumbency and every four to six years as appropriate thereafter, may require the leadership of one or two external consultants, chosen by the Board of Regents and acceptable to the president. If a consultant(s) is not employed, the Regents will appoint a presidential assessment committee. Its membership shall include three to four Regents. The consultant (ad hoc committee) will be responsible for developing an interview protocol and for conducting personal interviews with a broad array of individuals and stakeholder (internal and external to the College), and for providing a comprehensive written report detailing the College's progress and the president's performance. The report will contain explicit recommendations that will help strengthen the president's performance, his or her relationships with the Board of Regents, and relationships with constituent groups, as appropriate. Any visiting consultants will receive logistical support from a staff member the president selects (to schedule interviews, make lodging and transportation arrangements, and so forth).

In contrast to the annual written management review, the president shall provide the consultant (or the assessment committee) with a confidential written document that is more comprehensive than the annual review statement and that covers the preceding period of service. The president shall have wide latitude in the format of this report and it should include a "State of the College" section. The report should:

- present a clear picture of the College's academic and financial progress and condition and use appropriate qualitative and quantitative benchmarks
- highlight what the president views as his or her major achievements and concerns, including overall progress on implementing or achieving a College strategic plan
- document the institution's record of service to its surrounding communities within the RMI
- document the major improvements in and current condition of the physical plant, and overall campus morale
- make special reference to achievements and concerns regarding the quality of and changes in academic programs, faculty appointments and retention, student and staff recruitment and retention, alumni support, and fund-raising
- be a reflection on his or her leadership within the RMI, and with the broader higher education communities in the U.S. mainland. References to preceding annual performance reviews are appropriate.



## **DRAFT**

If a visiting consultant(s) is employed, the Board will provide them with copies of the president's previous self-assessments, other reports, a history of the College and description of its programs and services, any relevant institutional trend and benchmark data for the four to six year period not otherwise provided, and a copy of the regional accrediting association's most recent report.

The consultant (committee) first will meet with the president and ordinarily will conduct at least three consecutive days of interviews on campus at an appropriate location. It may be necessary to conduct some interviews by telephone or in peer groups of two or three persons.

A consultant can be helpful in suggesting the types of persons to interview. Those interviewed should ordinarily include all institutional officers reporting directly to the president, all deans and directors of major units, current and recent faculty leaders, other faculty members who have chaired special institutionwide committees or projects, student government officers, elected leaders of the staff council, elected officers of the alumni association, and the Board of Regents. Externally, it will be important to interview a few prominent local business leaders, along with elected political and other RMI leaders knowledgeable about the College and the conduct of the presidency.

Upon completion of the site interviews, the consultants (committee) should meet with the president to clarify any relevant matters. With the understanding that they reserve the privilege of accepting or declining any suggestions for change or clarification, the consultant's (committee's) draft written report should be sent to the president to allow him or her to comment on their findings and recommendations. Once placed in final form, confidential copies should be made available in a designated office of the College. Strict confidentiality must be maintained.

As soon as possible after reviewing the consultant's (committee's) report, the full Board shall meet with the president – if consultants are employed, ideally in their presence – to discuss the report and recommendations. Special attention will be given to short-term and long-term goals.

The process will conclude with a confidential letter to the president that emphasizes current understandings, mutually agreed-upon short-term and long-term goals, and related matters.



## **DRAFT**

### **Sources**

The presidential evaluation process for College of Micronesia-FSM is adapted largely from *Presidential & Board Assessment in Higher Education: Purposes, Policies & Strategies* authored by AGB president Richard T. Ingram and William Weary, a 2000 AGB publication; and institutional best practices as identified in a national survey of presidents and Board chairs conducted by Merrill Schwartz, director of special projects at the Association of Governing Boards, summarized in AGB Occasional Paper, No. 34. Other AGB sources consulted include: *Presidential Assessment: A Guide to the Periodic Review of the Performance of Chief Executives*, by John W. Nason (1984) and “Supporting the President and Assessing the Presidency,” in *Governing Public Colleges and Universities: A Handbook for Trustees, Chief Executives, and Other Campus Leaders* (1993).

**Addendum A**

**Illustrative Interview Questions for  
Comprehensive Presidential Performance Assessment**

*Institutional Agenda*

Reflecting on the president's period of service, how has the College progressed during this time? What can you point to that indicates the College's health and standing have been strengthened by virtue of specific institutional goals and priorities having been met? Are any major College priorities being neglected?

*Academic Leadership*

How has the institution's general academic standing advanced since the incumbent began the presidency? What specific improvements in the quality of the College's academic programs can be largely attributed to the president's leadership? What other achievements are particularly noteworthy with regard to the president's leadership with the faculty in academic planning and innovation? In enrollment management and admissions?

*General Management and Planning*

What can you point to as laudable achievements in the Colleges's infrastructure, staffing, and information systems? Has the president formed a competent, motivated, and respected management team? Are you aware of improvements in personnel and physical-plant management? How would you describe the way College planning is conducted?

*Fiscal Management and Budgeting*

How well does the president understand the institution's financial condition? Has he or she helped the larger community understand it? Has there been success in meeting budgets and containing costs? Reallocating resources? Adhering to good financial (operating and capital) management practices?

*Fund-Raising*

What successes illustrate the president's ability to raise private dollars from individuals, corporations, and foundations? Is it apparent that the governing board is supportive in its personal philanthropy and related activity? Are donations from alumni steady, increasing or decreasing? How effective is the president with the elected leaders of RMI?

*Internal Relationships*

With which of the following groups has the president been particularly effective and ineffective, and why: the Board of Regents, academic and executive officers, staff, faculty, and students? What advice would you give the president concerning ineffective relationships, if any exist?

*External Relationships*

## **DRAFT**

With which of the following external groups has the president been particularly effective and ineffective, and why: alumni, local business leaders, elected political leaders, and the media? What advice would you give the president concerning ineffective relationships, if any exist?

### *Decision Making and Problem Solving*

Please describe the president's leadership style. To what extent does he or she delegate decisions when appropriate? How would you gauge the president's ability to cope in crisis situations? Can the president make difficult decisions in timely ways? Does the board encourage the president to demonstrate courageous leadership and to publicly support difficult decisions after they are made? Can you give some explicit examples?

### *Other Perspectives*

Reflecting on the president's years of service, what major achievements or shortcomings come to mind? Is there evidence that the Board of Regents and president are fully supportive of one another? What is the most important thing the president can do to strengthen his or her effectiveness? What is the most important thing the Regents can do to strengthen its effectiveness or the president's effectiveness? Any closing words?

## **DRAFT**

### **Addendum B**

#### **Alternative Comprehensive Review (that includes a simultaneous review of the Board of Regents)**

This Board of Regent's standing policy details the purposes and process whereby the Board shall assess simultaneously its performance and that of the president, at five-year intervals, and with the assistance of external consultants. Its implementation presumes that the president has served with distinction in his or her position for at least five years.

##### *Purposes*

To strengthen chief executive and Board leadership by assessing the quality of their relationship and communication with one another on goals and mutual support through an independently conducted process. The process seeks to gather, on a wide range of management and governance matters, the informed perceptions of leaders of major internal and external stakeholder groups, as well as those of the president and Board of Regents. An additional purpose may be to help the president and Board decide whether they wish to make a longer commitment to one another.

##### *Responsibility*

It shall be the responsibility of the Board chair and president to mutually determine the composition of an ad-hoc assessment committee of three to seven Board members, one of whom will be designated chair. The president and Board chair shall be ex-officio members of the committee. The committee shall be responsible for identifying one or two consultants to advise the committee on and conduct the review process. No consultant shall be connected directly or indirectly with the College by present or past affiliation. The president shall be consulted on and be comfortable with the choice of consultants, at least one of whom may be a former chief executive of an institution of similar scope and mission. Procedural details shall be decided upon by the committee—with the consultants' advice and counsel, and within the parameters of this policy.

##### *Process*

All activities in this process shall be completed within four months after the selection of the consultants. The activities shall include personal and small-group interviews with appropriate individuals, internal and external to the institution, as the committee and consultants shall agree on. They also shall agree on the general nature of the questions to ask. A staff member shall be assigned by the Board chair and president to work directly with the consultants and the committee.

The customary annual presidential management review shall be modified consistent with the consultants' and committee's advice. Prepared in advance of the review process, the statement shall provide a comprehensive picture of the institution's academic, financial, and other indicators of progress during the chief executive's tenure. It should highlight particular achievements, as well as persistent institutional issues.

## **DRAFT**

The committee also shall decide how best to seize the opportunities for communication with the community before, during, and after this process. The committee is delegated the authority to set (1) the consultants' compensation and an appropriate schedule of payments and reimbursements, (2) the report's general written and/or oral format (for later submission to the committee, president, and Board), and (3) the arrangement by which the consultants will be available to discuss their report with the president and the full Board in executive session.

### *Outcomes*

The consultants will provide a comprehensive written report detailing the institution's progress and major achievements during the president's tenure. This shall include several substantive recommendations for the president and the Board designed to strengthen the College's management and governance. The report may, without committing the consultants to an opinion, help the Board and the president decide whether to make a longer commitment to one another. The consultants may also be expected to help with the development of post-review press release.