ACADEMIC IMPRESSIONS

HIGHER ED IMPACT
MONTHLY**DIAGNOSTIC**
February 2012

Deploying Intentional Staff Performance Metrics in Higher Education

HIGHER ED IMPACT

Delivered free to your inbox, *Higher Ed Impact* provides you with a full tool kit to help you monitor and assess the trends and strategic challenges likely to have an impact on your institution's health and competitiveness.

DAILY**PULSE**

Scan current events, timely research, and notable practices at other institutions.

WEEKLY**SCAN**

Review the week's most significant events and the most timely research in higher education, with key takeaways suggested by higher education's leading experts.

MONTHLY**DIAGNOSTIC**

Get an enterprise-wide and in-depth look at a current, strategic challenge; identify steps to take and critical questions to address.

Learn more or sign up to receive *Higher Ed Impact* at:
http://www.academicimpressions.com/news-publications

like us on facebook
facebook.com/academicimpressions

follow us on twitter
twitter.com/academicimpress

ABOUT ACADEMIC IMPRESSIONS

We are an organization that exclusively serves higher education professionals. We offer focused and intentionally crafted learning experiences to help you address your most pressing challenges.

Our work addresses a range of issues related to student recruitment and retention, faculty support and development, alumni engagement and development, and increasing organizational productivity.

Learn more at **www.academicimpressions.com.**

A LETTER FROM AMIT MRIG
PRESIDENT, ACADEMIC IMPRESSIONS

Establishing a culture of performance at colleges and universities is rapidly becoming a necessity as increased competition and an unsustainable cost structure drives institutions to rethink how they do business.

To remain competitive and respond to increased calls for accountability, institutions need to grapple with the critical question of how best to balance building a high-performance culture while honoring the ideals, traditions, and fundamental purpose of higher education. These two goals can't be viewed as mutually exclusive. As an initial step, managers in higher education need to define staff performance metrics that are results-focused while not unnecessarily reductive.

In this edition, we've sought the advice of highly successful managers, both at academic institutions and in the corporate sector, to gather key considerations for deploying staff metrics in a thoughtful and credible way within the unique context of higher education. We hope their advice will be useful to you.

MONTHLY DIAGNOSTIC ONLINE

Download this PDF and read this issue's articles online:
http://www.academicimpressions.com/news/deploying-intentional-staff-performance-metrics-higher-education

AI Contributors

Amit Mrig
PRESIDENT, ACADEMIC IMPRESSIONS

Amit co-founded Academic Impressions in 2002 to provide a variety of educational products and services that help higher education administrators tackle key, strategic challenges. Since 2002, AI has designed and directed hundreds of conferences and has served representatives from over 3,500 higher education institutions. Besides designing and leading events for cabinet-level officers focused on strategic planning, budgeting, and leadership development, Amit leads Academic Impressions' ongoing research into the five- and 10 year challenges facing higher education and plays a lead role in outlining each issue of *Higher Ed Impact: Monthly Diagnostic* to highlight how college and university leaders can take an institution-wide approach to answering those challenges.

Daniel Fusch
DIRECTOR OF RESEARCH AND PUBLICATIONS, ACADEMIC IMPRESSIONS

At Academic Impressions, Daniel provides strategic direction and content for AI's electronic publication *Higher Ed Impact*, including market research and interviews with leading subject matter experts on critical issues. Since the publication's launch in 2009, Daniel has written more than 150 articles on strategic issues ranging from student recruitment and retention to development and capital planning. Daniel previously served as a conference director for Academic Impressions, developing training programs focused on issues related to campus sustainability, capital planning, and facilities management. Prior to joining Academic Impressions, Daniel served as adjunct faculty for the University of Denver. Daniel holds a Ph.D. in English.

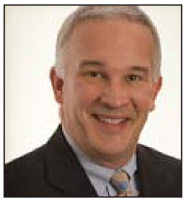
Jason J. Shuba
SENIOR CONFERENCE DIRECTOR, ACADEMIC IMPRESSIONS

Jason leads AI's advancement business and directly manages all of its efforts in shop planning, major/planned giving, campaigns, and advancement services. Since joining the company, he has developed innovative programming covering topics across advancement management, including acclaimed offerings on partnerships with academic leadership, maximizing board/advancement relationships, and staff evaluation. Licensed to practice law in Colorado and Illinois, he received his B.A. from Denison University and J.D. from Case Western Reserve University.

Contributors

Raoul A. Arreola
PROFESSOR EMERITUS, THE UNIVERSITY OF TENNESSEE HEALTH SCIENCE CENTER

For more than two decades, Raoul has conducted national workshops on faculty evaluation for thousands of faculty and administrators from over 500 colleges throughout the world. He has been invited to make numerous keynote addresses on the topics of assessing faculty performance, evaluating and enhancing teaching, the use of technology in teaching, and identifying, measuring, and developing the skill set components of teaching excellence. In 2004, Raoul received the McKeachie Career Achievement Award from the American Educational Research Association's Special Interest Group on Faculty Teaching, Evaluation, and Development. In 2005, his work on defining the professoriate as a meta-profession and identifying the subordinate skill sets of faculty work was recognized by the American Educational Research Association, which presented him with its prestigious Relating Research to Practice Interpretive Scholarship Award.



Richard K. Dupree
ASSISTANT DEAN, DEVELOPMENT AND ALUMNI RELATIONS, KELLEY SCHOOL OF BUSINESS, INDIANA UNIVERSITY

A fundraising executive and consultant, Rick comes to the topic of evaluating annual giving professionals with a broad background in advancement. Serving as a senior development professional for over 20 years, his expertise in designing metrics to evaluate advancement staff has led him to advise on the subject both domestically and abroad. Prior to his current role, Rick served on the development staff at the University of Evansville and as director of major gifts as well as managing director of capital campaigns for Michigan's Interlochen Center for the Arts.

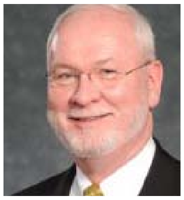
Kimberly Eberbach
VICE PRESIDENT OF HUMAN RESOURCES, INDEPENDENCE BLUE CROSS

Kim Eberbach is vice president of human resources at Independence Blue Cross in Philadelphia. In this role, Kim is responsible for the development and execution of the people and culture strategy to support short-and long-term business performance. Since joining Independence Blue Cross in 2003, Kim has held various leadership roles in the areas of training and development, leadership and executive development, employee communications, employee initiatives, talent acquisition, and compensation and benefits.

Prior to joining Independence Blue Cross, Kim spent 10 years consulting in the arenas of change management, leadership and team development, process improvement, and training and education. Her clients reflected a broad spectrum of industries and segments, including technology, pharmaceuticals, manufacturing, healthcare, education, and government. Before she entered into consulting, Kim worked in higher education and clinical psychology research.

D. Scott Peters
DIRECTOR, ANNUAL GIVING, UNIVERSITY OF RICHMOND

With nearly 20 years of annual giving experience at both large public and small private institutions, Scott currently manages a staff of 14 with an eye toward performance tracking to improve Richmond's fundraising efforts. Starting his advancement career at West Virginia Wesleyan College, he went on to manage successful annual giving programs at Eastern Kentucky University, Pomona College, and, most recently, Valparaiso University. Scott has presented at both regional and national events across the country.

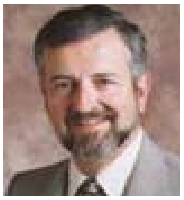


Patrick Sanaghan

PRESIDENT, THE SANAGHAN GROUP

Pat is the president of The Sanaghan Group, an organizational consulting firm that specializes in strategic planning, leadership development, executive team building, meeting facilitation, and leadership transitions. He has worked in more than 100 organizations and 60 campuses over the past 25 years. He has taught strategic planning to more than one thousand administrators in higher education.

Pat speaks and writes frequently on leadership and strategic planning. He is the author of numerous articles and has co-authored several books on strategic planning, high-performing teams, and change management. His book, Presidential Transitions, was published by ACE/Praeger in 2007. His most recent book on collaborative strategic planning was published by NACUBO, and he is currently writing a book on exceptional leadership.



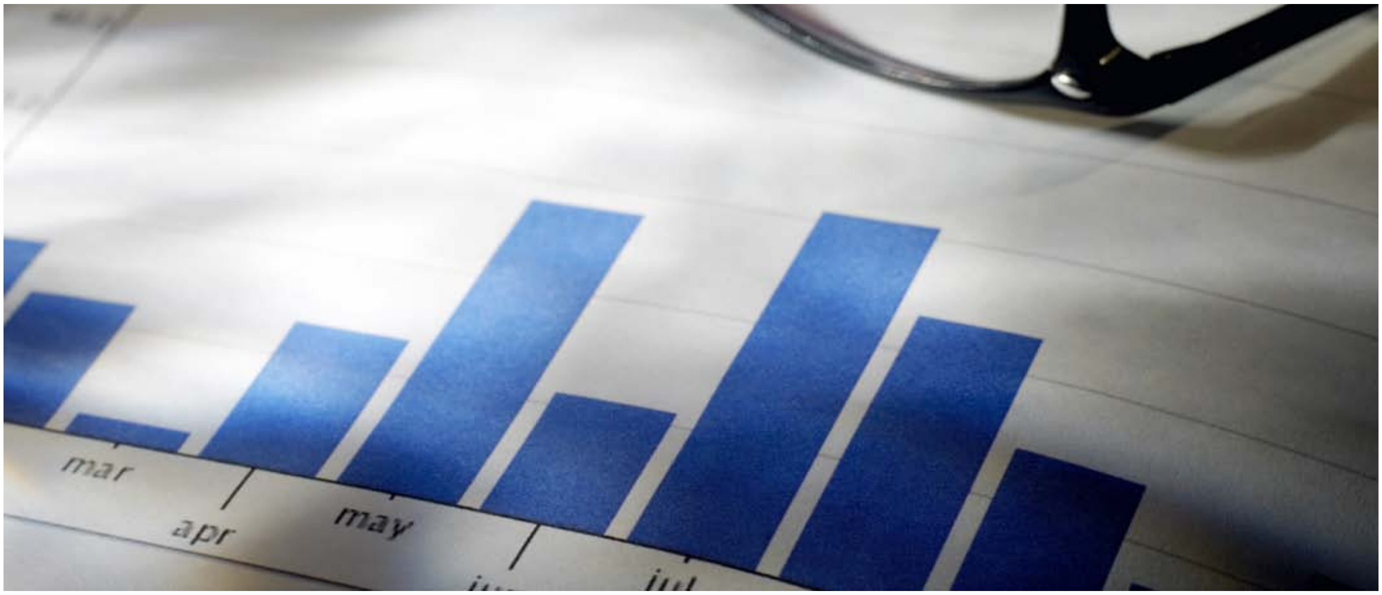
Michael Theall

MICHAEL THEALL, PROFESSOR, TEACHER EDUCATION, YOUNGSTOWN STATE UNIVERSITY

An educator for 41 years, Mike has directed teaching centers at four universities and managed student ratings systems at two institutions. His scholarship is extensive, having authored more than 270 books, monographs, papers, presentations, workshops, and webinars on college teaching, faculty evaluation and development, teaching improvement, the professoriate, organizational development, and educational technology. He has consulted to more than 100 institutions in the US, Canada, Singapore, and China, and has been recognized for his research on student ratings of teaching and his work on the professoriate as a meta-profession. In 2011, Mike completed a three-year term as president of the POD Network.

CONTENTS

Deploying Intentional Staff Performance Metrics in Higher Education



DEFINING WHAT ACTIVITIES ARE TRULY CRITICAL

Staff metrics and evaluation can be used to incentivize both superior staff performance (by giving managers the rationale and flexibility to reward high performers) and meaningful progress toward the strategic goals of your unit — if you approach staff metrics in a thoughtful, credible way. This entails:

- Defining what activities are truly critical to measure
- Establishing criteria or rubrics for various levels of performance
- Designing and rolling out metrics through a fully participatory process
- Ensuring that the metrics inform effective supervision and staff development

There is often need for greater intentionality in deploying staff metrics across both the administrative and academic divisions of an institution. In this edition, we'll address examples from both sides of the organization.

FOCUS ON RESULTS, NOT TASKS

First, just because something is easy to measure doesn't mean it's the right thing to measure. It may be easy to track the number of service requests responded to by facilities management staff or the number of events organized by alumni relations staff, but these measure tasks completed, not necessarily progress toward that unit's strategic outcomes.

To take a more intentional approach to measuring performance, identify the outcomes that truly matter to the division (whether these are learning outcomes, retention, engagement, dollars raised), then identify those activities that contribute most to achieving these outcomes — thus aligning the work with the objectives.

Here's an example. Overseeing major gift officers as the assistant dean of development and alumni relations for the Kelley School of Business at Indiana University, Rick Dupree realized that simply recording the number of visits made to prospects or the number of dollars raised was not enough to really measure high versus low performance.

Dupree developed a system based on four core measures — dollars raised, proposals, contacts, and dollars spent. The key was to measure the cost per dollar raised. Dupree wanted to know how much his major gift officers were spending in order to bring in the funds they were seeing.

If you can measure and quantify the impact of a staff member or a team's work on one of your unit's core objectives, then you can justify:

- Whether to hire more staff
- Whether and where to invest in additional training and staff development
- Rewarding high performers
- Dismissing your lowest performers

When our staff metrics are focused on outcomes, the blueprint for where we are and what we need to do next is no longer foggy. Staff can see quantitatively what impact they've had on the unit's and the institution's goals. This builds pride in the institution and in one's work.

Rick Dupree, Indiana University

HOW THESE PRINCIPLES APPLY TO FACULTY WORK

The academic side of the house faces unique obstacles to the alignment of evaluative metrics with the goals of the department or the college. Often, the existing faculty evaluation policy prescribes a fixed set of weights to the core activities of teaching, research, and administrative service or service to the profession.

For example, one institution might specify that a faculty member's work in teaching, research, and administrative service are weighted 40, 40, and 20 percent, respectively, across all of a department's tenure-track faculty. This approach shows a lack of alignment between faculty evaluation, the goals of a particular faculty member's work, and the objectives and priorities of that department. A department may have hired a full-time instructor who is tasked primarily with teaching and some student advising, while a full professor in the same department has quite different responsibilities, including academic research and some degree of administration.

A fixed set of weights only works if every faculty member has the same set of responsibilities, the same appointment, and the same resources. This is not the case.

Raoul Arreola, University of Tennessee Health Science Center

Raoul Arreola, professor emeritus at the University of Tennessee Health Science Center and author of *Developing a Comprehensive Faculty Evaluation System* (Anker Pub Co.: 2000), suggests that academic departments need to set clear operational objectives based on the strategic goals or priorities of their college.

It is possible, for example, that at a given institution one department may set objectives that are more focused on bringing in grant dollars and producing substantive research, while another department's work is key to the institution's effort to improve student learning outcomes and student persistence to the second year. If the department has explicit objectives that are clearly aligned with the strategic goals of the institution, this provides a basis for defining sets of responsibilities and activities for each individual appointment within the department in the service of meeting those objectives.

This clearly cannot be a top-down deliberation. Each department needs to survey its faculty about what activities they believe contribute most to the department's goals. Identifying the most critical activities has to be an open and collaborative process between faculty and administration, or it simply won't be credible — or relevant.

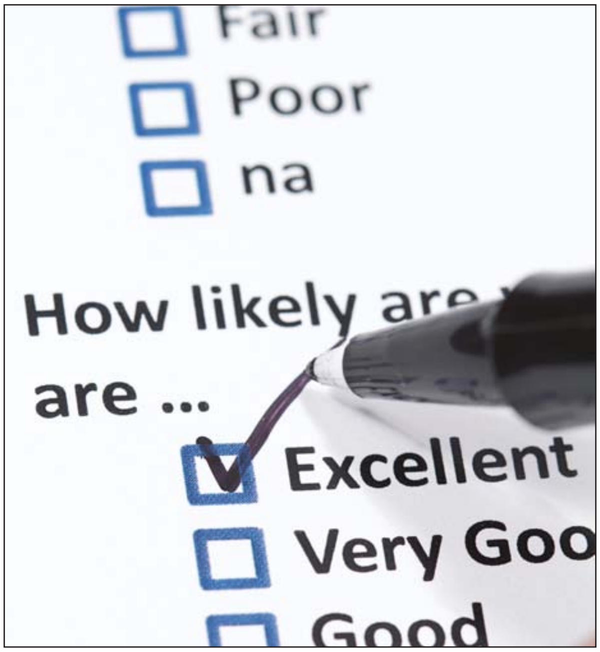
ASSIGNING WEIGHTS TO SPECIFIC ACTIVITIES

Once you've identified what activities are most critical to achieving your unit's objectives (whether in an administrative or academic department), assign relative weights to those activities. The weight assigned to an activity needs to be an expression of the importance of that activity to the unit's goals.

Let's suppose, for example, that you establish a "point system" for scoring staff activity. Your unit has identified 4-5 key goals, and for a given year, you divide 100 points up among those goals.

For example, your major gift office allocates 35 points to a goal of dollars raised and 15 points to contacts, two of the office's key goals. You then (collaboratively) assign point values to specific activities that contribute toward those goals. Perhaps amounts in cash and cash pledges are worth a certain number of points, while amounts in deferred gifts are worth a different number. This needs to reflect your unit's strategy for the year.

Mike Theall, an associate professor at Youngstown State University and a leading thinker on faculty evaluation, notes that the same approach can work in an academic department. There are two steps. First, the college as a whole needs to decide on an appropriate *range* of relative weights that can be broadly assigned for teaching, research, and service. It's crucial to allow each department the flexibility to adjust those weights to its specific objectives, and to a particular faculty member's appointment.



Second, within each department, the chair and faculty work together to arrive at a scoring system that assigns weights to various activities that have an impact on the department's specific objectives for teaching, research, and service. Perhaps a local presentation (e.g., when a faculty member from the school of education gives a talk to local teachers) or a letter to the local newspaper is worth one point, while presenting a paper at a competitive national conference is worth five points. How many points will your department assign to a peer-reviewed article?

> Rather than make qualitative judgments about each piece of work completed, you set criteria ahead of time that let both faculty and administrators know the relative weight that will be assigned to each type of work.
>
> **Mike Theall, Youngstown State University**

STAYING AGILE

Finally, the process of identifying key activities and weighting them can't be regarded as a one-time effort. "Your department's goals," Dupree remarks, "and therefore the metrics you use to measure success toward those goals, need to be responsive to the changing trends and demands of the environment."

Theall adds, "The expectations for performance and your department's definitions of what constitutes adequate or more-than-adequate performance has to be an ongoing dialogue – not just once in every 10 years when the accreditor is coming. Use annual goal-setting and involve the greatest number of faculty possible in the dialogue."

Kim Eberbach, who has been instrumental in deploying staff metrics systems and leadership development programs in the corporate sector at Independence Blue Cross, suggests this approach to annual goal-setting: "Sit down with your team each year to debrief:

- What are all the things your unit accomplished this year?
- What did you learn?
- What things didn't get accomplished that you hoped would, and why?
- Which of these objectives do you need to put on the plate for next year?

"Use this conversation to get everyone focused on the higher goals of the organization, and to invite an open dialogue about your goals for the next 12 months and how the work of each function within the unit can best be aligned with and support these goals. If you don't achieve this alignment, it doesn't matter how well you're doing the work, because if the work doesn't further the organization's goals, then the level of performance is moot."

For example, during a recession year, one in which donors are especially reticent, perhaps the development office's strategy shifts — and the weights assigned to the various key performance measures for gift officers shift accordingly.

"In that year, we need to build relationships," Dupree observes, "so that we can step hard on the gas when the economy recovers." Perhaps that year, the development office allocates fewer points to dollars raised and really focuses on awarding staff points for contacts.

ADVANCEMENT PROFESSIONALS:

Academic Impressions has programming and resources you need to measure the performance of your entire advancement shop.

UPCOMING EVENTS

FREE WEBCAST: ANSWERING FIVE KEY ADVANCEMENT STAFF METRICS QUESTIONS

MARCH 19, 2012 - 1:00 TO 2:00 P.M. EDT

MEASURING AND EVALUATING YOUR PROSPECT RESEARCH AND MANAGEMENT STAFF

APRIL 23, 2012 - 1:00 TO 2:30 P.M. EDT

MEASURING AND EVALUATING DEVELOPMENT OFFICER PERFORMANCE

JUNE 19 - 20, 2012 :: LOCATION DETAILS COMING SOON

MEASURING AND EVALUATING YOUR ANNUAL GIVING

JULY 16, 2012 - 1:00 TO 2:45 P.M. EDT

MEASURING AND EVALUATING YOUR ALUMNI RELATIONS STAFF

AUGUST 28, 2012 - 1:00 TO 2:45 P.M. EDT

MEASURING AND EVALUATING CORPORATE AND FOUNDATION RELATIONS STAFF

SEPTEMBER 11, 2012 TO 1:00 – 2:45 P.M. EDT

MEASURING AND EVALUATING PLANNED GIVING STAFF

OCTOBER 3, 2012 - 1:00 TO 2:30 P.M. EDT

RUBRICS TO MEASURE SATISFACTORY AND SUPERIOR PERFORMANCE

Once you have identified and weighted those activities that have the greatest impact on your department's ability to meet its operational objectives, the next step is to determine what evidence would be sufficient to determine if these activities have truly been carried out in a satisfactory, superior, or less-than-satisfactory manner. This is true whether you are looking to adopt more intentional metrics for your admissions office, your major gift officers, your faculty, or staff in any other division within the institution.

By identifying and publicizing thoughtful and intentional criteria for measuring the success of staff activity, you avoid relying on purely qualitative or subjective assessments of staff or faculty performance — and you ensure that the way staff performance is evaluated is aligned with the decisions your unit reached about what activities are truly important in meeting the unit's goals.

Let's take a closer look at how rubrics might be applied within both an administrative unit and an academic department.

EXAMPLE: A RUBRIC TO ASSESS THE QUALITY OF ANNUAL FUND VISITS

When Scott Peters rolled out more intentional performance metrics for his annual gift officers at the University of Richmond, he wanted to take a more rigorous look at how well his officers were performing during visits. He realized that simply tracking the number of visits completed didn't tell him much about the *quality* of those visits — how effective they actually were. So Peters identified four measures that, taken together, would allow him to devise a rubric for determining the level of performance of his direct reports:

- The overall number of visits
- What percentage of the visits are asks
- The number of upgrades
- How many volunteers were recruited during these visits

Setting specific expectations around satisfactory, unsatisfactory, and exemplary numbers for each of these measures — and then looking at all four together — allowed Peters to get a "whole picture" look of the quality of work, on a monthly basis. His officers knew that it wouldn't be enough to just seek gift renewals — they would need to secure a sufficient number of upgrades, as well ("we're fund*raisers,* not fund*maintainers*," Peters remarks). Similarly, his officers knew that they would need to balance solicitations and volunteer recruitment, rather than just focusing on one or the other. If an officer was underperforming, using this rubric Peters could pinpoint what was most difficult for that team member, and then work with the officer to identify training opportunities and goals for improvement. Similarly, the rubric gave Peters a rationale for rewarding his highest performers.

What proved especially important in developing the rubric:

- Taking into account all factors within the staff member's control that contribute significantly to the success of a particular activity (in this case, visits)
- Ensuring the flexibility to tailor the measures to a particular staff member's activities
- Adjusting metrics according to the total programmatic needs of the department

ESTABLISHING CRITERIA FOR MEASURING FACULTY PERFORMANCE

The same principles apply in an academic department. Rubrics for measuring levels of performance among faculty need to be quantifiable, as well. "To the extent possible," Raoul Arreola advises, "you want to ensure that the department isn't relying too much on qualitative and subjective judgments of a faculty member's progress."

Arreola recommends that faculty and administration collaborate in developing checklists of minimum requirements for the success of various faculty activities (for example, what must be included in a syllabus in order for course design to be judged effective?), as well as checklists of elements that, if present, would allow the performance of a faculty activity to be considered "exemplary." These checklists then form the basis for a performance rubric, lending greater objectivity to the evaluation process and ensuring that faculty evaluation is aligned with the department's strategic priorities.

However, it's critical that this "checklist" approach not become overly reductive — and avoid over-emphasis on any one measure. "The rubric needs to define levels of performance holistically," Arreola notes, "across those activities within the instructor's control that contribute to the department's goals."

For example, resist the temptation to rely heavily on exam scores for particular courses as the primary criterion of teaching effectiveness for a faculty member. The problem, Arreola cautions, is that a number of factors (ranging from the student's own aptitude to the student's life circumstances) that the instructor has no control over can have an impact on these scores. Arreola recommends focusing on those items within the instructor's control that the research indicates contribute to student learning, such as:

- Effective course design (as evidenced by the syllabus)
- Presentations
- Materials
- The design of the instructional delivery
- Student response to the instructional delivery

Arreola does note, though, that exam scores are a valid criterion for assessing student learning outcomes at the program level.

ROLLOUT AND BUY-IN: HANDLING THE TRANSITION TO MORE EFFECTIVE STAFF METRICS

Few changes offer as much opportunity for resistance and tension within a unit as changes to the method of evaluating performance. It's critical that not only the decisions around identifying the key metrics themselves but also the decision-making process, communication of the decisions made, and the steps for rolling out the new system are equally intentional.

We've identified three key principles of an effective transition to a new system for evaluating faculty or staff:

- The metrics are developed as a collaborative effort between staff and supervisors
- The goals of moving to a more sophisticated system of performance metrics are clear, and it's communicated that the metrics will be used as the basis for incentives and rewards for superior performance
- The process for rolling out the metrics is phased and deliberate

DEVELOP THE METRICS IN DIALOGUE WITH YOUR STAFF

Rick Dupree, assistant dean of development and alumni relations for the Kelley School of Business at Indiana University, emphasizes the importance of not just dictating goals but of developing metrics in partnership with your staff. "Chat with them about what they're sensing about the economy, about donor perceptions. Find out what challenges they're facing. Let your officers play a role in determining what the metrics will be. Then, when you roll out the next year's goals, everyone is already sold on what they will be."

Soliciting input and testing ideas will help you keep the measures realistic. Scott Peters, director of annual giving at the University of Richmond, cites the example of one class giving officer who has a different portfolio than the others. This officer is involved in the senior gift, and will not be able to make the same number of visits as the other officers. "Had I simply rolled out one-size-fits-all metrics without a dialogue with the head of the class giving program," Peters cautions, "I wouldn't have known about this potential issue."

> The success of any evaluation system depends on open dialogue, and on a publically reached and communicated consensus. Groups need to make these determinations, not a single individual.
>
> **Mike Theall, Youngstown State University**

A CULTURE OF INCENTIVES

Rolling metrics out in a thoughtful and credible way requires first being deliberate in how you talk about the new metrics, and how you conceive of and communicate the importance and the opportunities of the new system. The unit needs to know how this system will do a better job than the old one at rewarding performance and incentivizing work in ways that contribute to the unit's success.

> Metrics are a tool for taking good staff and helping them become superb. Make bonus pools available to incentivize and reward exceptional performance, and set clear expectations and metrics that help staff see how to excel. Don't make your metrics system look like a micromanaging tool — it has to be seen and treated as an opportunity to showcase and reward really high-quality work.
>
> **Rick Dupree, Indiana University**

> A good metrics system means that staff know what's expected; they know what will happen if they meet and exceed goals. It takes away the guessing game. It incentivizes them to do excellent work and be recognized for it.
>
> **Rick Dupree, Indiana University**

To justify offering bonuses and incentives (particularly given today's budgets), you need metrics. Given metrics that are tightly aligned with the unit's goals, however, you can use the bonus pool to drive superior performance.

If you are rolling out a scoring system of 100 points for staff activity in a given year, set a goal for the total number of points that need to be achieved that year. Staff who accumulate the necessary points have shown an acceptable level of performance; staff who exceed it have shown exceptional performance and are eligible for incentive pay and bonuses.

AN INTENTIONAL AND PHASED ROLLOUT

Establishing an intentional and deliberate rollout process can be just as critical as communicating an intentional message about the goals behind the adoption of these metrics.

Scott Peters recognized the necessity of rolling out the system in phases; to document performance on one particular staff activity (visits to prospecitve donors and volunteers), Peters developed a simple initial spreadsheet that gift officers would email to him each month. Each report listed who the officer visited, the purpose of their visit, what the officer asked for, how much was given, and how that amount related to last year's gift.

Peters also facilitated ongoing dialogue about the spreadsheet; he wanted regular staff input on this pilot in more intentional metrics. Did staff feel it was effectively documenting the most important contributing factors to their success? Were there gaps?

The need for a phased rollout is equally true on the academic side of the house. Mike Theall suggests the following participatory process for developing, piloting, and rolling out metrics for faculty evaluation:

- An open discussion of the purpose — what the department hopes to accomplish
- Gather faculty input on the most critical activities and how these should be weighted (Theall recommends focus groups rather than simply questionnaires)
- Aggregate the results and present them to faculty; let faculty know that this input will inform the effort to develop a new faculty evaluation system, and that they will vote on the applicability of the new system before it is ever rolled out
- Do a two-year pilot project: for the first year, collect data on the new key performance measures; these data should be available only to the individual faculty, not to administration
- Second year of data collection: make it optional whether faculty want to submit the data as part of their promotion and tenure process
- At the end of the second year, provide faculty with the analysis of the data and look for a consensus decision on whether to adopt the new system and replace the old one

This phased rollout takes the time to ensure that the faculty evaluation system actually fulfills the needs of the department, and a majority vote alleviates the resistance one might expect with a less thoughtful rollout.

USING PERFORMANCE MEASURES TO DRIVE FACULTY AND STAFF DEVELOPMENT

When performance metrics are developed in collaboration with staff and treated as a basis for incentivizing and rewarding superior performance, this entails a rethinking of the role and process of supervision. Check-ins between managers and staff, or between department chairs and faculty, can become a structured dialogue centered on the key performance measures and the resources needed to support faculty and staff in achieving success.

We turned to Pat Sanaghan, president of The Sanaghan Group, and Mike Theall, an associate professor at Youngstown State University and a leading thinker on faculty evaluation, to learn more about what more effective supervision for faculty and staff would look like. Here is their advice.

EFFECTIVE SUPERVISORY DIALOGUE

Sanaghan, who is publishing a chapter on structured supervisory dialogue in his forthcoming book, *How to Actually Build an Exceptional Team*, suggests the guiding principle that the focus of supervision has to be the success of the team member in contributing to the unit's goals. "The dialogue between supervisor is not meant to be critical," he cautions. "Supervisors need to be asking themselves not how they can correct problems, but how they can incentivize, promote, and reward superior performance."

To facilitate a productive dialogue with that goal, Sanaghan recommends structuring the annual review around these seven questions for the team member (based loosely on a concept piloted by his colleague Rod Napier):

- When you look back over the past year at your efforts and at your key performance measures, what stands out to you regarding what you have accomplished?
- What have been some important "lessons learned" from the past year?
- What have been some challenges or difficulties you have encountered over the year?
- What are 1-2 areas of "needed development" to work on this year? (How will you enhance your effectiveness?)
- What are some things you would like to accomplish over the next 6-12 months? (Please provide a rationale for each goal and a way to measure progress toward it)
- What education or training do you think you will need to be successful this upcoming year?
- How can I support you as your supervisor?

This approach requires that both supervisor and staff know what questions will need to be addressed and what metrics will be referred to in order to benchmark success. Both supervisor and staff can then come prepared for a productive discussion and a negotiation of shared goals for the next year. This approach provides the basis for shared accountability and for establishing a supervisor/staff relationship that is focused on improving performance and supporting staff in reaching the next level in their efforts.

BETWEEN ANNUAL REVIEWS

Sanaghan and Theall both stress the importance of ongoing conversation and regular check-ins. In the case of faculty, who work more autonomously than many staff, Theall recommends that the chair approach the faculty near the end of their first year — or even earlier — for an initial check-in. If your faculty are setting annual goals, progress toward those goals and support needed to pursue them can be the focus of the check-in. Also, ensure that ongoing faculty mentorship is available from the time of the new faculty member's arrival in the department.

LEARN MORE

ENSURING THAT FACULTY MENTORING IS MEANINGFUL AND EFFECTIVE

Read this **March 2010 article** to review several best practices for faculty mentoring.

"Good managers," Theall comments, "help people succeed by creating environments where they have the greatest opportunities to succeed and then providing regular feedback so they can make necessary adjustments."

It's important for the chair to be informed and up to date about the progress of a faculty member, particularly with new faculty. If you wait until the fourth year before giving any substantive feedback about expectations and performance, then you're not doing them much of a service.

Mike Theall, Youngstown State University

For staff in the administrative divisions, Sanaghan recommends informal check-ins on a monthly basis. "This could be a lunch, this could be coffee, this could be blocking an hour to discuss how things are going, what challenges are coming up, what support may be needed." Doing the math to identify how much of the supervisor's time would be committed to these regular check-ins and reviews, Sanaghan notes that a manager overseeing eight direct reports would need to devote 5-7 percent of his or her time to the work of supervision.

"This may feel like a lot of time," Sanaghan remarks, "but this process actually saves time. Instead of devoting hours to putting out fires and solving problems, you are instead checking in regularly and addressing items long before they become real issues."

Tailoring Metrics and Supervision to Individual Faculty

Mike Theall recommends approaching performance metrics and supervision with considerable flexibility. "Not everyone will be a champ in everything," he notes. "A strong department has an array of faculty with skills that together address the most important things we need to get done. Rather than penalize faculty who are strong in one area and weak in another, use flexible performance measures to help drive and reward an individual faculty member's development. The instructor might say, 'I want 70 percent of my evaluation in this year's annual review to be focused on teaching effectiveness.' Next year, the instructor might say, 'Okay, I feel more confident in my teaching, let's allocate more points to scholarship this year.' In the absence of this structured flexibility, what typically happens is that new faculty are under a lot of pressure to achieve everything at once: get high student ratings, participate on 12 committees, churn out publications and research. But that's a miserable way to treat people. Set individualized yearly goals that allow faculty to develop strengths and that allow you to reward their progress along the way."