



## The American University of Kurdistan Vice Presidents’ Performance Review Policy

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### I. INTRODUCTION

- a. **Authority:** The Board of Trustees (herein referred to as “Board”) at The American University of Kurdistan (herein referred to as “AUK” or “University”) is authorized to establish rules and regulations to govern and operate the University and its programs.
- b. **Purpose:** The purpose is to set forth a policy to establish criteria and procedures for the evaluation of Vice-Presidents at the University. The evaluation process should be designed to identify and encourage excellence and effectiveness/productivity, and to identify areas of concern that may require the execution of a professional development plan.
- c. **Scope:** This policy applies to the Provost (VP of Academic Affairs), Vice-President of Administration and Finance, and any other VP that may be added to the organization of the University.

### II. ROLES AND RESPONSIBILITIES

- a. **Responsible Executive:** President
- b. **Responsible Administrator:** President
- c. **Responsible Office:** Office of President
- d. **Policy Contact:** Office of the President

### III. DEFINITIONS OF TERMS USED IN FACULTY EVALUATION PROCEDURES

- a. Authorized Evaluators: The President, and representatives of the Board of Trustees as appropriate.
- b. Conference: An evaluation conference is a meeting in which evaluators discuss with the person evaluated the results of the evaluation and announce recommendations.
- c. Consultation: A consultation is a conference with the person evaluated following an evaluation visitation. A consultation should (a) indicate areas of competence and (b) make specific suggestions for the improvement in the administrative role as per the job description.
- d. Evaluation: An evaluation is a periodic and specified formal judgment of an employee’s performance. The evaluation will be recorded on a standard University form and will be completed by the time chosen as per the evaluation schedule.
- e. Evaluation Terms: The rating scale for use on standard University evaluation forms reflecting appropriate performance expectancies shall be the following:
  - i. Performance exceeds expectations: (Used to commend the employee for performance above the expected)
  - ii. Performance meets expectations: (Used to acknowledge meeting the institutional expectations for the performance of duties and responsibilities)
  - iii. Improvement recommended: (Used to warn the employee that performance is below institutional expectations)
  - iv. Performance does not meet expectations: (Used for unacceptable performance) Not applicable/Insufficient data
- f. Self-Evaluation: A summary written by the Vice-President of all the activities performed over the course of the evaluation period.

### IV. VP EVALUATION PROCEDURES POLICY STATEMENT

To foster development of executive talents and achievements, improve communication and teamwork between the administration and their direct reports, and the University population generally, stimulate self-evaluations, and enhance quality improvement, it is important to conduct regular evaluations. It is vital for each VP to document their activities and accomplishments for the period under review and to assess progress and set goals for the coming years.

The evaluation process should emphasize a positive approach by confirming areas of robust performance, indicating areas where performance is insufficient, and indicating areas where improvement should be achieved. If any listed weaknesses are noted, an individualized prescriptive development plan shall be suggested.

### V. PERFORMANCE EXPECTATIONS

Reporting to the President, the VPs of the University need to be strategic partners in long-range university planning, responsible for leading discussions of relevant, viable, innovative, and high-quality programs and student support services. The VPs then ensure the vision, mission, and university strategic plan cascade down to all academic and non-academic areas so that they are operating in unison. It is also critical that they ensure that all academic programming and institutional operations meet quality standards set by accreditation bodies.

The following outline of roles assigned to the VPs represents a cumulative listing. These may not be applicable to each VP as their responsibilities may greatly vary. The job description agreed

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upon by the both the President and VP will serve as the definitive list of roles, duties, and responsibilities.

### Strategic Roles:

1. In general, provide leadership in matters of academic and non-academic strategy, exploring, developing, launching, and sustaining initiatives consistent with the university mission.
2. Regularly advise the President on institutional matters.
3. Understand the university’s special mission and history, appreciate all functions, be cognizant of trends in the higher education environment, and comprehend the educational ecosystem and labor market in which the university is located.
4. Participate in university-level strategic planning and lead academic planning which feeds into the broader planning process.
5. Contribute to the development and execution of university plans for e.g., quality assurance; technology; and communications/public relations as they apply to their respective roles.
6. Help build capacity and a positive culture among AUK’s employees.

### Managerial Roles:

1. Oversee the assessment and enhancement of the operations through systematic program reviews and quality assurance measures.
2. Review existing, and develop new, policies and procedures as needed.
3. Work with direct reports to plan, develop and implement the annual budget for the respective units; approve expenditures; and stay within budget.
4. Analyze resource allocation decisions based on return on investment and reallocate human and financial resources to other uses that better support the mission.
5. Collaborate with the University Cabinet, College Deans, and Directors of Units on institutional strategic planning and the delivery of outcomes that ensure the University’s progress.
6. Delegate appropriate tasks.
7. Manage and evaluate all direct reports.
8. Assess the efficiency (costs and productivity of inputs) and effectiveness (outcome achievement) of their units on an ongoing basis.

### Human Resources-Related Roles

1. Review hiring requests and recommend new and replacement positions to the President for approval.
2. Ensure the continual professional development of employees from orientation through the phases of their careers.
3. Promote diversity, inclusion and equity, including gender equity and equal opportunity, to minority groups.
4. Ensure equity in terms and conditions of employment for employees within the units.

### Executive and Administrative Roles

1. Appear before the Board of Trustees to discuss matters as required.
2. Collaborate with the President on his/her academic vision.
3. Advocate for the university, and participate in fundraising and alumni relations in conjunction with the Office for Advancement.
4. Work closely with ARD and Student Affairs to promote access and success for students.
5. Ensure that operations are aligned with accreditation standards through the implementation of systemic assessment and monitoring.

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6. Participate in decision-making, sometimes possibly questioning and disagreeing, but afterwards sharing in collective responsibility for decisions.
7. Serve on the Executive Council, University Cabinet, their respective Council, and other committees as needed.
8. Perform other duties as delegated by the President.

### **VI. GENERAL EVALUATION PRINCIPLES AND PROCEDURES (3-YEAR EVALUATION)**

The basic aim of the three-year evaluation is to improve professional effectiveness. Therefore, information relating to a VP's strengths and weaknesses will be discussed openly and frankly with the individual being evaluated.

Data supporting the completed evaluation document shall be readily available to the parties of interest. Rubrics about what is expected will be provided. Evaluation criteria will be provided before the evaluation.

Observations of the VPs performance will be followed as promptly as possible by consultation or written communication to discuss the observation. Constructive criticisms and suggestions for improvement shall be specific, and if major inadequacies are found to exist, they will be followed by additional supportive assistance in a timely manner.

**Timeline:** The VP evaluation will be conducted every three years. This is a separate process from the Employee Annual Evaluation, which is tied to the completion of action priorities and tactics identified in the annual institutional and unit-level strategic planning process.

Included in this 3-year VP Evaluation are:

- **Self-Evaluation (See Appendix A):** Continuing self-evaluation is a characteristic of a professional institutional citizen. Each VP shall examine his/her own performance, including the establishment of goals for his/her professional growth and will seek ways to become more effective in his/her work with students and colleagues. The self-evaluation form shall be completed and submitted to the President no later than the eighth week of the designated spring term.
- **Peer Evaluation (See Appendix B):** The other VPs will be given the opportunity to complete the VP Peer Evaluation form no later than the eighth week of the spring term. These forms will be kept confidential.
- **Direct Report Evaluation (See Appendix C):** The direct reports will be given the opportunity to complete the VP Evaluation form no later than the eighth week of the spring term. These forms will be kept confidential.

**Report:** The President will prepare a report incorporating an evaluation of the self-analysis, the peer evaluation, the direct report evaluation, as per those performance expectancies listed under this Policy. One copy of this report shall be placed in the VP's personnel file, and the VP shall retain one copy. The report shall be completed no later than the tenth week of the spring term. The report will be presented for review by the Board of Trustees' Annual Review Committee and reported to the full Board of Trustees. If the Committee or Full Board voice concerns over the process or findings, appropriate parts of the process may be repeated.

If deficiencies or weaknesses are identified within this process, the President will work with the VP to write a development plan to address such deficiencies or weaknesses. Specific tactics will be identified with targets and timelines as appropriate. At the end of six months, the President and VP will meet to review progress on those tactics. If no progress is evident, then the VP may be subject to termination.

### **VII. SPECIAL EVALUATION PROCESS**

A special evaluation may be conducted whenever the President or Board of Trustees has a cause to believe that the VP is not meeting the job expectancies in this Policy. In such situations, the President will determine the appropriate method and scope of the evaluation.

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Notification: The President will notify the VP in writing of the special evaluation including the evaluation process to be used and expected period, of any job expectancies that are not being met. The VP will be provided with clearly identified prescriptive comments and guidelines regarding the expected outcome of the special evaluation process. The VP will be informed of his/her right for Appeal Procedures.

### **VIII. APPEAL**

If upon receipt of the evaluation, the VP is not satisfied with the disposition, then he/she may render a written grievance accompanied by any further documentation to the President.

The President and the grievant shall meet to resolve the disagreement. The decision of the President shall be based solely upon the evidence and arguments presented by the respective parties. The President shall consider and decide only on the specific issues submitted in writing. If the grievant is not satisfied with the outcome, then he/she has the ability to appeal to the Board of Trustees via the Secretary to the Board.

### **IX. POLICY HISTORY**

- a. **Approved by:** Board of Trustees
- b. **Adopted:** May 28, 2023

**X. APPENDIX A – EVALUATION PROCEDURES FOR SELF-EVALUATION**

The objective of the Self-Evaluation is for the Vice-President to demonstrate a critical self-assessment of his/her own performance, including the establishment of goals for his/her professional growth. It also shall demonstrate the Vice-President’s ability to seek ways to become more effective in his/her work with students and colleagues. The self-evaluation form shall be completed and submitted to the President no later than the eighth week of the designated spring term.

The Self-Evaluation consists of two parts. The first is the self-statement that documents the performance of those responsibilities that the institution expects of a VP (cited within the policy and job description). Obviously, each portfolio will be unique and vary according to what is appropriate for the unit/division. The Self-Evaluation should be in a narrative form with bullet points elucidating specific tasks/accomplishments; evidence of accomplishments and data demonstrating key performance indicators (KPIs) must be included. These KPIs to be tracked will be agreed upon at the beginning of the evaluation cycle with the President.

The second part of the Self-Evaluation is tied to the Institutional Strategic Goals’ “Guiding Principles” and action priorities. The VP is to identify in the table below those priorities central to his/her division, highlighting those directly undertaken by the VP. These are to be chosen at the beginning of the academic year after the Annual Strategic Planning Retreat sets the institutional priorities for the year and in consultation with the President.

LIST TOP 3-5 ACTION PRIORITIES TO BE UNDERTAKEN BY DIVISION
1.
2.
3.
4.
5.

For each of those listed above, the VP shall be specific in articulating their role in managing their team/direct reports to ensure successful completion. This should include tactics, timeline, expected outcomes, deliverables, etc. Evidence of leadership and accomplishments may be attached as appropriate.

ACTION PRIORITY 1
OBJECTIVE
TACTICS
YOUR ROLE
TIMELINE BENCHMARKS
OUTCOME(S) AFTER 1 YEAR

ACTION PRIORITY 2
OBJECTIVE
TACTICS
YOUR ROLE
TIMELINE BENCHMARKS
OUTCOME(S) AFTER 1 YEAR

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<b>ACTION PRIORITY 3</b>
OBJECTIVE
TACTICS
YOUR ROLE
TIMELINE BENCHMARKS
OUTCOME(S) AFTER 1 YEAR

<b>ACTION PRIORITY 4</b>
OBJECTIVE
TACTICS
YOUR ROLE
TIMELINE BENCHMARKS
OUTCOME(S) AFTER 1 YEAR

<b>ACTION PRIORITY 5</b>
OBJECTIVE
TACTICS
YOUR ROLE
TIMELINE BENCHMARKS
OUTCOME(S) AFTER 1 YEAR

ADDITIONAL COMMENTS
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The President’s Review of the Self-Study

The ability of the VP to critically self-assess and demonstrate his/her understanding of their challenges and successes of the evaluation period as well as their personal strengths and weaknesses will be assessed along with their ability to accomplish those objectives set forth at the beginning of each year.

The execution of the defined tasks will be assessed on a three point scale:

**Rating:**

<b>1</b>	<b>Performance exceeds expectations:</b> Always meets (or goes above and beyond) expectations of professional standards at work. Accepts complete ownership of all actions, and is proactive about noticing and correcting any mistakes made. Works to earn the respect of co-workers and managers alike. Highly organized and careful in completing all work tasks on time. Adhere closely to all workplace rules, procedures, and policies. Performs duties according to organizational policies with little or no guidance.
<b>2</b>	<b>Performance meets expectations:</b> Typically meets (but rarely exceeds) expectations of professional standards at work. Gets job done satisfactorily. Admits mistakes if noticed or when asked about them. Exhibits acceptable organization and completes nearly all tasks on time (or provides a valid excuse for not meeting a deadline). Tries to follow all workplace rules, procedures, and policies.
<b>3</b>	<b>Performance does not meet expectations:</b> Rarely or only sometimes meets (never exceeds) expectations of professional standards at work. Often does not take ownership of mistakes or blames others for them. Does not earn (or try to earn) the respect of colleagues. Often disorganized or late completing assignments and tasks (without acceptable excuse). Ignores or does not make an effort to follow workplace rules, procedures, and policies.
<b>N/A</b>	<b>Not applicable/insufficient data</b>

Any rating other than “Performance meets expectations” (#2) must be accompanied by an explanatory remark by the evaluator. Remarks or specific suggestions for change optional in “comments” space provided.

The Tasks are as defined in the policy:

Job Description Category	Score (1-3)	Comments
Strategic Roles		
Managerial Roles		
HR-Related Roles		
Executive & Administrative Roles		

Any rating other than “Performance meets expectations” (#2) must be accompanied by an explanatory remark by the President.

In respect to the second part, a score and comments will be provided in respect to the accomplishment of the 5 action priorities undertaken during the evaluation period.

Action Priority	Score (1-3)	Comments
1.		
2.		
3.		
4.		
5.		



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Any rating other than “Performance meets expectations” (#2) must be accompanied by an explanatory remark by the evaluator. Remarks or specific suggestions for change optional in “comments” space provided.

**XI. APPENDIX B – PEER EVALUATION**

To: (Name of Peer VP)

From: President of AUK

Date: \_\_\_\_

Subject: Evaluation of Vice President

As we begin the process of evaluating (name of VP) this year, I would like to ask for your help in assessing his/her contribution to our institution and to AUK’s collective efforts to achieve its mission and vision. Responses in any or all of the following categories are optional and confidential.

Please return this form to the President no later than (date). Thanks for your help!

**Rating:**

<b>1</b>	<b>Performance exceeds expectations:</b> Always meets (or goes above and beyond) expectations of professional standards at work. Accepts complete ownership of all actions, and is proactive about noticing and correcting any mistakes made. Works to earn the respect of co-workers and managers alike. Highly organized and careful I completing all work tasks on times. Adhere closely to all workplace rules, procedures, and policies. Performs duties according to organizational policies with little or no guidance.
<b>2</b>	<b>Performance meets expectations:</b> Typically meets (but rarely exceeds) expectations of professional standards at work. Gets job done satisfactorily. Admits mistakes if notices or when asked about them. Exhibits acceptable organization and completes nearly all tasks on time (or provides a valid excuse for not meeting a deadline). Tries to follow all workplace rules, procedures, and policies.
<b>3</b>	<b>Performance does not meet expectations:</b> Rarely or only sometimes meets (never exceeds) expectations of professional standards at work. Often does not take ownership of mistakes or blames others for them. Does not earn (or try to ear) the respect of colleagues. Often disorganized or late completing assignments and tasks (without acceptable excuse). Ignores or does not make an effort to follow workplace rules, procedures, and policies.
<b>N/A</b>	<b>Not applicable/insufficient data</b>

Any rating other than “Performance meets expectations” (#2) must be accompanied by an explanatory remark by the evaluator. Remarks or specific suggestions for change optional in “comments” space provided.

Professional Disposition	Score (1-3)	Comments
Is cooperative and collaborative in addressing institutional challenges with other administrators/VPs.		
Oversees the effective implementation of strategic initiatives and planning in line with the institutional Strategic Plan.		
Communicates effectively with administrative colleagues.		
Professionally represents their respective division and the institution.		
Is available and responsive to requests for information and or assistance.		

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Provides comprehensive reports and productively contributes to discussions in University Cabinet and other meetings.		
Participates in decision-making, sometimes possibly questioning and disagreeing, but afterwards sharing in collective responsibility for decisions.		
General Comments:		

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**XII. APPENDIX C – DIRECT REPORTS’ EVALUATION**

To: (Name of Direct Report)

From: President of AUK

Date: \_\_\_\_

Subject: Evaluation of Vice President

As we begin the process of evaluating (name of VP) this year, I would like to ask for your help in assessing his/her contribution to our institution and to AUK’s collective efforts to achieve its mission and vision. Responses in any or all of the following categories are optional and confidential.

Please return this form to the President no later than (date). Thanks for your help!

**Rating:**

<b>1</b>	<b>Performance exceeds expectations:</b> Always meets (or goes above and beyond) expectations of professional standards at work. Accepts complete ownership of all actions, and is proactive about noticing and correcting any mistakes made. Works to earn the respect of co-workers and managers alike. Highly organized and careful I completing all work tasks on times. Adhere closely to all workplace rules, procedures, and policies. Performs duties according to organizational policies with little or no guidance.
<b>2</b>	<b>Performance meets expectations:</b> Typically meets (but rarely exceeds) expectations of professional standards at work. Gets job done satisfactorily. Admits mistakes if notices or when asked about them. Exhibits acceptable organization and completes nearly all tasks on time (or provides a valid excuse for not meeting a deadline). Tries to follow all workplace rules, procedures, and policies.
<b>3</b>	<b>Performance does not meet expectations:</b> Rarely or only sometimes meets (never exceeds) expectations of professional standards at work. Often does not take ownership of mistakes or blames others for them. Does not earn (or try to ear) the respect of colleagues. Often disorganized or late completing assignments and tasks (without acceptable excuse). Ignores or does not make an effort to follow workplace rules, procedures, and policies.
<b>N/A</b>	<b>Not applicable/insufficient data</b>

Any rating other than “Performance meets expectations” (#2) must be accompanied by an explanatory remark by the evaluator. Remarks or specific suggestions for change optional in “comments” space provided.

Professional Disposition	Score (1-3)	Comments
Works with direct reports to identify and implement action priorities and tactics in support of the institutional Strategic Plan.		
Works with direct reports to plan, develop and implement the annual budget for the respective units.		
Delegates appropriate tasks.		
Manages and evaluates all direct reports.		
Helps build capacity and a positive culture among AUK’s employees.		
Ensures the continual professional development of employees from orientation through the phases of their careers.		

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General Comments:

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_