

Review of the Office of the Provost

May 2014

Table of Contents

Introduction	4
Deans of the Colleges (and Vice-Presidents):	4
Associate Deans:	6
Summary of Survey Results:.....	6
Summary of Individual Responses through E-mail or Conversation:.....	6
Key Committee Recommendations:	7
Appendix I: Office of the Provost’s 2013 Self-Study	8
Office of the Provost Self-Study	8
Executive Summary	8
Overview	8
Scope.....	8
Staff, Organization, and Budget	8
Responsibilities and Mission	8
Selected Organization and Management Changes	8
Selected Recent Activities and Accomplishments	8
Setting Priorities and Evaluating Effectiveness	8
Office of the Provost Self-Study Full Report	9
I. Scope	9
II. Staff, Organization, and Budget	10
III. Responsibilities and Mission	11
IV. Selected Organization and Management Changes	17
V. Selected Recent Activities and Accomplishments.....	19
VI. Setting Priorities and Evaluating Effectiveness	21
Conclusion	23
Appendices: 2013 Self Study.....	24
Appendix II: Faculty and Staff Survey Results	25
Introduction	26
Respondent Characteristics.....	26
Table 1: Survey Response Rates.....	26
Summary of Findings.....	27
Respondents.....	27
Understanding Roles and Responsibilities of the Office of the Provost	28
Table 2: Understanding of the Office of the Provost	28
Strategic Plan and Vision.....	29
Table 3: Strategic Plan and Vision	29

Communication and Listening	29
Table 4: “The Office of the Provost is effective in communicating...”	30
Table 5: “The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...”	31
Table 6: “The Office of the Provost...”	31
Management.....	32
Table 7: “The Office of the Provost, in cooperation with other related offices, effectively manages...”	32
Leadership, Judgment and Support	33
Table 8. “The Office of the Provost is effective in providing leadership, judgment, and support with respect to...”33	
Appendix A	34
Appendix B	59
Appendix III: Summary of Individual Responses through E-mail or Conversation:.....	100
Appendix IV: Operations Manual Instructions on Review of the Office and the Provost.....	101

Review of the Office of the Provost

Introduction

This review of the Office of the Provost was undertaken in accordance with Section 28.4 of the University of Iowa Operations Manual (*Review of Central Administration* --See Appendix IV). While 28.5 of that manual anticipates that an academic administrator would normally also be reviewed at the time the office is reviewed, the current Provost has only been in that office since May of 2011. With the approval of the President of the Faculty Senate and the President of the University, the committee focused primarily on the office in conducting its review (though it is, of course, not always possible to distinguish the actions of an office from the actions of an officeholder). As required by the manual, the committee of six faculty members and an external reviewer was appointed by the President of the Faculty Senate together with the President of the University. Its co-chairs were Richard Fumerton and Victoria Sharp, and its members were Susan Assouline, Jonathan Carlson, Jon Garfinkel, and Jane Pendergast. Provost Karen Hanson of the University of Minnesota graciously agreed to be the outside member.

The Operations Manual requires that a review of the Office of the Provost begin with a self-study that is prepared by that office and then shared with the committee. That self-study was completed early in the Spring of 2013 and we include it in this report as [Appendix I](#).

Before meeting with our external reviewer, members of the review committee (in teams of two) interviewed each of the deans, associate provosts, and vice-presidents who report directly to the Provost. The committee as a whole also talked to a group of associate deans for faculty and another group of associate deans for undergraduate education, each of whom work primarily with associate provosts in the Provost Office. Lastly, the committee constructed and sent a survey to all faculty and staff asking various questions about the provost and his office (see [Appendix II](#) for both a summary and detailed breakdown of survey results). That survey invited faculty and staff to contact members of the committee should they have any additional comments they wished to make, and several did. The general content of these conversations was relayed to the Provost and is summarized in [Appendix III](#). The University of Iowa Operations Manual guidelines for periodic reviews of central administration offices are provided in [Appendix IV](#).

Together with Provost Hanson from the University of Minnesota, the committee met with the President, the Provost, and the Vice-President for Finances to discuss some of the topics that came up in our preliminary investigation. We also discussed with Provost Hanson the committee's tentative findings and possible recommendations.

Below we summarize our conversations with the various groups identified above.

Deans of the Colleges (and Vice-Presidents):

The Deans we interviewed were virtually unanimous in their praise of the regular one-on-one meetings they have with the Provost. They emphasized that in these meetings he is always generous with his time and responsive to their concerns. They also indicated that the Provost always gets back to them promptly when they leave messages asking questions or seeking advice.

The Deans felt that they were supported by the Provost and had appropriate control and responsibility for their colleges. They did not feel that the Provost micromanaged them or second-guessed their decisions. They could pass new ideas to the Provost and he has generally been very supportive of their ideas. Implementation of such would be their responsibility.

Generally, the deans are also happy with the organization within the Provost's Office, though some wondered whether it might be a bit short-staffed. Most said that they could find, relatively easily, the person or people with whom they needed to talk about a given issue. As a number of them put it, even if they start off talking to the wrong person, they would be quickly directed to the right person, and that person would be extremely helpful and supportive.

There was concern expressed by some about having Associate Provost positions be rotating, given that those entering such positions face a sharp learning curve. On the other hand, it was conceded that, in practice, there appear to be no upper limits on how many rotations a given Associate Provost can serve, so there seems to be no principled reason why the office cannot secure considerable continuity in key positions.

At least one Dean expressed some concern about just what the Provost's Office's policy is on diversity, beyond that which is focused on undergraduate students. In particular, what is the emphasis on and what resources are dedicated to diversity efforts on hiring faculty, achieving diversity among graduate students, etc.?

While there was considerable praise of the provost, there was also a consensus that the Council of Deans should be used more effectively. Specifically, a number of Deans suggested that it would be better if the Council could be more involved at *earlier* stages of policy formation. Presently, some view the Council of Deans as largely an occasion on which decisions that have been made/problems that exist/policies that are to be implemented are simply conveyed to the Deans. The worry is that there is not enough opportunity for input at *formative* stages where the direction and goals of policies might be profitably discussed. The Provost has indicated to us that he is aware of this issue and is interested in doing something about it. A frank discussion with the Deans about how best to use their time in the Council of Deans meetings might generate good ideas for improving the effectiveness of those meetings. The Deans seem to enjoy and consider important their more informal (lunch) meetings, at which they can discuss issues that concern them and that they might want to put on a Council of Deans Agenda.

Related to the point discussed above, at least some deans, though not all, seemed to indicate that they still do not feel that they thoroughly understand the budgeting process at the university. (One more experienced dean suggested that this might be, in part, a function of how many deans are relatively new.) In any event, some seemed to think that they would benefit from a very open, candid, discussion of the budget process and the budget needs and pressures that face each of the colleges.

A few of the deans, as well as others who report to the provost, raised the issues of transparency and relative influence and power with regard to the decision-making process among the Provost, President, and VP for Finance. A cited example concerned the amount of funding for HR-related matters vis-à-vis the academic mission of the university. It did become very clear from the committee's conversations with the Provost and the Vice-President for Finance that each believes that he has an excellent working relationship with the other, a relationship with which they felt they can work seamlessly to advance the best interests of the university.

There were some specific issues raised about whether Associate Provost for Undergraduate Education has too much on her plate. If there is currently a problem, it might have been exacerbated by the loss of a vice-provost and an associate provost with long-standing experience in the office. This could contribute to the difficulty of meeting on a more regular basis with the associate deans with whom she works. (See below the summary of discussion with associate deans.) The Provost, however, indicated to us that he is committed to working with an office that remains roughly its current size.

Some with whom we talked raised concerns or questions about whether the Provost's Office and the Provost have a long-term vision for the university. Most acknowledge, however, that the current provost inherited a five-year strategic plan from the previous provost and that this plan is a university/regent-approved plan that needs to be implemented. At some point, most agreed, the Provost will have a chance to put his own stamp on a plan going forward.

Associate Deans:

Associate Deans seemed generally happy with the organization of the Provost's office and the helpful and responsive nature of those in that office with whom they work. They also, however, expressed some frustration that they were sometimes simply informed of policies that needed to be implemented without having been consulted early enough in the formative stages of such policies to influence those policies. They gave as examples the electronic c.v. policy and the summer fellowship policy. At least some associate deans seemed to think that they would benefit from more frequent and/or more regular meetings with the associate provosts with whom they work on various issues. Associate deans also stressed, however, that much of their contact with the Provost Office is indirect as their deans are usually the point people with whom they work on most policy issues.

Summary of Survey Results:

The committee would like to thank all of those who participated in the survey. The response rate was very good for a survey of this sort—over 2,533 in all (714 faculty and 1,819 staff). Many of those responding (43.2%) indicated that they had only a limited understanding of the Provost's Office, and, understandably therefore, a significant percentage (just over 50%) indicated that they didn't have enough information to answer some of the key questions. (The committee doesn't take this to be a problem. In general when an office is running relatively smoothly there is no reason why younger faculty and staff would know much about it.)

Among those who did feel able to make assessments, the ratings were generally very favorable. With respect to overall leadership and effectiveness, for example, about 83% had a favorable or very favorable assessment. Higher percentages agreed or strongly agreed that the Provost operates under principles of honesty, integrity and respect, is trustworthy, is fair, and is responsive and courteous when help or advice is sought.

For a more detailed summary and breakdown of the survey results, see [Appendix II](#).

Summary of Individual Responses through E-mail or Conversation:

At the end of the faculty and staff survey, the Committee invited survey respondents to provide more elaborate comments to Committee members, if they so desired. A few individuals responded to this request by contacting Committee members to raise particular concerns they had with the operation of

the Provost's Office. We recognize that it is always difficult to determine how representative suggestions or concerns might be when expressed by individuals initiating discussion. With that caveat in mind, a summary of the comments received through these communications are presented in [Appendix III](#).

Key Committee Recommendations:

1. The Council of Deans should be encouraged to continue and perhaps formalize its independent meetings in which the Deans discuss the issues they want to put on the agenda of the Council of Deans.
2. On a related point, the Provost Office should do as much as possible to ensure that key policy issues/problems are discussed at the earliest stage possible to maximize input from the various Colleges who will be implementing those policies. Ideally, there would also be time, including time in closed sessions with the Deans only, to discuss ideas concerning the short- and long-term challenges facing Colleges and the University. All of those we talked to acknowledge the enormous time constraints involved in doing this, but perhaps the Provost's Office could take up less meeting time by disseminating information (even in draft form) some other way than through presentations at Council meetings.
3. Given that some of the deans of the colleges want a thorough discussion of various issues related to the Budget, perhaps a retreat of some sort led by the Provost and the Vice President for Finances would be useful. We suspect that the deans of the various colleges would learn quite a bit about the complexity of the budget by hearing from each other the various issues that the colleges face. The Provost indicated in discussion with the committee that he has a number of ideas that he would like to explore in creating this sort of dialogue, and we fully support his implementing those plans.
4. The relevant associate provosts should try to meet more often with the associate deans with whom they work, and invite those associated deans to discuss at the earliest practical stage their concerns with, and suggestions for, improving policies.
5. The Provost and those in his office have continued the strong tradition of shared governance at Iowa through regular and extensive discussions with Faculty, Staff, and Student Leaders. This is much appreciated. In addition to these communications, we urge the Provost to meet as often as is practically possible with faculty in *departmental* settings. These contexts would provide an opportunity to talk with faculty directly about various political issues and decisions that affect the university. Importantly, it would also be an opportunity to convey to faculty the Provost's approach to defending the various academic missions of the university, particularly when faculty might perceive that it is under pressure.

Appendix I: Office of the Provost's 2013 Self-Study

Office of the Provost Self-Study

April 2013

Executive Summary

Overview

The Office of the Provost Self-Study responds to the questions outlined in the University of Iowa *Operations Manual II.28.4(f)* (Reviews of Central Administration – Self-Study procedures) by describing the mission and responsibilities of the Office of the Provost, how the provost and his staff establish goals and priorities that promote the goals of the larger University, how staffing and resource allocation decisions support those goals, and how the office evaluates its effectiveness.

Scope

This evaluation focuses on the administrative component of the Office of the Provost (Org 02, departments 0100 and 0105 per the *UI Accounting Code Manual*).

Staff, Organization, and Budget

Section I includes links to Office of the Provost organizational charts (appendices [A/B/C/D](#)), a staff roster ([appendix E](#)), and tables illustrating 10-year staff FTE trends (appendices [F](#) and [G](#)). It also describes the Office's budget (internal operations, institution-wide costs, and pooled [resources](#) distributed to colleges and other units). Appendices [H](#) and [I](#) highlight the Office's most recent 10-year expenditure trend.

Responsibilities and Mission

Section II describes the Office's mission and the responsibilities of its staff members, which broadly include the provost's leadership as chief academic officer; communication with internal and external constituencies regarding the university's academic mission; management of resources in support of the academic mission; faculty appointment, review, and development; academic program review and assessment and university accreditation; and information management. This section also describes the close relationship between the priorities of the Office of the Provost and the strategic plans of the university and the Board of Regents, State of Iowa.

Selected Organization and Management Changes

Over the past several years, the Office of the Provost has made a number of substantive organizational and administrative changes in response to changes in the environment (*e.g.*, financial stresses), to increase efficiency and to advance more effectively the developing strategic priorities of the university and the Board of Regents. Several of these changes are summarized in section III, with a brief description of the rationale for each decision.

Selected Recent Activities and Accomplishments

Section IV highlights some of the Office of the Provost's recent activities and major accomplishments over approximately the past two years, grouped in broad categories including student success, faculty administration and development, statewide engagement, communication, efficiency and process improvements, and hiring.

Setting Priorities and Evaluating Effectiveness

Section V describes how the Office assesses its effectiveness and sets priorities annually, and notes the oversight role of the Board of Regents. This section addresses some key areas the Office has identified for improvement (briefly: communication, transparency, and efficiency), and lists several specific strategic initiatives that are currently under way (or are planned for the near future) in order to strengthen those areas and continue to advance the goals of the strategic plan.

Office of the Provost Self-Study Full Report

April 2013

I. Scope

This self-study focuses on the operations of the central administrative component of the Office of the Provost (Org 02, departments 0100 and 0105 per the UI [Accounting Code Manual](#)). These functions include the responsibilities of the provost; the associate provost for undergraduate education; the associate provost for faculty and his staff, the Faculty Human Resources (HR) and Development Team; and the associate vice president and director of administration and his staff, the Information and Resource Management group.

Within this document, “subordinate administrative units” (sub-units) of the Office of the Provost are defined as the Faculty HR and Development Team and the Information and Resource Management group.

The scope of this evaluation does not include the several large, distinct organizations that report to the Office of the Provost, as described in Section I and illustrated by the Office of the Provost organizational charts (appendices [A](#) and [B](#)). These units have their own budgets and most are subject to separate review as outlined in section [II.28.2](#) of the Operations Manual.

II. Staff, Organization, and Budget

Office Staff

Appendices [A/B/C/D](#) are the Office of the Provost organizational chart, an org chart for the associate provost for undergraduate education, and org charts for the Office's two (for purposes of this review) "subordinate administrative units" (Faculty HR and Development and Information and Resource Management).

[Appendix E](#) lists Office of the Provost (Org 02, departments 0100 and 0105) staff members and their current salaries, as requested in the *Operations Manual* [II.28.4\(f\)](#).

Appendices [F](#) and [G](#) highlight the most recent 10-year staff FTE trend in the Office of the Provost by all sources of support (F) and by the General Education Fund (G). These two tables show that the number of staff FTE in the Office of the Provost has declined over the past decade. This decline may reflect efficiency efforts but is also likely due to changes in administrative responsibilities over time (some of which are described in section III). Section II of this document provides a description of current office and staff responsibilities.

Office Budget

Appendices [H](#) and [I](#) highlight the most recent 10-year expenditure trend in Office of the Provost accounts 0100 and 0105 by all sources of support (H) and within the General Education Fund (I). [Appendix J](#) highlights the FY 2013 Office of the Provost General Education Fund budget by budget category in accounts 0100 and 0105.

As is the case with staffing trends, expenditure trends are influenced by many factors, including changes in administrative responsibilities, changes in accounting philosophies (*e.g.* where expenses are posted), changes in staffing levels, the impact of university-wide salary policies, the impact of university-wide fringe benefit changes, and the impact of cyclical equipment purchases (the majority of which are now posted under the General Expense/Other column in the appendices).

A review of the Office of the Provost's budget categories illustrates that some of the funds managed by the Office of the Provost support internal operations, some support institution-wide costs (association dues), and some are pooled resources that the Office of the Provost distributes to colleges and other units (Enrollment Management & Student Success). Within Org 02 (Office of the Provost), internal operations are budgeted in department 0105 and institution-wide and pooled resources in department 0100.

III. Responsibilities and Mission

Mission Statement

The Office of the Provost provides academic leadership to the University. Its fundamental mission is to champion innovation and excellence in teaching, research, creative production, and service.

Responsibilities Overview Chief Academic Officer

The [executive vice president and provost](#) is the chief academic officer of the University of Iowa. Reporting directly to the president, the provost is responsible for the supervision of all academic programs; academic promotion and tenure decisions; strategic academic planning; and supervision of student academic affairs. The provost advocates for the faculty in pursuing their teaching, research, and service missions, and works with the colleges to recruit, retain, and provide development opportunities for a distinguished, research-active community of faculty. The provost works with the president, the vice presidents, collegiate deans, faculty, and student leadership to maintain and improve the quality of undergraduate, graduate, and professional education programs.

The deans of the University's eleven colleges report to the provost, as do the deans of [University College](#), [Continuing Education](#), and [International Programs](#), along with the [university librarian](#) and the director of the [Museum of Art](#). The [chief information officer](#) reports jointly to the provost and senior vice president for finance and operations, and the [chief diversity officer](#) reports jointly to the provost and the president. The director of the [Institute for Clinical and Translational Science](#), like the dean of the Carver College of Medicine, reports jointly to the provost and vice president for medical affairs.

The provost is a principal participant in collaborative decision-making involving university-wide strategic planning and budget development, management of auxiliary enterprises, health care services, and the conduct of research and scholarship.

Communication

The provost must effectively communicate the University's priorities and direction and charge those who reside in or report to the Office of the Provost with their responsibilities for advancing the university's mission and achieving its aspirations. He keeps faculty apprised of university priorities, initiatives, and accomplishments through regular meetings with faculty groups and representatives, including a monthly meeting with Faculty Senate Officers; meets twice monthly with the Council of Deans and shares additional information with them through a monthly e-mail communication; meets twice monthly with the President's Cabinet and with the associate provosts, and monthly with the Health Sciences Policy Council, the Staff Council Executive Committee, the Joint Development Council, the Legislative Group, and student leaders; and holds monthly one-on-one meetings with deans and other direct reports.

The associate provosts and associate vice president and director of administration and planning also hold regular meetings with various campus constituencies, and Office of the Provost staff sit on campus-wide committees and work directly with departmental administrators. The associate provost for faculty, for example, convenes meetings of several stakeholder groups, including the associate deans for faculty, the Faculty HR Representatives Council, and the Academic and Professional Record Leadership Council. On a quarterly basis,

members of the Faculty HR and Development Team meet with staff from the Office of the Vice President for Human Resources to coordinate HR-related projects and functions for staff and faculty. The associate provost for faculty or his staff serve on more than 50 campus-wide committees.

The provost represents the University of Iowa’s academic enterprise to audiences across the state and beyond, including alumni and donors as well as state and federal governmental leaders. He joins or represents the president at numerous UI Foundation-sponsored outreach events throughout the academic year, and has a central role in developing case statements for the university’s academic priorities. The provost works with national higher education leaders to develop issues and policies pertaining to higher education in general and research institutions specifically. When requested to do so by the president, the provost serves as an advocate for the university with the Governor, state legislators, and with Iowa’s congressional delegation. He meets annually with national counterparts, assuming leadership roles in organizations including the Committee on Institutional Cooperation, the National Association of State Universities and Land-Grant Colleges’ Council on Academic Affairs, the Association of American Universities, and others.

[Appendix K](#) is an example of a presentation the provost has given to civic groups throughout Iowa. The provost’s message to these groups in 2012-13 focuses on the fourth “pillar” of the strategic plan, Better Futures for Iowans.

Board of Regents, State of Iowa

The provost assumes primary responsibility for communicating with the [Board of Regents, State of Iowa](#) regarding all academic matters. He advocates for the University’s academic requests to the Board, including requests to create, eliminate, or modify departments, degree programs, and centers; enact administrative reorganizations; and appoint deans and directors. The Office of the Provost collects, analyzes, and reports to the Board a wide range of institutional data, having to do with financial matters, faculty appointments, faculty activities, enrollment management, peer comparisons, etc. The provost and the senior vice president for finance and operations share primary responsibility for preparing and communicating with the Board about tuition and academic fee requests, and the provost shares with the president and other vice presidents responsibility for advocating for the University’s other administrative requests. Provost Butler currently chairs the [Council of Provosts](#).

Regularly scheduled governance reports that the Office of the Provost is responsible for (or shares primary responsibility for) submitting to the Board on an annual or biennial basis include:

Students	Faculty
<ul style="list-style-type: none"> ▪ Enrollment ▪ Graduation and retention ▪ Student financial aid ▪ Tuition and fees ▪ Distance education ▪ Diversity ▪ Residence system 	<ul style="list-style-type: none"> ▪ Faculty activities ▪ Tenure, promotions, and tenure actions ▪ Comprehensive human resources report (salaries and benefits, salary comparisons, resignation and retirement) ▪ Professional development assignments ▪ Diversity

Programs	Planning
<ul style="list-style-type: none"> ▪ Academic program review ▪ Student outcomes assessment ▪ Accreditation ▪ Establishment/termination/changes to programs 	<ul style="list-style-type: none"> ▪ University strategic plan approval ▪ Annual progress reports ▪ Tuition and academic fee requests ▪ Capital planning

[Appendix L](#) is a table of reports (scheduled governance reports and *ad hoc* items) considered by the Board of Regents, State of Iowa, since 2000 (it does not include items specific only to one of the other Regent institutions, for example the approval of a new degree program at Iowa State University).

Resource Management

As a partner with the vice president for finance and operations in developing the university’s annual budget request to the Board of Regents, the provost advocates for the needs of the academic enterprise throughout the budget process, and ensures that budget requests align with the priorities of the strategic plan. The Office of the Provost is guided by strategic planning priorities when allocating funds to academic units. The table below highlights the connection between resource allocations and strategic priorities.

[Appendix M](#) is an example of a recent presentation by President Sally Mason to the Governor regarding the university’s FY 2014 appropriations request. The provost prepared the initial drafts of this presentation for President Mason’s review. This is one example of the provost’s integral involvement in efforts to communicate the university’s academic priorities to state and other agencies.

FY 2013 Application of Revenue Changes and Reallocation General Education Fund (GEF) University of Iowa

STRATEGIC INITIATIVES	Incremental Revenue Applied	Reallocations	Revenues and Reallocations
Access and Enrollment Growth	\$3,354,000	\$0	\$3,354,000
Undergraduate Student Success	\$7,499,000	\$1,009,000	\$8,508,000
Graduate and Professional Student Success	\$2,228,000	\$280,000	\$2,508,000
Scholarly Inquiry and Creative Work	\$1,068,000	\$0	\$1,068,000
Arts Synergies	\$800,000	\$0	\$800,000
Internationalization and Diversity	\$180,000	\$0	\$180,000
Total Strategic Initiatives	\$15,129,000	\$1,289,000	\$16,418,000

OTHER COST INCREASES	Incremental Revenue Applied	Reallocations	Revenues and Reallocations
Support for Strategic Priorities	\$9,098,000	\$1,379,000	\$10,477,000

TOTAL STRATEGIC AND SUPPORT COST INCREASES	\$24,227,000	\$2,668,000	\$26,895,000
---	--------------	-------------	--------------

In FY13, in addition to GEF allocations the Office of the Provost utilized \$1 million in the Division of Continuing Education fund balances to support or expand efforts in outreach and engagement.

In leading the effort to identify academic budget priorities, the provost holds numerous meetings throughout the year with central administrators; collegiate and organizational leaders; faculty and staff governance leaders; student government leaders; the faculty and staff budget committee; individual faculty, staff, and students; alumni; legislators; and interested citizens of the state of Iowa. The final budget allocation and reallocation decisions shown in the table above reflect the priorities that surface as a result of these interactions. [Appendix N](#) summarizes the outcomes of the university's budget process for fiscal years 2006 through 2012.

The Office of the Provost is integrally involved in helping to secure an appropriate physical infrastructure for the academic enterprise. The Office works closely with academic units to understand and prioritize space and equipment needs, and represents these needs to the university's administration, the Board of Regents, and state government. The provost is a key partner in the development of strategic plans for investment in facilities, such as the university's five-year capital plan ([appendix O](#)). He ensures that teaching, research, and service priorities are taken into account in all discussions about new or renovated facilities. The associate provost for faculty serves on the Capital Projects Review Committee.

[Appendix P](#) is a list of capital projects that are currently under way or in the planning stages. [Appendix Q](#) lists recently completed and ongoing projects with an estimated construction cost greater than \$100,000, many of which are academic facilities supported by the General Education Fund.

The associate provost for undergraduate education has a significant responsibility for the effort to ensure efficient use of general assignment classrooms. She also oversees the university's strategic effort to create more effective learning spaces, such as [TILE](#) (Transform. Interact. Learn. Engage.) classrooms and [learning commons](#) spaces. She sits on the Learning Spaces Executive and Advisory Committees, the Classroom Scheduling Committee, and the Learning Commons Committee.

Delegation of Responsibilities

The provost delegates some responsibilities of the Office of the Provost to the associate provosts for faculty, graduate education, undergraduate education, continuing education, and international programs; the chief diversity officer and associate vice president; and the associate vice president and director of administration and planning. The Office of the Provost organizational chart ([appendix A](#)) illustrates the staff organization of the Office.

As noted above, **this self-study focuses on the functions that are contained entirely within the Office of the Provost budget**, which includes the responsibilities of the provost; selected responsibilities of the associate provost for undergraduate education; the associate provost for faculty and his staff, the Faculty HR and Development Team; and the associate vice president and director of administration and planning and his staff, the Information and Resource Management group. Org charts are appended for the two sub-units (Faculty HR and Development and Information and Resource Management) as well as for the AP for undergraduate education (appendices [B/C/D](#)).

Additional information: List of units that report to the Office of the Provost ([appendix R](#)); contacts by area of responsibility ([appendix S](#)).

Selected Responsibilities by Individual

Provost	Associate Provost for Undergraduate Education
<ul style="list-style-type: none"> ▪ Chief academic officer ▪ Presidential advisor on all academic matters ▪ Strategic planning ▪ Tenure and promotion ▪ Diversity efforts ▪ University administrative and budget policies ▪ Communication with faculty ▪ Appoint and provide leadership to collegiate deans, university librarian, Museum of Art director, chief information officer (in conjunction with the senior VP for finance and operations), chief diversity officer (in conjunction with the president), director of Institute for Clinical and Translational Science, and associate provosts 	<ul style="list-style-type: none"> ▪ Statewide & university committees ▪ Program review, assessment, and university accreditation ▪ Facilities (classrooms and learning spaces) ▪ Executive sponsor of MAUI ▪ <i>[not part of the scope of this review]</i> <ul style="list-style-type: none"> ○ Enrollment management <ul style="list-style-type: none"> ▪ Admissions ▪ Career Center ▪ Evaluation and Examination Service ▪ Financial Aid ▪ Registrar ○ Academics <ul style="list-style-type: none"> ▪ Academic Advising Center ▪ Center for Teaching ▪ Department reviews ▪ Honors ▪ First-year programs ▪ University College ▪ Athletic Academic Services
Associate Provost for Faculty	Associate Vice President and Director of Administration and Planning
<ul style="list-style-type: none"> ▪ Faculty recruitment and appointments; faculty retention ▪ Faculty reviews (annual, tenure and promotion, post-tenure) ▪ Faculty policies ▪ Faculty education and development programs ▪ Dean and collegiate reviews ▪ Cluster hire initiative ▪ Administrative leadership programs ▪ Faculty grievances ▪ Faculty resignations and retirements ▪ Direct the Faculty HR and Development Team. For information about unit responsibilities see <ul style="list-style-type: none"> ○ “Who Does What” (appendix T) ○ Faculty HR and Development accomplishments, March 2011 (appendix U) 	<ul style="list-style-type: none"> ▪ Budget development ▪ Budget and financial analyses ▪ Account management ▪ Data management and analyses ▪ Administrative systems development ▪ Strategic planning ▪ Report writing ▪ Space planning (serve on the Space Committee) ▪ Direct the Information and Resource Management (IRM). ▪ For information about unit responsibilities see <ul style="list-style-type: none"> ○ IRM overview, December 2010 (appendix V)

Relationship of Office of the Provost Responsibilities to University and State Priorities

The provost provides leadership for strategic academic planning at the University of Iowa, and has a primary responsibility for implementing the strategies for advancement that are identified in the university’s strategic

plan. In its capacity as steward of the University's academic mission, the Office of the Provost supports the activities of the colleges and other academic and student service units, evaluates progress in achieving the university's strategic planning goals, and allocates resources to in support of those goals. The university's plan effectively is the strategic plan for the Office of the Provost.

In 2009, then-UI provost Wallace D. Loh appointed six task forces—composed of faculty and staff—with the overarching charge to offer ideas and recommendations to shape the academic direction of the University, bearing in mind changing economic, demographic, and technological realities. The task forces submitted their final reports ([appendix W](#)) in February 2010. These reports, along with the campus feedback received during and after the task forces finished their work, informed the development of the UI strategic plan for 2010 to 2016, *Renewing The Iowa Promise* ([appendix X](#)). Faculty and staff therefore played a significant role in establishing academic priorities for the university (and thus for the Office of the Provost).

University strategic plans must be approved by the Board of Regents (BoR), State of Iowa, and must be appropriately aligned with the Board's strategic plan ([appendix Y](#)). The University reports to the Board annually ([appendix Z](#), October 2012 Board of Regents agenda, see item number 16) on progress toward the goals outlined in its plans, and also on a series of common academic indicators ([appendix AA](#)) established by the Board for all three Regent universities.

IV. Selected Organization and Management Changes

Over the past several years, the Office of the Provost has made a number of substantive organizational and administrative changes in response to changes in the environment (*e.g.*, financial stresses), to increase efficiency and/or more effectively advance the developing strategic priorities of the university and the Board of Regents. Several of these changes are summarized below, with a brief description of the rationale for each decision.

Associate Provost for Academic Administration

The position of associate provost for academic administration was eliminated in 2009, and the associated responsibilities were reassigned to other associate provosts. This decision was made in the interest of efficiency.

Career Center

In 2010 administrative oversight of the Pomerantz Career Center moved from the Tippie College of Business to the Office of the Provost. In accordance with the university's strategic plan and ongoing student success initiatives, the Office aimed to broaden the Center's scope and enable all University of Iowa undergraduates to take advantage of the excellent career exploration, preparation, and placement services the Center offers.

Center for Human Rights

The UI Center for Human Rights, currently housed in International Programs in the Office of the Provost, will move to a new administrative home in the College of Law effective July 1, 2013. The new reporting structure will give the center a strong administrative support system, anchored in a college with a long history of scholarly work in human rights. The center had faced an uncertain future over the past several years due to funding constraints. The new administrative model is the results of many months of productive collaboration.

Chicago Center

After a three-year pilot program that began in December 2006, the Office of the Provost closed the Chicago Center, which had provided a physical presence for the University in the Chicago area. While the center had accomplished much of what had been hoped, evaluation of the pilot program suggested that maintenance of a physical presence in the area had not added enough value to justify continuing in the face of budget constraints. The university invested instead in a regional coordinator for recruitment and admissions.

Community-Based Learning Program

In 2009 the Community-Based Learning Program (then the Civic Engagement Program), jointly administered by the Office of the Provost and the Office of the Vice President for Student Services and previously housed in the Iowa Memorial Union, was moved to the Pomerantz Career Center as a way to incorporate volunteerism into the career development progress of UI students. The partnership with the Career Center gives the program more visibility on campus, and encourages students to think about engagement as a way to further their academic and career goals.

Dean Searches

In 2006 a new procedure for conducting dean searches was implemented, calling for a sitting dean to chair the

search committee. Each search since has benefitted from being led by someone who is intimately familiar with the kinds of skills, qualities, and experience needed for success in a UI deanship.

Debate

The A. Craig Debate Forum was moved from the Division of Continuing Education to the associate provost for undergraduate education. This move more closely aligned the program with the university's undergraduate mission.

Dual Career Network

Earlier this year the Dual Career Network (DCN), which assists the accompanying partners of new, permanent faculty/staff in seeking employment, transitioned to a new reporting relationship with the Pomerantz Career Center. The DCN previously reported to the associate provost for faculty. The purpose of the move was to allow the DCN and its clients to take better advantage of the rich resources the Career Center has developed over the past ten years. In turn, the DCN staff will bring to the Career Center their expertise as career coaches for individuals older than traditional college age, enhancing the Center's ability to serve alumni, veterans, and other non-traditional students.

Graduate Tuition Support

In Fiscal Year 2013, the Office of the Provost allocated General Fund COGS scholarship funding on a recurring basis to colleges and other org units. Prior to 2013, the Graduate College paid for qualifying scholarships from a central budget pool. This decision reflected that a) the scholarship had grown to cover 100% of tuition costs (the university reached its goal in growing its support for this important initiative) and b) the Graduate College COGS scholarship budget pool was in deficit each year as org units appointed a growing number of graduate assistants. Making recurring budget allocations to the org units allowed the Office of the Provost to enlist their support in managing General Fund scholarship costs.

International Programs

As part of a comprehensive reorganization, a new reporting structure was developed for International Programs (IP). Effective February 1st, 2012, the former associate dean in the Division of Continuing Education stepped into the new position of assistant provost of IP, reporting to the dean and associate provost of IP. This position has strategic and operational responsibility for all areas of IP, including study abroad programs, international student and scholar services, financial and HR functions, and communications and outreach. Previously, these areas were overseen by individuals in two separate assistant dean positions. The purpose of the reorganization was to strengthen lines of communication and leadership within the organization and between IP and other units, in order to recognize the increased priority of UI's global footprint and strengthen the university's ability to support the international activities of UI faculty, staff and students.

University College

In 2005, University College was created as a new organizational unit in the University's accounting system to house the credit-generating units and programs managed by the associate provost for undergraduate education (first-year transition courses, Career Center programs, study abroad, etc.). Shortly thereafter, administration of the Honors Program and the aerospace military studies and military science programs shifted from the College of Liberal Arts and Sciences to the University College. The new organizational unit allowed for separation of

the administrative and academic functions of units within the Office of the Provost and provided an academic location for cross-collegiate programs and certificates. University College now also provides a home for the Bachelor of Applied Science degree, a degree-completion program available to students who have completed an A.A. or A.A.S degree at a community college.

V. Selected Recent Activities and Accomplishments

Highlighted below are some of the Office of the Provost's recent activities and major accomplishments over approximately the past two years, grouped within several categories. (See also [appendix Z](#), the latest strategic plan progress report.) Details about these activities and accomplishments are available upon request.

Student Success

- Access and Enrollment Growth
 - Recruitment efforts focused on Iowans: Iowa Scholars Award, territory management system, increase in face-to-face activities
 - Admissions enhancements—including centralization of international recruiting, two-day turnaround on admissions decisions, MAUI management of event planning and student contacts
- Improved Retention
 - Early intervention through MAP-works and care team approach
 - Major investments in On Iowa! immersion program
 - Expanding no cost tutoring for students in critical “gateway courses” and academic skills workshops
 - Expanded supplemental instruction for at-risk students
 - Full implementation of ALEKs to ensure appropriate placement of students in math coursework
- Increased Students' Academic Engagement / Improved Graduation Rates
 - Enhanced academic components to living-learning communities
 - TILE (Transform. Interact. Learn. Engage.) classrooms/learning commons spaces
 - Increased funding over past three years to Iowa Center for Research by Undergraduates (ICRU)
 - Eliminated barriers to timely graduation, including better final exam schedule, electronic add/drops, reduced use of registration holds
 - 4- and 6-year graduation rates remain close to record levels
- Student Success Initiative Funding
 - Competitive proposal process, \$1M allocated to support student success initiatives
 - All proposals have assessment plans; results of assessment will be used to expand or contract programs as appropriate

Faculty Administration and Development

- Worked collaboratively with Shared Governance to develop/revise faculty-related policies, including: Extra Compensation for Teaching Academic Courses, Fixed-term Faculty, Lecturers, Named Visiting Faculty, Conflicts of Commitment and Interest, Extensions, Review of Tenured Faculty Members, Faculty Grievance Procedures
- Implementation of the Academic & Professional Record (APR) project to establish an online database of faculty activities
- Associate Provost for Faculty and Chief Diversity Office co-sponsored an Institutional Membership in the [National Center for Faculty Development and Diversity](#), to facilitate enhanced faculty development offerings to faculty at all career stages
- Implemented new Post-Tenure Review policy
- Redesigned and implemented survey for biennial Faculty Activity Report to the Board of Regents

Statewide Engagement

- Degree completion programs with 13/15 Iowa community colleges
- New online BBA, BA in social work in Des Moines
- STEM engagement – participation in Iowa Governor’s STEM Advisory Council, partnership with Kirkwood Community College
- Engaged scholarship: three years of start-up funding for the Digital Studio for the Public Humanities (a campus-wide initiative to encourage and support public digital humanities research and scholarship by faculty, staff, and students—including but not limited to those involved in the Digital Public Humanities interdisciplinary faculty cluster)
- Pollock mural exhibition at the Des Moines Art Center: 34,000 visitors
- Carnegie Foundation “Community Engagement” classification: individual identified to lead the process of preparing the university’s application, due 2015

Communication

- Initiated monthly e-mail communication to deans
- Provost launched series of Rotary talks across the state
 - 2011-12 message: UI Cluster Hire Initiative (Meeting Grand Challenges)
 - 2012-13 message: Engagement (Better Futures for Iowans)
- Associate Provost for Faculty convened multiple stakeholder groups to facilitate communication and collaboration, including: Associate Deans for Faculty, Faculty HR Representatives, Provost Office/VP Human Resources Quarterly Planning meetings
- Worked with ITS to update University College web site
- Launched effort with ITS to update Office of the provost web site

Efficiency and Process Improvements

- Four degree programs closed; additional programs realigned for efficiency and synergies
- Reorganized Faculty HR functions within the Office of the Provost
- Developed online applications for several faculty processes including: Faculty Reviews, Career Development Awards, electronic submission of promotion/tenure records
- Increased communication and coordination among the Associate Provosts for Faculty within the three Regents institutions. Recent coordinated projects include: revised Faculty Activities Survey, coordination among Conflicts of Commitment/Interest policies, possible implementation of APR on each campus

Hiring

- Since 2011: new deans appointed in the Colleges of Business, Education, Engineering, Liberal Arts and Sciences, and Medicine
- Cluster Hiring Initiative: 5 active clusters, 50 lines allocated, 30 hired

VI. Setting Priorities and Evaluating Effectiveness

Each year, the provost reviews the university's progress toward its strategic academic goals, assesses changes in the environment, and prioritizes specific initiatives to help move the strategic plan forward in the year to come. This annual planning process involves input from the associate provosts, collegiate deans, and others. [Appendix BB](#) is an example of the provost's three-page summary of this annual assessment and planning effort.

In addition to reporting to the Board of Regents each fall ([appendix Z](#)), the provost shares an update on progress toward strategic goals ([appendix CC](#)) with the university community.

Evaluation of Sub-Units and Programs

Both of the Office's "subordinate administrative units" as defined above have been reviewed within the past two years, using a streamlined process facilitated by a dedicated staff member assigned at the time to the Office of the Provost. Both reviews were very positive with regard to the quality of service provided by staff in these units.

The staff member also oversaw a streamlined review of the Honors Program, which reports to the Office of the Provost through the associate provost for undergraduate education (see [appendix B](#)). Additional reviews were planned but did not proceed following the departure of the staff member who had been heading the effort. In FY 2014 the Office plans to review the University College and the Bachelor of Applied Studies (B.A.S.) degree program.

Oversight by the Board of Regents

The provost assumes primary responsibility for communicating with the Board of Regents regarding all academic matters. This responsibility requires coordinating the submission of annual governance reports to the Board of Regents, State of Iowa on topics such as strategic planning progress, academic program review and student outcomes assessment, faculty activity and workload, promotion and tenure actions, faculty consulting activities, faculty salaries, phased and early retirements, faculty resignations, operation of tenure policies, requests for and reports on professional developmental assignments, international linkages, course changes, diversity programs, and student enrollment. The provost shares with the vice presidents the responsibility for preparing and submitting many other annual reports to the Board of Regents, including budget requests and adjustments. The provost advocates for all of the University's academic requests to the Board of Regents, including requests to create, eliminate, or modify departments, degree programs, or centers; enact administrative reorganizations; and appoint deans and directors.

The Board's acceptance or approval of these reports (or lack thereof) constitutes a de facto review of the university's academic activities under the provost's leadership. (See [appendix L](#), table of Regents reports.)

Evaluation of Provost and Associate Provosts

The provost undergoes annual performance evaluation with the president, and in turn annually evaluates the associate provosts as well as the deans and directors that report to him.

Commitment to Strengthen Key Areas

The Office has identified the following as key areas that we are committed to strengthen, across the broad range of our activities:

- Clear and concise communication regarding strategic direction of the Office
- Transparency in allocation of resources
- Sharing of institutional data and information
- Continued improvement in efficiency of faculty administration processes

As we look toward the future and continue to identify strategic initiatives that will advance the goals of the Office and of the strategic plan, we will also be guided by that commitment.

Strategies for Improvement: Selected Current or Near-Term Initiatives

Below is a list of selected initiatives that are already under way or are planned for the near future.

- Participate in the capital campaign (note: indicators of progress toward the goals of the strategic plan include: As part of the University's current comprehensive campaign, through July 1, 2016, raise
 - \$200 million in private gifts in support of student success [scholarships, graduate fellowships, study abroad scholarships, etc.]
 - \$200 million in private gifts in support of faculty excellence [chairs, professorships, visiting fellows, professional development].)
- Public engagement:
 - Develop an Office of Public Engagement
 - Apply for the Carnegie Community Engagement Classification
 - Integrate public engagement fields into the Academic and Professional Record (APR) database
- Develop vision and implementation guidelines for online education, including MOOCs
- Establish a leadership training program for deans
- Complete the rollout of MAUI and begin on version 2
- Enhance centralized leadership of the APR project
- Enhance faculty development program offerings, including the development of an "orientation" session for newly promoted associate professors and additional programming made possible through the National Center for Faculty Development and Diversity institutional membership
- Work with Information Technology Services (ITS) to enhance staff capacity to develop IT solutions for various academic functions, including APR
- Update the Office of the Provost web site to enhance communication and transparency
- Review the current budget model
- Reorganize Saturday/evening and summer session to give colleges more flexibility
- Provide assistance to units regarding process improvement, staffing, and resource management
- Enhance access to budget management reports via ProView (Office of the Provost views of institutional data)
- Provide training to Collegiate Budget Officers related to business processes / policies
- Undertake reviews of University College and Bachelor of Applied Studies (B.A.S.) degree program

Conclusion

The Office of the Provost strives to represent and to advocate for the academic mission of the University of Iowa to external stakeholders, while serving as a catalyst for the creation and promotion of the University's academic vision. As noted in this self-study, much of the activity of the Office of the Provost involves creating pathways for effective communication among the university's many programs, departments, and units. The Office's effectiveness depends upon its ability to create opportunities for faculty, staff, and students to achieve excellence.

Appendices: 2013 Self Study

- A. [Office of the Provost organizational chart](#)
- B. [Associate Provost for Undergraduate Education \(APUE\) org chart](#)
- C. [Associate Provost for Faculty organizational chart](#)
- D. [Information & Resource Management \(IRM\) organizational chart](#)
- E. [List of Office of the Provost staff with salaries](#)
- F. [Faculty and Staff FTE, Org 02 Departments 0100 and 0105, All Funds \(2002-03 to 2012-13\)](#)
- G. [Faculty and Staff FTE, Org 02 Departments 0100 and 0105, General Education Funds \(2002-03 to 2012-13\)](#)
- H. [Expenditures and Transfers, Org 02 Departments 0100 and 0105, All Funds \(2002-2012\)](#)
- I. [Expenditures and Transfers, Org 02 Departments 0100 and 0105, General Education Funds \(2002-2012\)](#)
- J. [FY 2013 Office of the Provost General Education Fund budget by budget category in accounts 0100 and 0105](#)
- K. [Example of provost's 2012-13 presentation to civic groups throughout Iowa](#)
- L. [Table of Governance Reports to the Board of Regents, State of Iowa](#)
- M. [Presentation by President Sally Mason to the Governor regarding the university's FY 2014 appropriations request](#)
- N. [Summary of outcomes of UI budget process for fiscal years 2006 through 2012](#)
- O. [5-year capital plan](#)
- P. [Capital projects – currently under way or in the planning stages](#)
- Q. [Recently completed and ongoing capital projects > \\$100,000](#)
- R. [List of units that report to the Office of the Provost](#)
- S. [Contacts by area of responsibility](#)
- T. [Office of the Associate Provost for Faculty: Who Does What](#)
- U. [Office of the Associate Provost for Faculty: Significant Accomplishments: Associate Provost and Faculty HR/Development, March 2011](#)
- V. [Office of the Provost: Information & Resource Management \(IRM\): Overview of Responsibilities, December 2010](#)
- W. [Reports of the Strategic Initiatives Task Forces](#)
- X. [Renewing the Iowa Promise \(strategic plan\)](#)
- Y. [Strategic Plan of the Board of Regents, State of Iowa](#)
- Z. [Strategic planning progress report](#)
- AA. [Common Academic Indicators](#)
- BB. [FY12 accomplishments, landscape assessment, advancing the plan \(FY13\)](#) asdfsd
- CC. [Strategic Plan update](#)

Appendix II: Faculty and Staff Survey Results

Report of the Faculty/Staff Survey on the Office of the Provost and the Provost

Faculty Committee for the Review of the Office of the Provost
April 17, 2014

Introduction

This web survey was created by the 2013-14 Committee for the Review of the Provost Office, based upon information collected in previous reviews at The University of Iowa and at other institutions.

Approval was obtained for the survey content by the Vice President for Human Resources, and approved for mass email delivery by the Information Technology Services (ITS) Enterprise Communications Team. The sampling frame was defined as faculty and staff currently employed at the University of Iowa with at least a 0.50 FTE position, as represented in The University of Iowa Exchange System. The classifications of “faculty” included tenure/tenure-track, clinical, and research faculty, as well lecturers and adjunct faculty who met the 0.50 FTE criterion. Staff categories included Professional and Scientific, Bargaining-eligible Merit System staff, Merit Supervisory Exempt/Confidential staff and Health Care Professionals (SEIU). This identifying information was used by the Mass Email team in the university’s Information Technology Services group to find the appropriate email addresses, but not retained in the survey database.

The survey was released on February 7, 2014 and ran for two weeks. A reminder message was sent on Monday, February 12, 2014, and the survey was formally closed on February 24. It was administered via the Qualtrics web surveying system licensed by The University of Iowa, and was designed to take between 5 and 10 minutes to complete.

Respondent Characteristics

Survey invitations were sent to 18,873 employees who met the criteria. Of these, 2589 (13.7% of targeted) started the survey and 1979 (76% of responders) completely finished it. The responses provided in this report include all who answered provided information on any question. These respondents self-classified into the demographic and employment categories listed in Table 1.

Corresponding information was requested from the ITS Enterprise Communication Team on the entire sample to assess representativeness of the respondents and is also presented in Table 1.

Table 1: Survey Response Rates

	Survey Respondents - Completed		Targeted University Employees	
	Count	Percent	Count	Percent
Employment				
Faculty	714	28%	3,094	16.4%
Staff	1,819	72%	15,779	83.6%
Total	2,533	100%	18,873	100%
Gender				
Male	953	38%	7,206	37.8%

Female	1566	62%	11,834	62.2%
Transgender/non-binary	6	<1%	2	<1%
Total	2525	100%	19,042	100%
Length of Active Employment				
0-2 years	501	20%	4,793	25.2%
3-6 years	455	18%	7,171	12.5%
7-10 years	322	13%	11,118	20.7%
11-15 years	321	13%	2,504	13.2%
More than 15 years	949	37%	5,417	28.5%
Total	2548	100%		100%

Compared to the target population, the sample of respondents is more heavily weighted to faculty over staff, and to longer-term employees. There are no gender differences.

The first section of the survey captured simple demographic and employment information. This was followed by a series of assessment questions divided into the following categories: Roles and Responsibilities; Strategic Plan and Vision; Communication and Listening; Management; and Leadership and Support. For each assessment question, the respondent was given an option of “Have insufficient information to judge.” At least 50% of the respondents on each question used that category, so in the summaries below, percentages computed with and without those with insufficient information are presented. Graphical summaries of respondents who felt they had sufficient information to answer are presented in [Appendix A](#). The same graphical summaries for all respondents, broken down by faculty/staff classification and years of employment are presented in [Appendix B](#). No striking differences were seen among faculty and staff, nor among those with differing years of employment, other than staff were more likely to report that they did not have sufficient information to make the assessment.

Summary of Findings

Respondents

Among those starting the survey, the greatest proportion (37%) had been employed for more than 15 years, 26% between 7 and 15 years, 18% between 3 and 6 years, and 20% with two or fewer years. These breakdowns were reasonably consistent across faculty and staff, although staff respondents were more likely to be employed 0-6 years, while faculty respondents were more likely to be employed 7 to 15 years. Little difference was seen in the completion rates between faculty and staff (80% faculty; 76% staff), and between men and women (80% men; 76% women). The gender breakdowns in staff and faculty categories differed, with a higher proportion of females in staff positions (70% women vs. 30% men) and a higher proportion of men in faculty positions (58% men vs. 42% women). Six individuals self-classified as transgender/non-binary and will be excluded from further breakdown to protect confidentiality.

Among the faculty, over half (55%) were tenured, 12% were tenure-track, 19% were clinical, 7% were lecturers, 3% were research track, and 3% were adjuncts. Among the staff respondents, 75% were professional and scientific (P&S), 15% were Merit, 4% were Merit Exempt/Supervisory and 7% were Health Center SEIU.

Understanding Roles and Responsibilities of the Office of the Provost

Perhaps not surprisingly, the roles and responsibilities of the Office of the Provost are not well understood by many faculty and staff on campus, as indicated in the first row of Table 2. We found 43.2% with “limited” understanding or very little understanding, and another 32.9% with “general” understanding. Only 23.9% claimed to have a “reasonably strong” or deeper understanding. This was reflected in the large proportion of individuals who felt unable to assess the overall leadership in the Office of the Provost (52.4%) and overall effectiveness (54.5%). In this and subsequent tables, the percentages reported first without parentheses are based on respondents who indicated that they had sufficient information to answer the question. The percentages in parentheses are based upon all respondents, and include the percent who reported lack of sufficient information to answer the question.”

Among those who chose to make assessments of leadership and effectiveness, the ratings were very favorable (Table 2). With respect to overall leadership, 82.8% had a favorable or very favorable assessment. The corresponding number was very similar for the effectiveness assessment, with 83.0% giving the office a favorable or very favorable rating. Breakdowns by faculty/staff and length of employment are presented in Appendix A, for these and all other survey questions.

Table 2: Understanding of the Office of the Provost

	Very Well	Reasonably Strong	General Understanding	Limited Understanding	Not Well at All	N
How well do you feel you understand the roles and responsibilities of the Provost Office?	8.4%	15.5%	32.9%	22.5%	20.7%	2401
	Very Favorable	Favorable	Unfavorable	Very Unfavorable	Insufficient Info	N
What is your overall assessment of the leadership of the Provost and members of his office?	21%	61.8%	11.9%	5.3%	--	1115
	(9.8%)	(28.8%)	(5.6%)	(2.5%)	(52.4%)	(2393)
What is your overall assessment of the effectiveness of the Provost and members of his office?	20.8%	62.2%	12.6%	4.4%	--	1090
	(9.5%)	(28.3%)	(5.7%)	(2.0%)	(54.5%)	(2395)

Strategic Plan and Vision

Four questions related to the strategic plan addressing leadership, articulation, assessing progress, and communicating a vision were asked. The majority of survey respondents chose not to make such assessments, ranging from 59% to 65% across the four questions. Among those who evaluated the Provost in this manner, scoring was very consistent across three of the four questions, with 83.9%, 83.7%, and 81.8% either strongly agreeing or agreeing on the effectiveness of his leadership, articulation and assessing progress (Table 3). The scoring of his communicating a vision for the future dropped some, with 76% agreeing or strongly agreeing.

Table 3: Strategic Plan and Vision*

	Strongly Agree	Agree	Disagree	Strongly Disagree	Insufficient Info	N
With respect to the University's strategic plan, Provost Butler provides effective leadership	27.6% (10.8%)	56.3% (22.1%)	11.2% (4.5%)	4.84% (1.9%)	-- (60.8%)	909 (2318)
Provost Butler articulates the University's strategic plan well.	27.8% (10.9%)	55.9% (21.8%)	11.6% (4.5%)	4.7% (1.8%)	-- (61.0%)	902 (2312)
Provost Butler is effective in assessing progress on the University's strategic plan.	28.0% (9.7%)	53.8% (18.6%)	12.8% (4.4%)	5.5% (1.9%)	-- (65.4%)	800 (2310)
Provost Butler is effective in communicating a vision for the future of the university.	24.7% (10.1%)	51.3% (20.9%)	15.8% (6.5%)	8.2% (3.3%)	-- (59.2%)	941 (2308)

Communication and Listening

Eight questions on effectiveness of communication in the Office of the Provost (Table 4), five on seeking and taking into consideration input and feedback were asked (Table 5) and four on professionalism and responsiveness (Table 6). With respect to the communication questions, approximately 60% (58.1%-65.4%) did not have sufficient information to answer, with one notable exception. That exception was the question on communicating the importance of diversity, for which approximately 200 more felt able to answer (50.1% with insufficient information).

Of those with sufficient information to judge, the proportions agreeing or strongly agreeing were highest with respect to communicating about student success (83.9%), importance of diversity (84.7%), communicating with external audiences (83.2%) and advocacy at the state level (82.6%). The ratings of other types of communication were again very positive (agree/strongly agree), but somewhat less so. The corresponding percentages were 79.3% for communicating about faculty/faculty success, 77.4% on

staff and staff success, 75.7% on issues related to the strategic plan and 75.3% across colleges on interdisciplinary issues.

Table 4: “The Office of the Provost is effective in communicating...”

	Strongly Agree	Agree	Disagree	Strongly Disagree	Insufficient Info	N
...policies, priorities, and initiatives affecting faculty and faculty success.	20.1% (8.2%)	59.2% (24.4%)	14.5% (6.0%)	6.2% (2.6%)	-- (58.8%)	862 (2090)
...policies, priorities, and initiatives affecting staff and staff success.	18.0% (7.5%)	59.4% (24.9%)	16.3% (6.8%)	6.4% (2.7%)	-- (58.1%)	874 (2087)
...policies, priorities, and initiatives affecting student and student success.	22.1% (9.2%)	61.8% (25.5%)	10.8% (4.5%)	5.2% (2.2%)	-- (58.7%)	858 (2077)
...achievements and challenges related to the strategic plan.	18.3% (7.5%)	57.4% (23.6%)	18.6% (7.7%)	5.7% (2.4%)	-- (58.9%)	854 (2079)
...the importance of diversity on campus	25.7% (12.8%)	59.0% (29.5%)	9.0% (4.5%)	6.4% (3.1%)	-- (50.1%)	1039 (2081)
... across colleges on interdisciplinary issues	19.1% (7.7%)	56.2% (22.7%)	15.8% (6.4%)	8.9% (3.4%)	-- (59.7%)	834 (2070)
...with external audiences on behalf of the university	25.0% (8.6%)	58.2% (20.1%)	10.9% (3.8%)	6.0% (2.1%)	-- (65.4%)	717 (2071)
...advocacy for the university at the state level.	25.7% (9.6%)	56.9% (21.2%)	10.0% (3.7%)	7.5% (2.8%)	-- (62.7%)	774 (2077)

With respect to the Office of the Provost seeking and considering input from others, we again see a high proportion of respondents with insufficient information to judge, ranging from 61.8% to 64.7% (Table 5). Among those who did assess the Office on this “input” type of communication, we found positive assessments (agree/strongly agree) on all questions, but from a somewhat lower percentage of respondents than seen on the “output” type of communication (Table 4). With respect to input on policy development, 72.1% were positive; 70.6% were so on potential new directions/initiatives; 71.7% on implementation of initiatives; 72.2% on interdisciplinary issues; and 76.2% on collegiate success stories and challenges.

Table 5: “The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...”

	Strongly Agree	Agree	Disagree	Strongly Disagree	Insufficient Info	N
...policy development	18.0% (6.6%)	54.1% (19.8%)	18.1% (6.6%)	9.8% (3.6%)	-- (63.3%)	762 (2077)
... potential new directions or initiatives for advancing the University.	19.0% (7.1%)	51.6% (19.4%)	19.5% (7.3%)	9.9% (3.7%)	-- (62.4%)	779 (2072)
...implementation of new initiatives.	19.4% (7.4%)	52.3% (20.0%)	18.8% (7.2%)	9.5% (3.6%)	-- (61.8%)	788 (2064)
...interdisciplinary issues.	17.9% (6.3%)	54.3% (19.2%)	17.5% (6.2%)	10.3% (3.7%)	-- (64.7%)	726 (2057)
...collegiate success stories and challenges.	19.8% (7.4%)	56.4% (21.0%)	14.5% (5.4%)	9.3% (3.5%)	-- (62.8%)	766 (2057)

The series of four questions relating to honesty, trust, fairness, and responsiveness is the section of the survey where the Office of the Provost scored most highly (Table 6). The majority response in each of the four questions (54.7% - 59.3%) was again “insufficient information.” However among those with sufficient information, 88.6% felt that the office operated under the principles of honesty, integrity, and respect; 86.2% felt the Office was trustworthy; 81.9% considered them fair when enforcing policies and regulations; and 88.1% felt they were responsive and courteous when help or advice was sought. While the proportion of respondents who chose “agree” to these statements remained very consistent with those of other questions discussed above, the proportion of those who rated the office higher (“strongly agree”) was about 10 percentage points higher than on other questions in this section.

Table 6: “The Office of the Provost...”

	Strongly Agree	Agree	Disagree	Strongly Disagree	Insufficient Info	N
...operates under principles of honesty, integrity, and respect.	32.7% (14.8%)	55.9% (25.3%)	6.2% (2.8%)	5.2% (2.4%)	-- (54.7%)	945 (2088)
.. is trustworthy	32.6% (14.3%)	53.6% (23.5%)	7.5% (3.3%)	6.4% (2.8%)	-- (56.1%)	912 (2079)
..is fair when enforcing policies and regulations.	30.9% (12.7%)	50.9% (20.9%)	11.5% (4.7%)	6.7% (2.8%)	-- (58.9%)	852 (2075)
... is responsive and courteous when help or advice is sought.	34.3% (14.0%)	53.8% (21.9%)	6.9% (2.8%)	5.0% (2.0%)	-- (59.3%)	842 (2068)

Management

The section on management consisted of five questions related to common administrative oversight areas within the Office of the Provost and one question on the adequacy of its administrative structure and budget (Table 7).

Among the 37% with sufficient information to judge, 90.2% agreed or strongly agreed that the offices that manage student academic affairs (e.g., admission, registration, financial aid, etc.) were effectively managed. Space planning and faculty affairs were judged to be effectively managed by 84.0% and 84.1%, respectively, whereas management of financial matters and resolution of collegiate-level conflicts were rated well, but lower, with 74.6% and 73.7% of the respondents agreeing or strongly agreeing with the statements.

When asked about whether the Office was seen to have an effective administrative structure with sufficient staff and resources to accomplish its mission, 84% of those with sufficient information to judge (41.8% of the question respondents) thought that they did (agree/strongly agree).

Table 7: “The Office of the Provost, in cooperation with other related offices, effectively manages...”

	Strongly Agree	Agree	Disagree	Strongly Disagree	Insufficient Info	N
...faculty matters (e.g., promotion and tenure, interdisciplinary hires, joint hires, disputes, etc.)	24.6% (8.7%)	59.5% (20.9%)	10.8% (3.8%)	5.1% (1.8%)	-- (64.8%)	723 (2055)
... student academic affairs e.g., admissions, registrar, .honors programs, financial aid, student success programs, Center for Teaching, etc.)	25.0% (9.0%)	65.2% (23.4%)	6.3% (2.2%)	3.5% (1.3%)	-- (64.2%)	735 (2050)
...financial matters (collegiate budgetary matters, interdisciplinary funding, resources for initiatives, etc.).	19.4% (7.1%)	55.2% (20.3%)	16.0% (5.9%)	9.4% (3.5%)	-- (63.5%)	752 (2046)
...resolution of collegiate-level issues / conflict management.	19.2% (6.2%)	54.2% (17.4%)	16.0% (5.1%)	10.6% (3.4%)	-- (67.9%)	651 (2029)
... space planning and utilization.	16.5% (5.7%)	57.2% (19.7%)	16.5% (5.7%)	9.8% (3.4%)	-- (65.6%)	704 (2046)
... From what I can see, the Office of the Provost has an effective administrative structure, with sufficient staff and resources to accomplish its mission.	19.5% (8.1%)	64.5% (26.9%)	10.4% (4.3%)	5.7% (2.4%)	-- (58.2%)	858 (2054)

Leadership, Judgment and Support

In the final section of the survey, respondents were asked 10 questions related to the effectiveness of leadership, judgment and support within the Office of the Provost in key areas of the office (Table 8). Across all 10 questions, the range of percentages of respondents with insufficient information to answer was 62.4% to 67.4%, so approximately 35% of the respondents were able to agree or disagree with the ten statements. Among those with enough information to judge, 78.3% agreed / strongly agreed that the Office of the Provost was effective with respect to hiring, 75.4% with respect to deans and their goals/initiatives; and 77.7% with respect to faculty development. In relationship to student education, 85.0% agreed/strongly agreed that the Office was effective for undergraduate education, dropping a bit to 77.7% for graduate education. It was agreed/strongly agreed by 81.2% that the international programs and study abroad had effective leadership, judgment and support, and by 83.0% for the continuing/distance/online education programs. Outreach and engagement was rated highly by 83.6%, information and resource management by 82.3%, and advancing scholarly and creative endeavors by 80.2% of the respondents with sufficient information to make an assessment.

Table 8. “The Office of the Provost is effective in providing leadership, judgment, and support with respect to...”

	Strongly Agree	Agree	Disagree	Strongly Disagree	Insufficient Info	N
...hiring (e.g., hiring of deans, cluster hires, joint hires)	19.2% (7.0%)	59.1% (21.7%)	13.9% (5.1%)	7.8% (2.8%)	-- (63.4%)	734 (2005)
.. collegiate deans and their goals/initiatives.	19.2% (6.4%)	56.2% (18.9%)	15.8% (5.3%)	8.9% (3.0%)	-- (66.4%)	673 (2002)
..faculty development.	19.0% (6.8%)	58.7% (20.9%)	14.5% (5.2%)	7.8% (2.8%)	-- (64.5%)	710 (1997)
...undergraduate education.	21.5% (7.9%)	63.5% (23.2%)	9.6% (3.5%)	5.4% (2.0%)	-- (63.5%)	729 (1999)
... graduate and professional education	19.0% (7.2%)	59.0% (22.2%)	14.5% (5.5%)	7.5% (2.8%)	-- (62.4%)	751 (1999)
...international programs and study abroad	22.3% (7.5%)	58.9% (19.8%)	12.2% (4.1%)	6.7% (2.3%)	-- (66.3%)	674 (2002)
...continuing (distance/online) education	17.2% (5.6%)	65.8% (21.4%)	11.4% (3.7%)	5.7% (1.9%)	-- (67.4%)	652 (2002)
...outreach and engagement	21.1% (7.7%)	62.5% (22.7%)	12.0% (4.4%)	4.4% (1.6%)	-- (63.6%)	725 (1992)
...information and resource management	18.9% (6.8%)	63.4% (22.9%)	11.0% (4.0%)	6.7% (2.4%)	-- (64.0%)	719 (1995)
...advancing scholarly and creative endeavor.	19.3% (7.0%)	60.9% (22.0%)	11.5% (4.2%)	8.2% (3.0%)	-- (63.9%)	719 (1990)

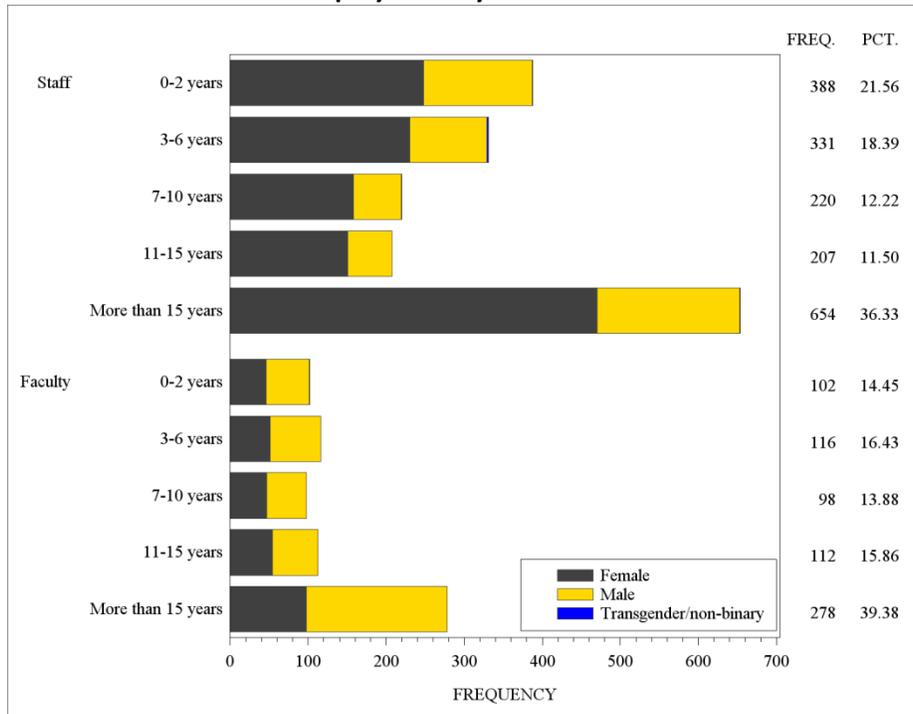
Appendix A

Respondent Characteristics

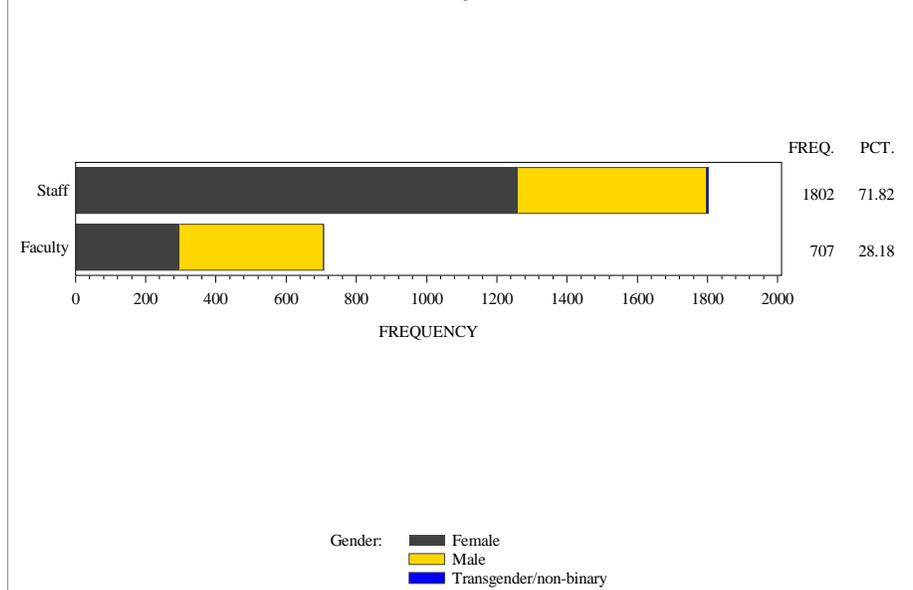
Response Summaries on Those
with Sufficient Information to Answer

Appendix A: All Respondents

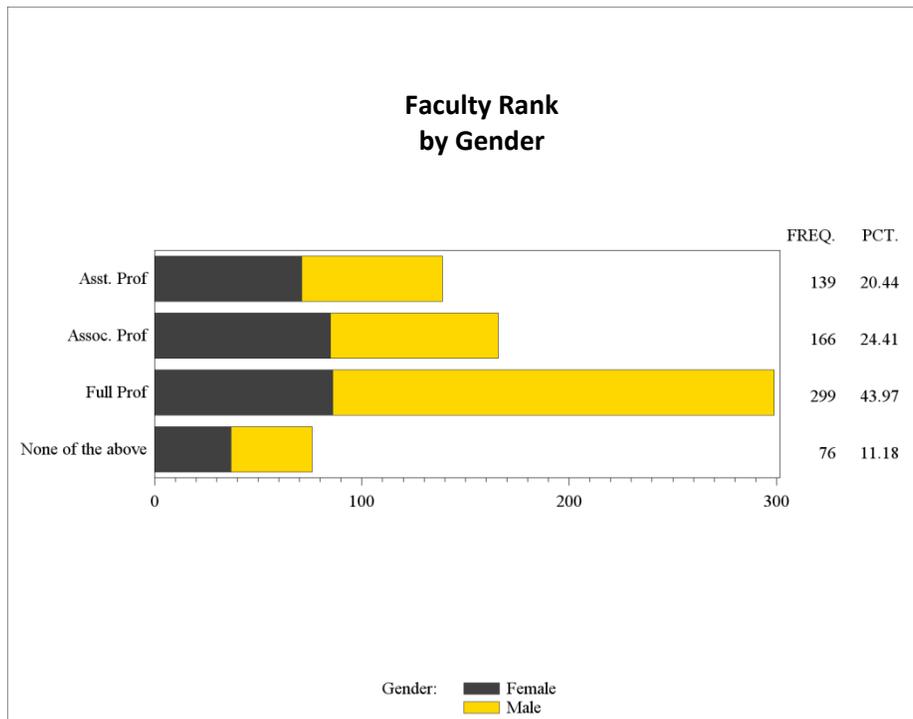
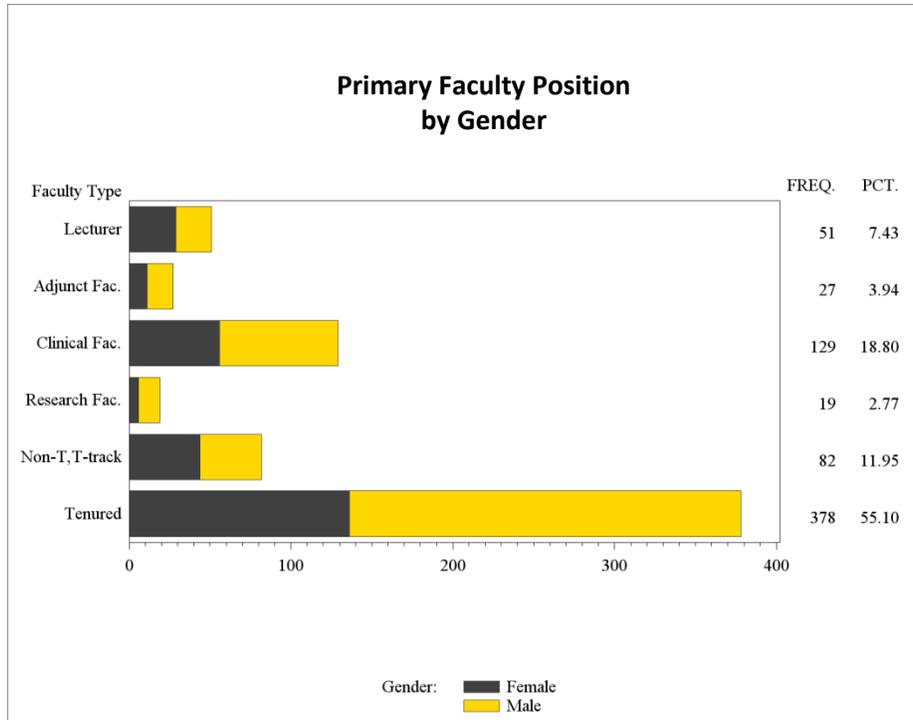
Years of Employment by Position and Gender



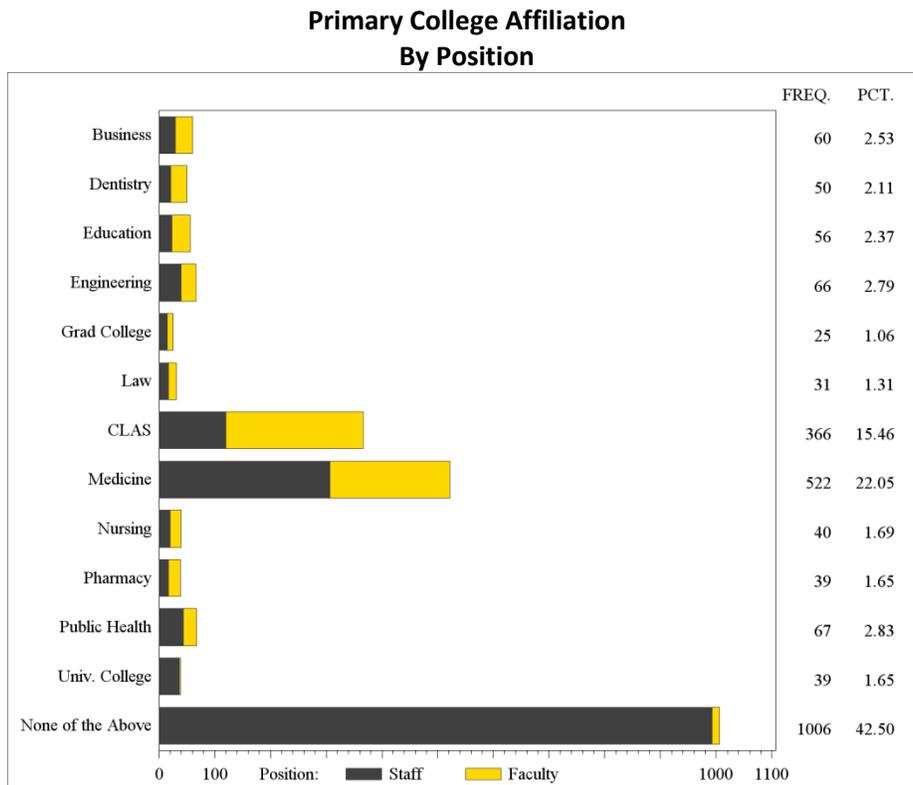
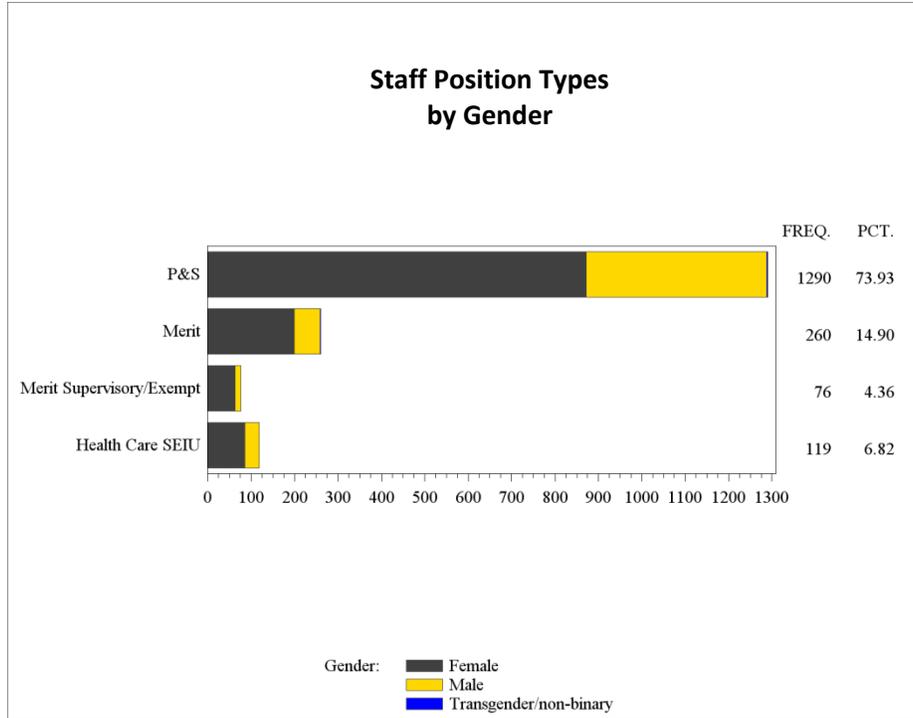
Position by Gender



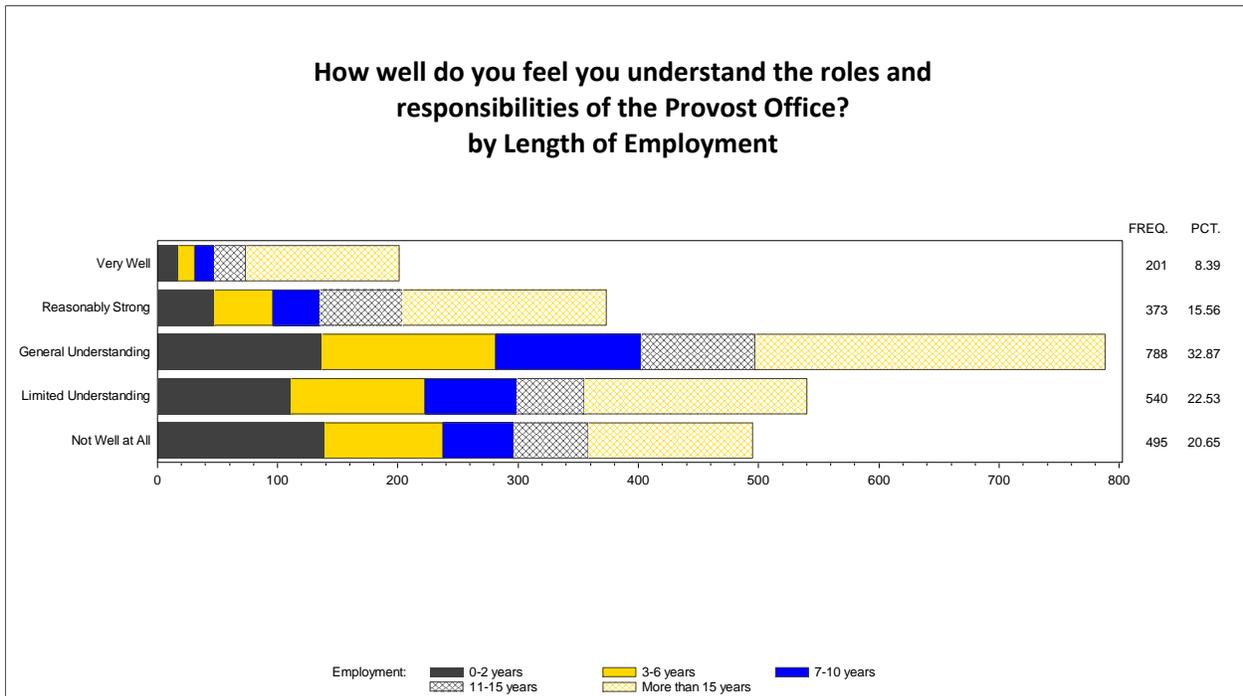
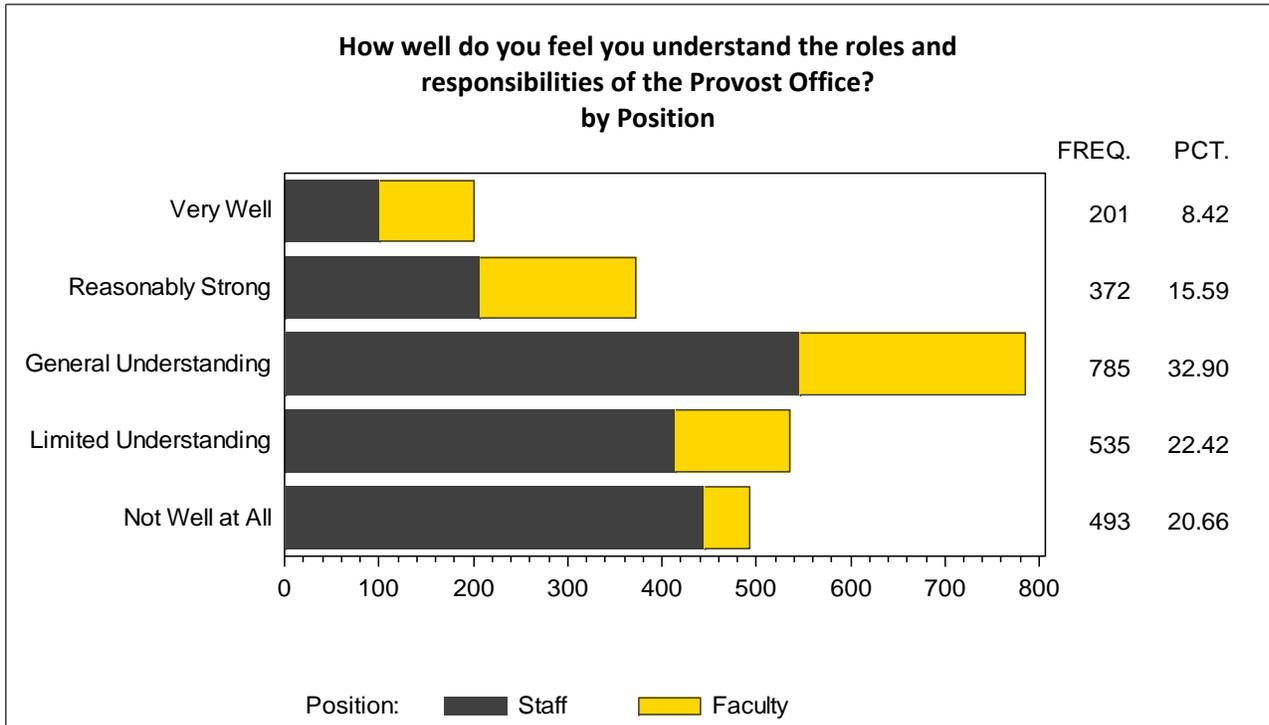
Appendix A: All Respondents



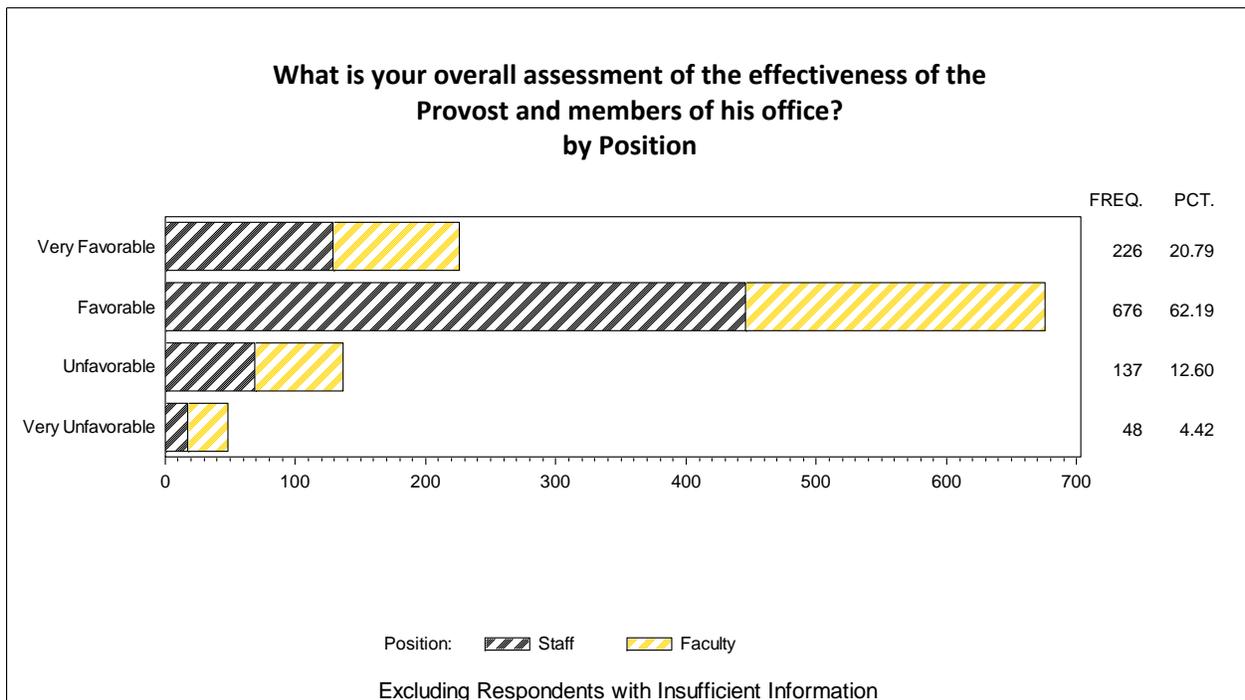
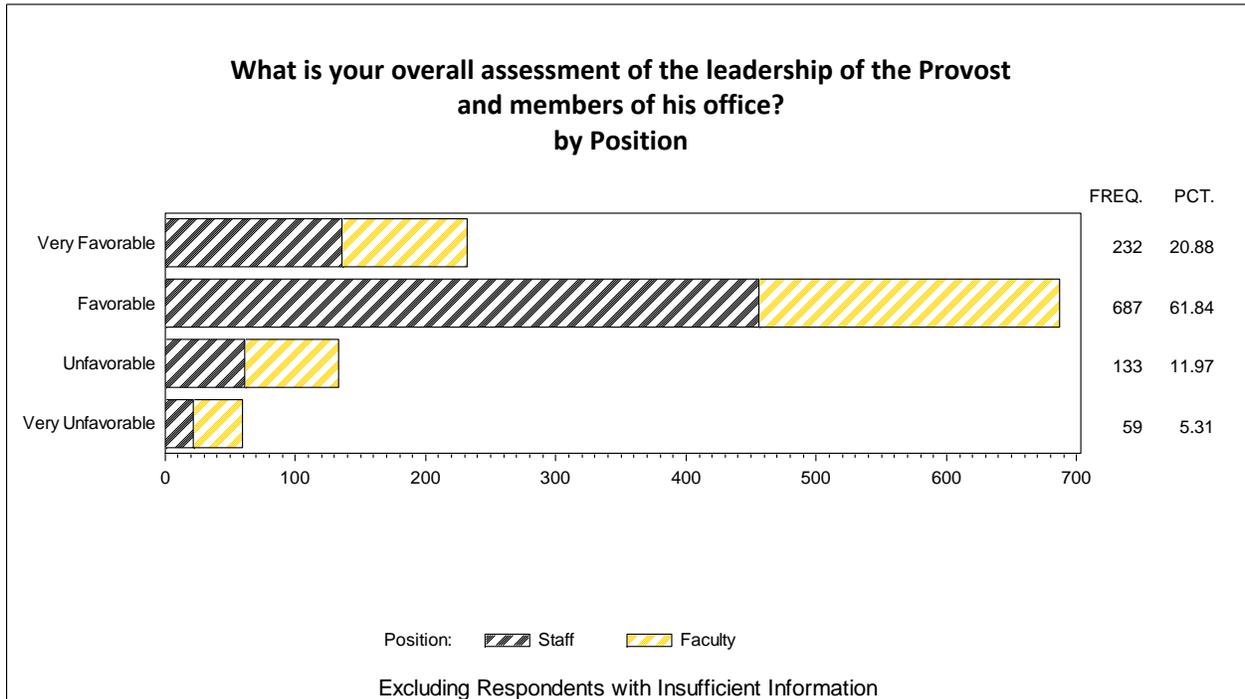
Appendix A: All Respondents



Appendix A: All Respondents

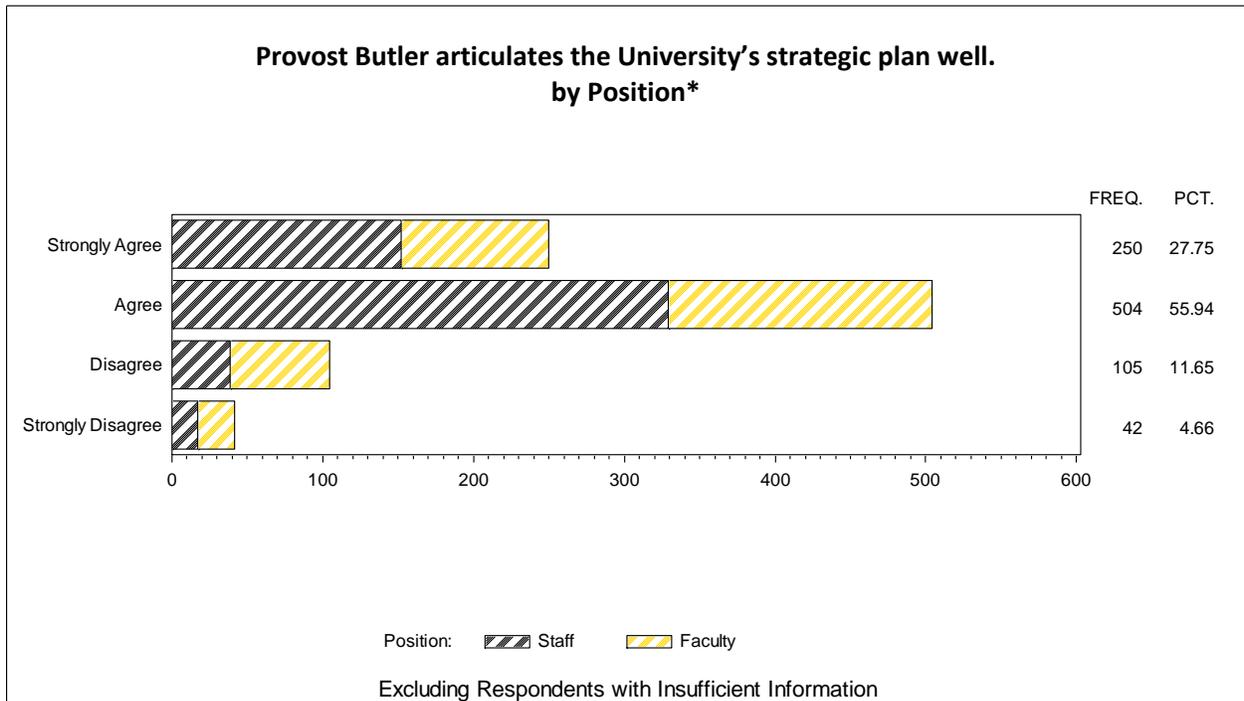
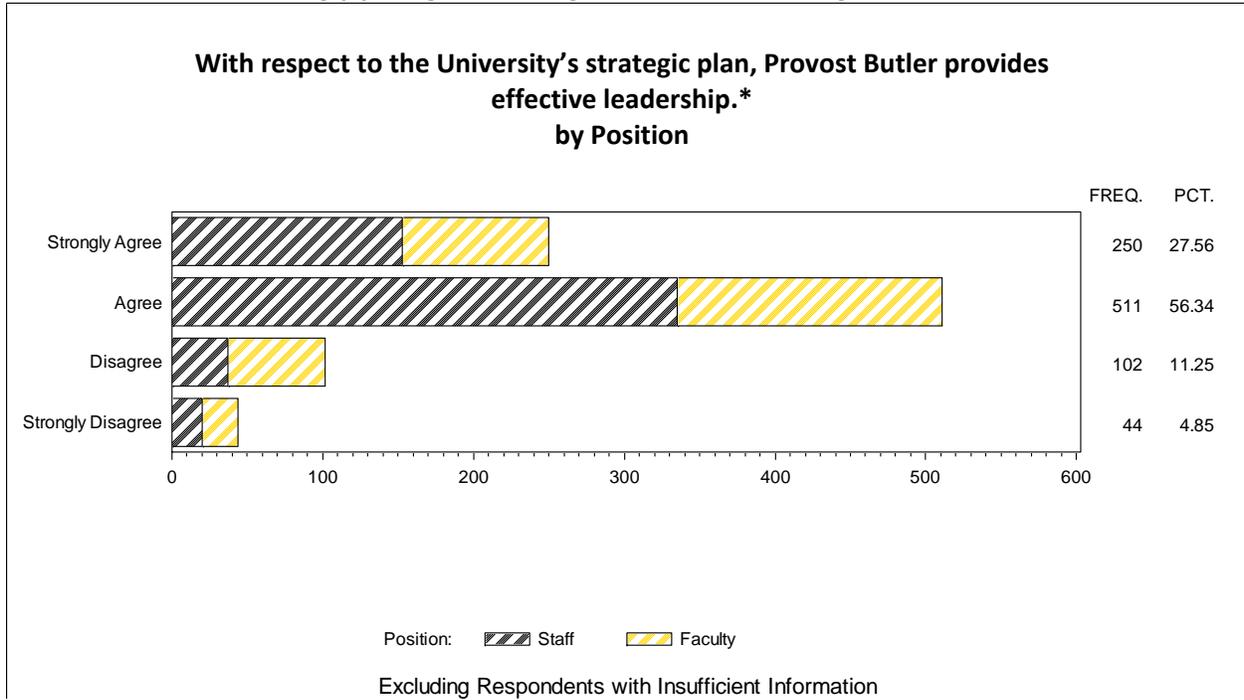


Appendix A: Overall Assessment (Subset with Sufficient Information)



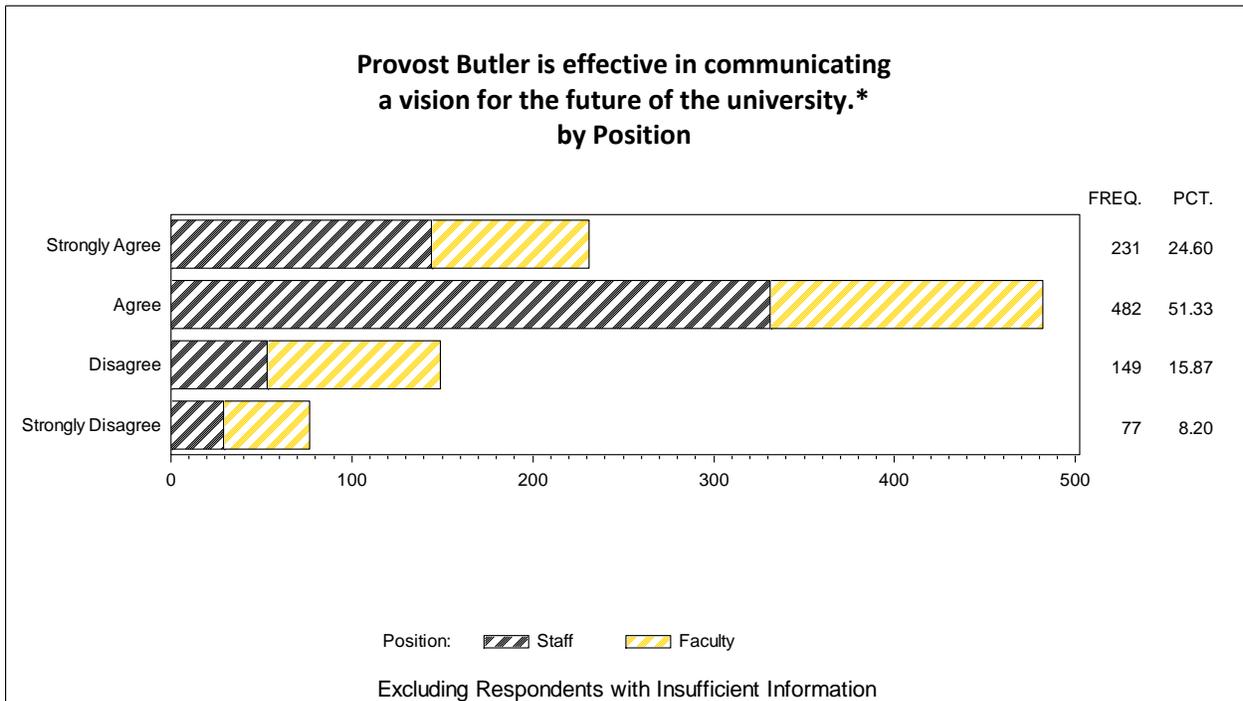
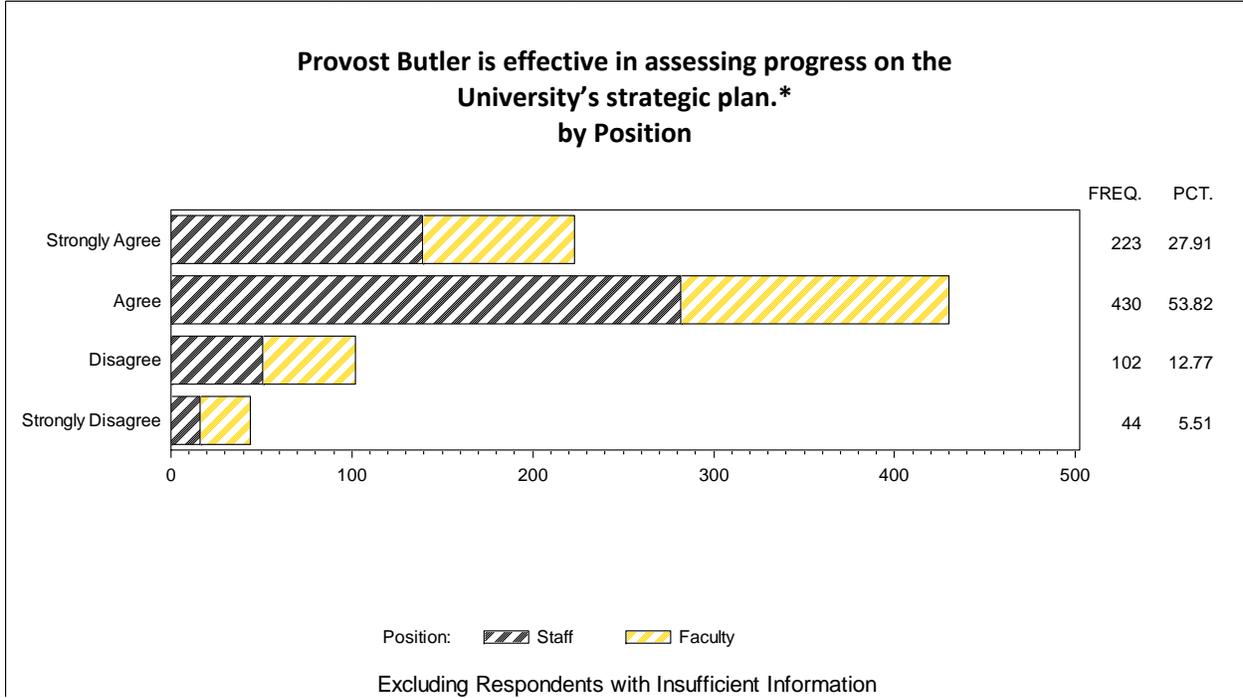
Appendix A: Strategic Plan and Vision

Please indicate how strongly you agree or disagree with the following statements.



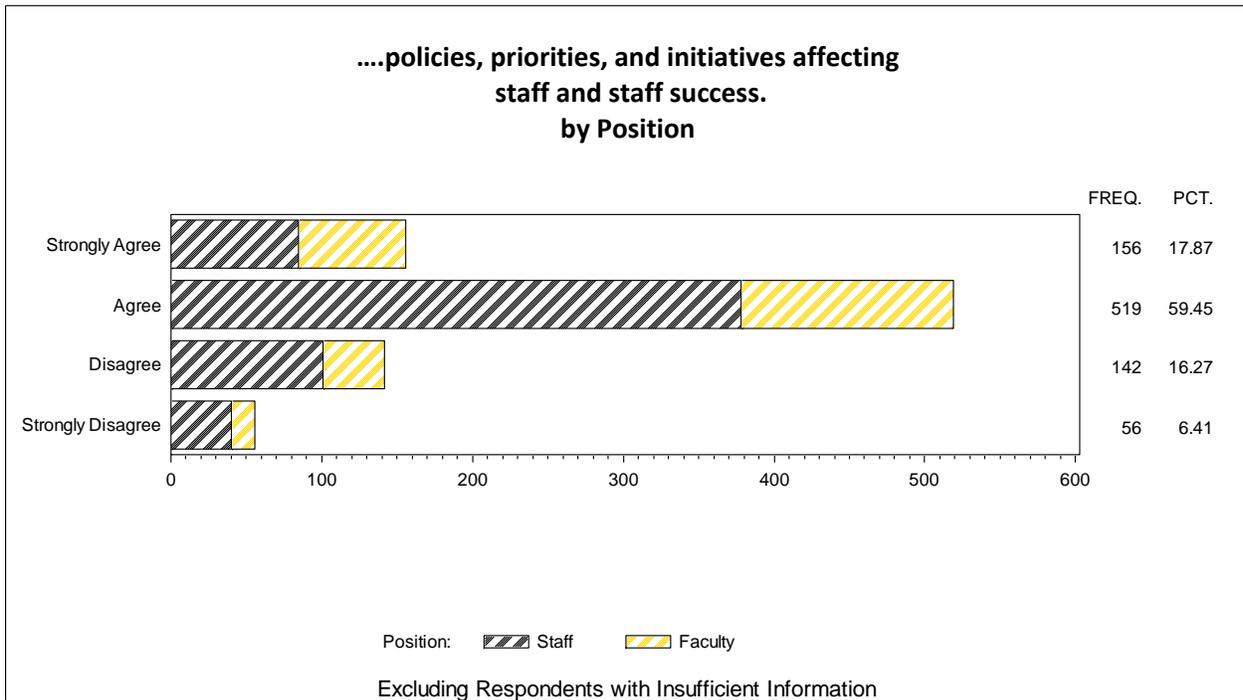
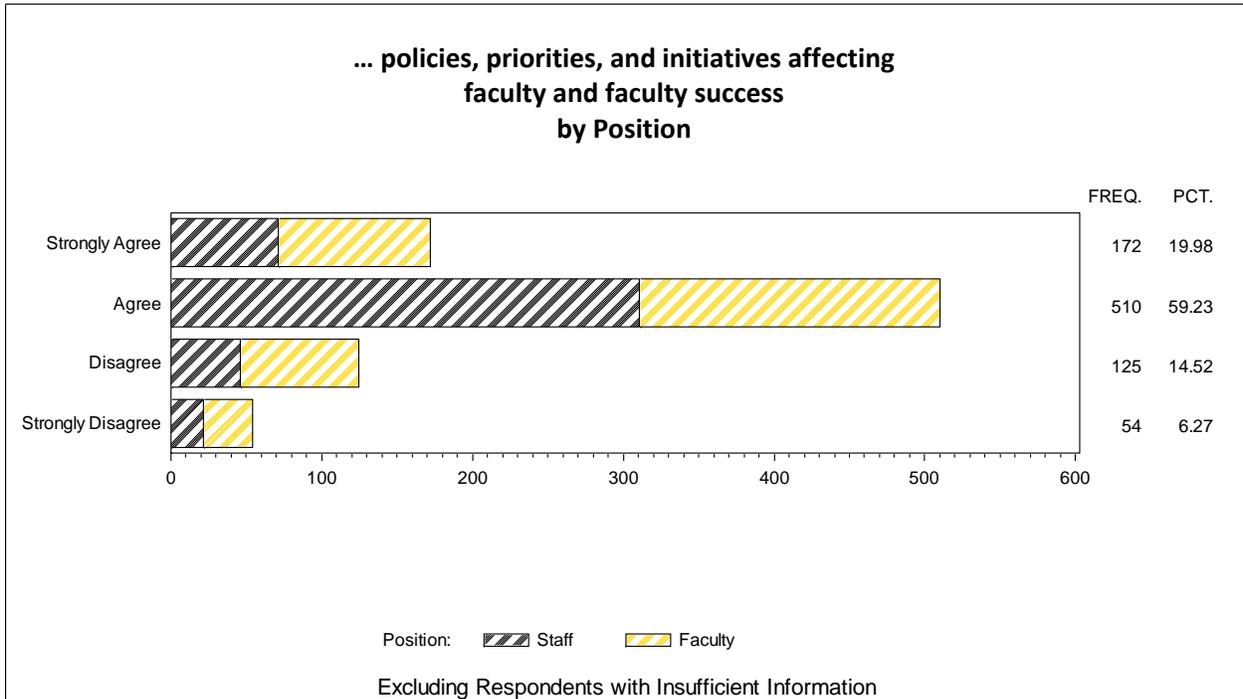
Appendix A: Strategic Plan and Vision

Please indicate how strongly you agree or disagree with the following statements.



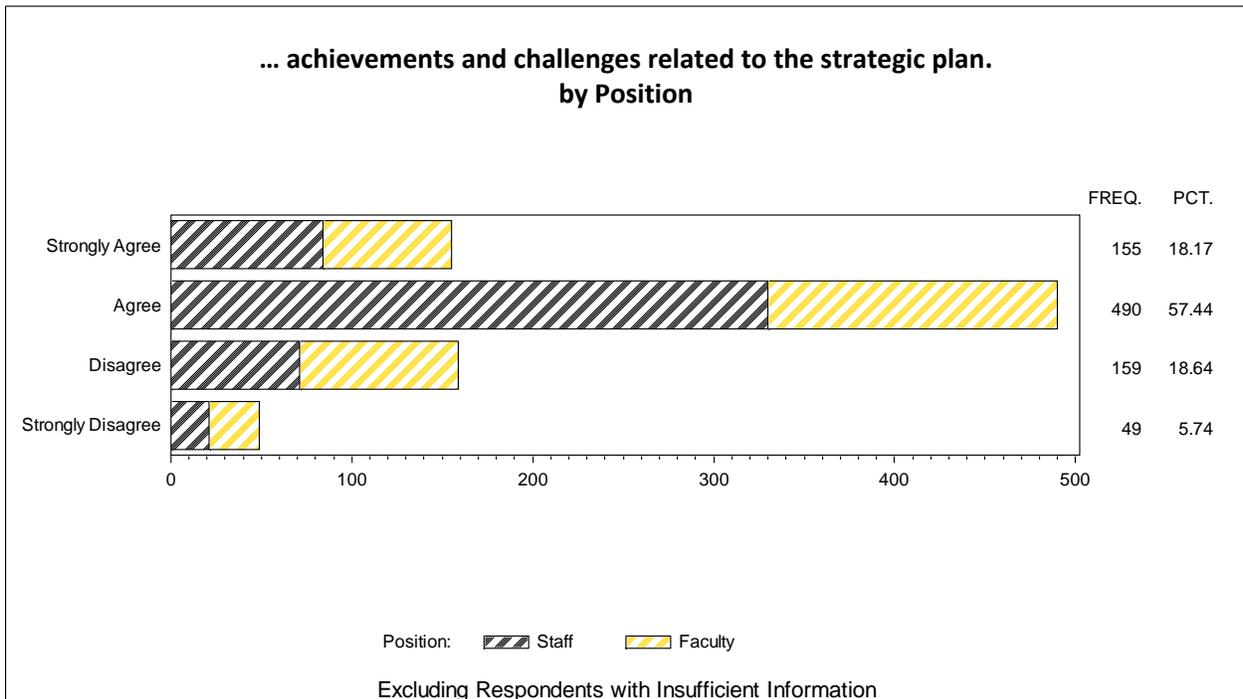
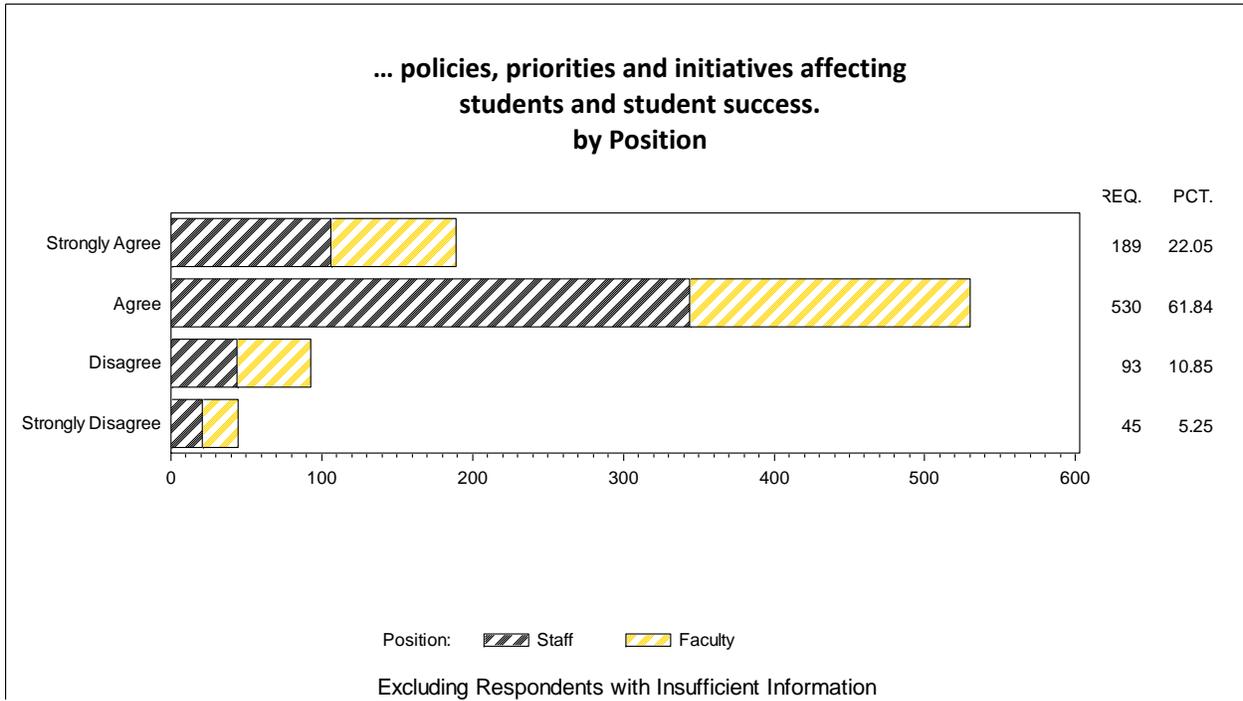
Appendix A: Communication and Listening

The office of the Provost is effective in communicating....



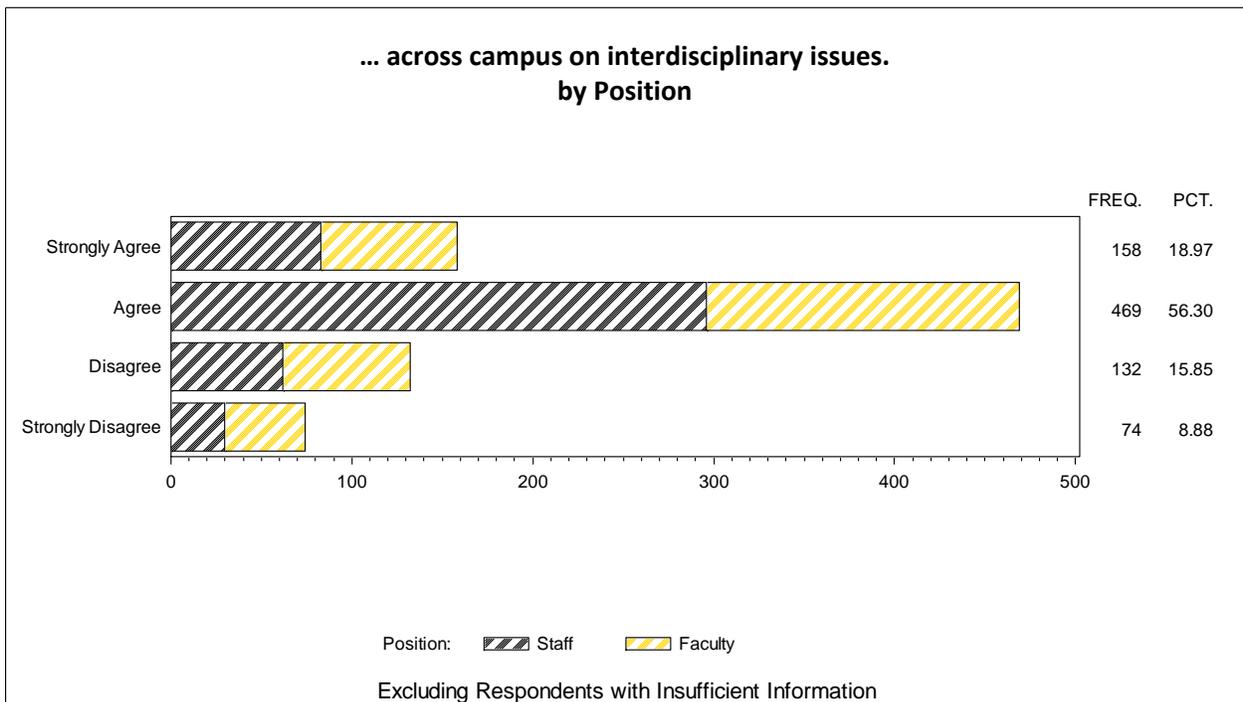
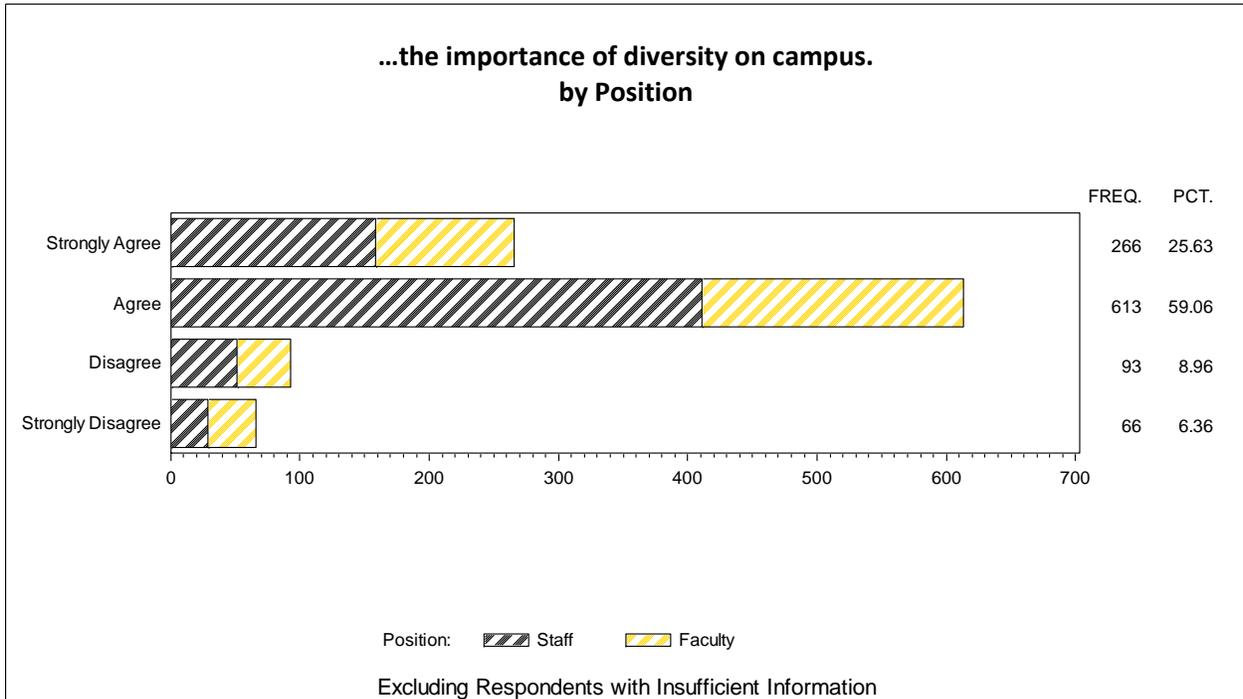
Appendix A: Communication and Listening

The office of the Provost is effective in communicating....



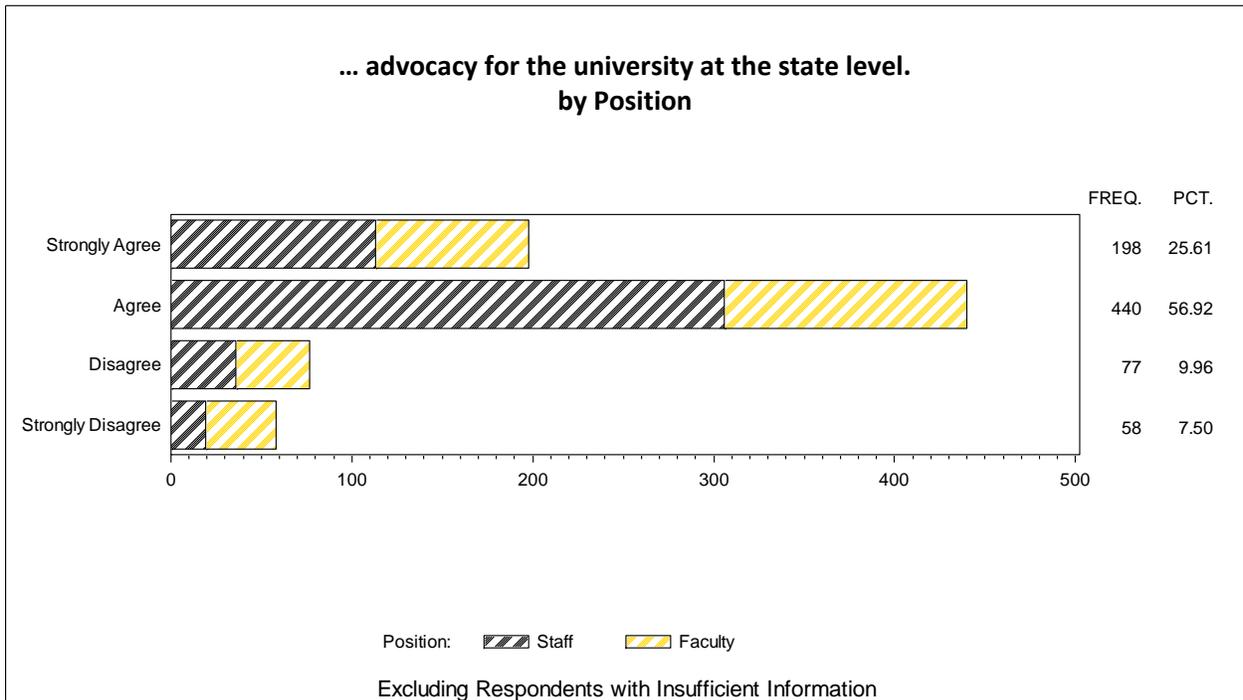
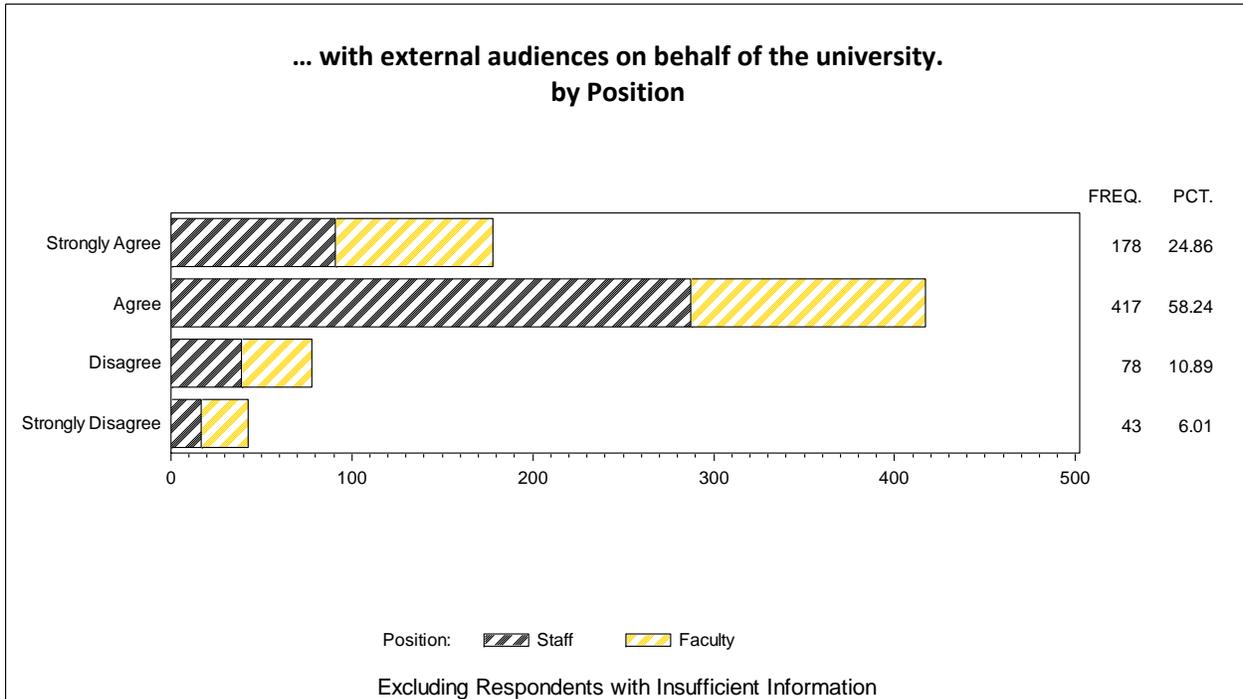
Appendix A: Communication and Listening

The office of the Provost is effective in communicating....



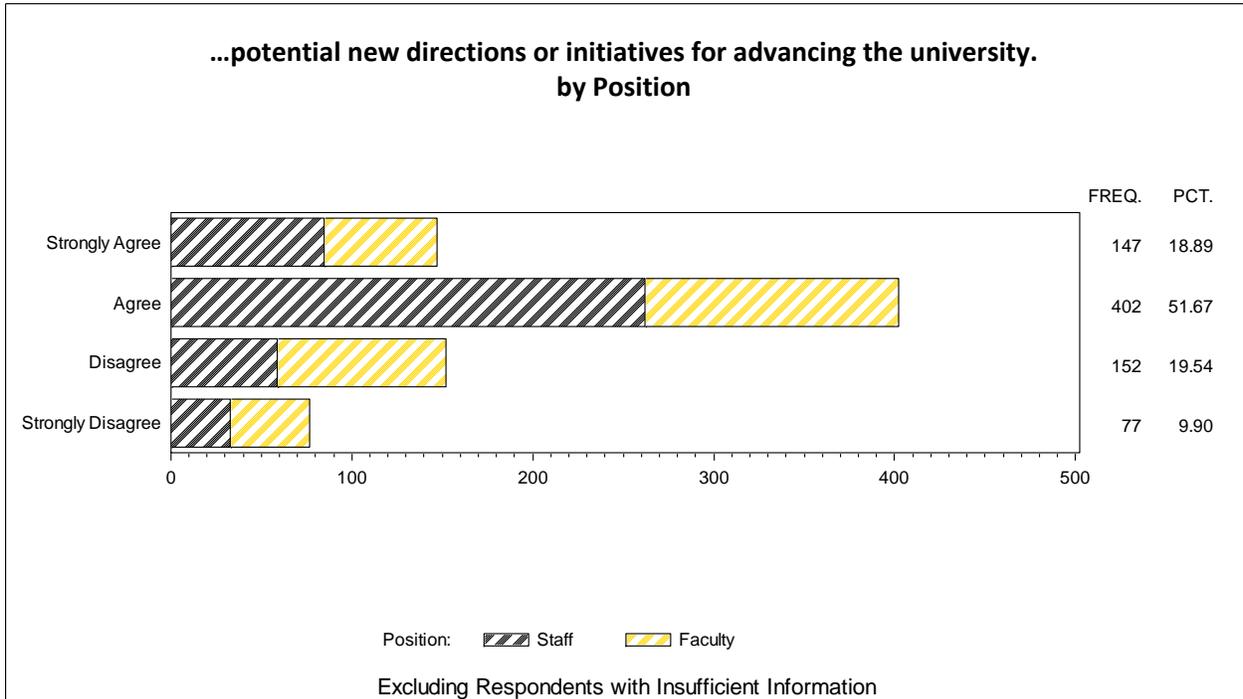
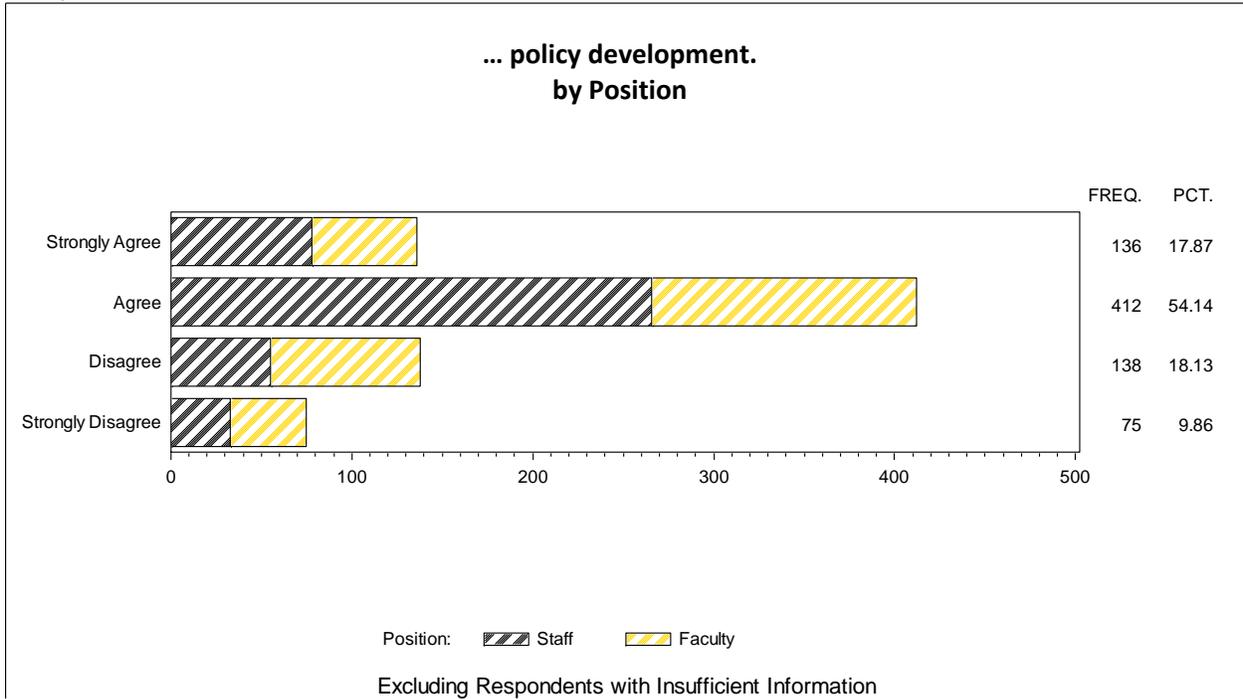
Appendix A: Communication and Listening

The office of the Provost is effective in communicating....



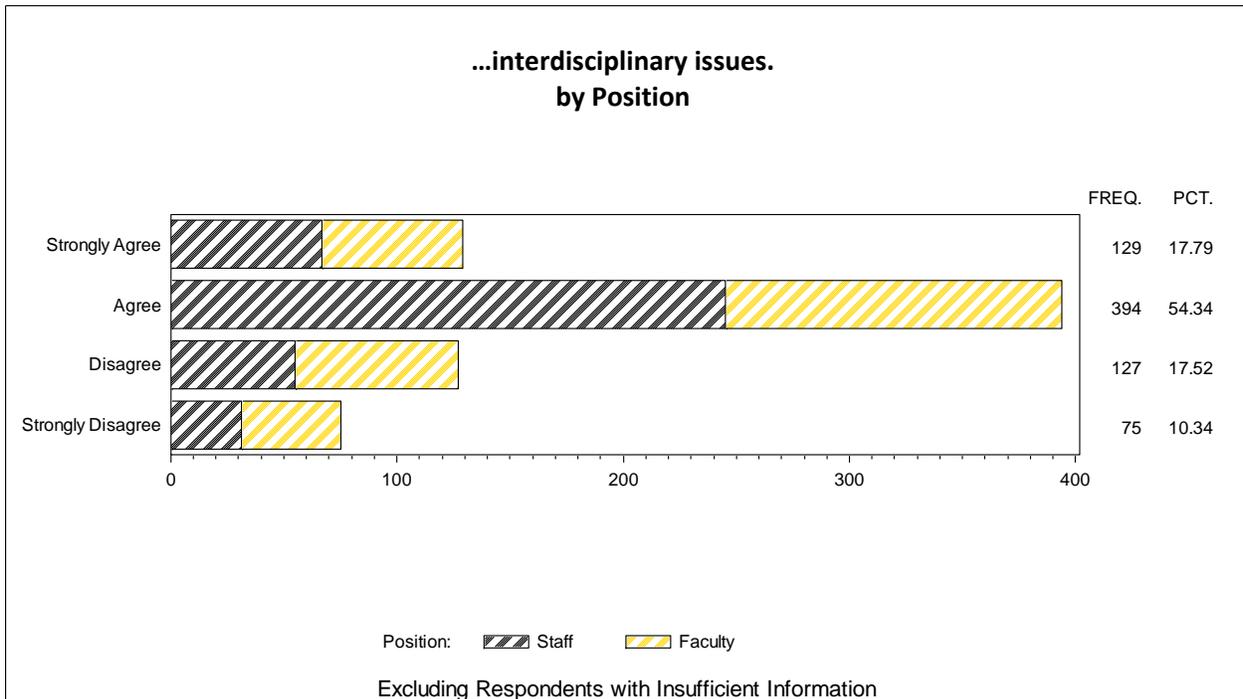
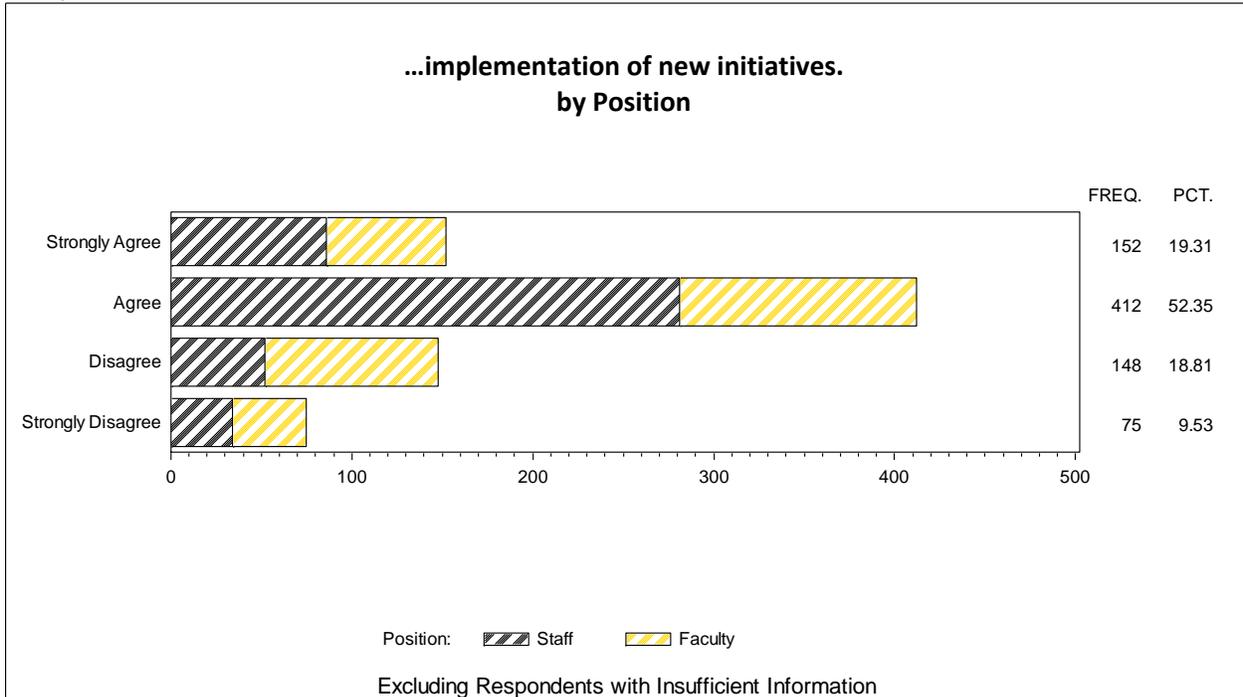
Appendix A: Communication and Listening

The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...



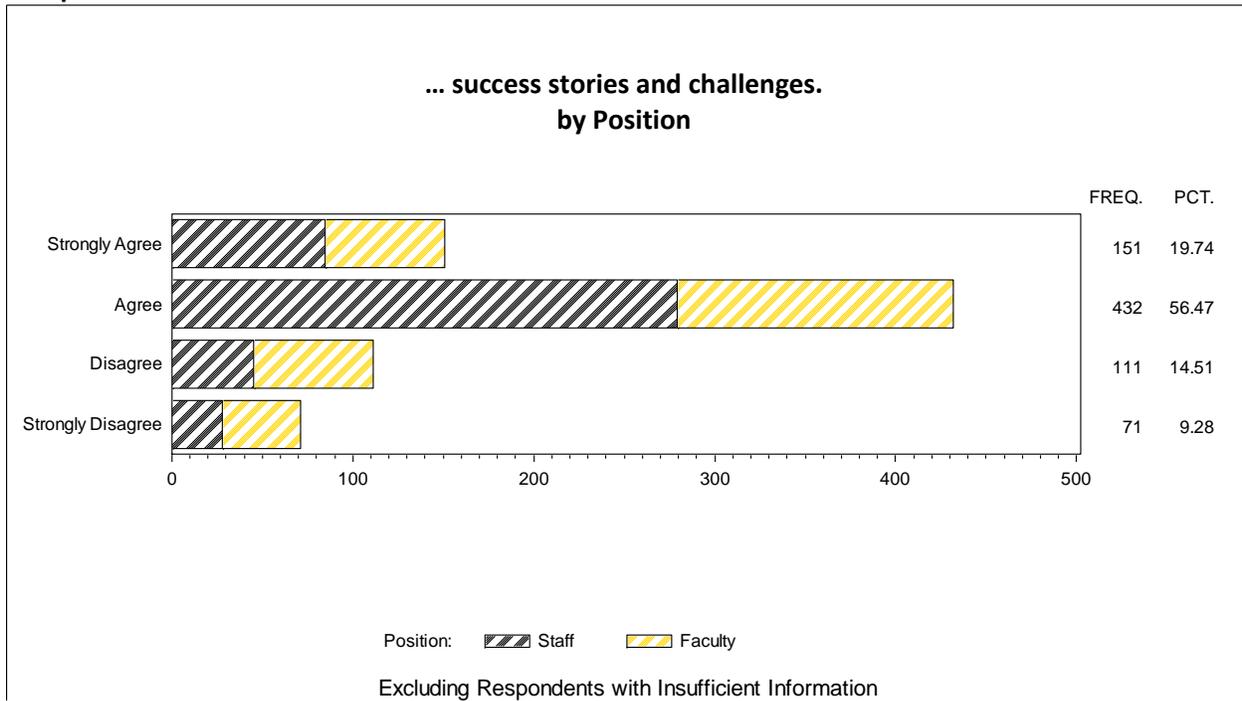
Appendix A: Communication and Listening

The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...



Appendix A: Communication and Listening

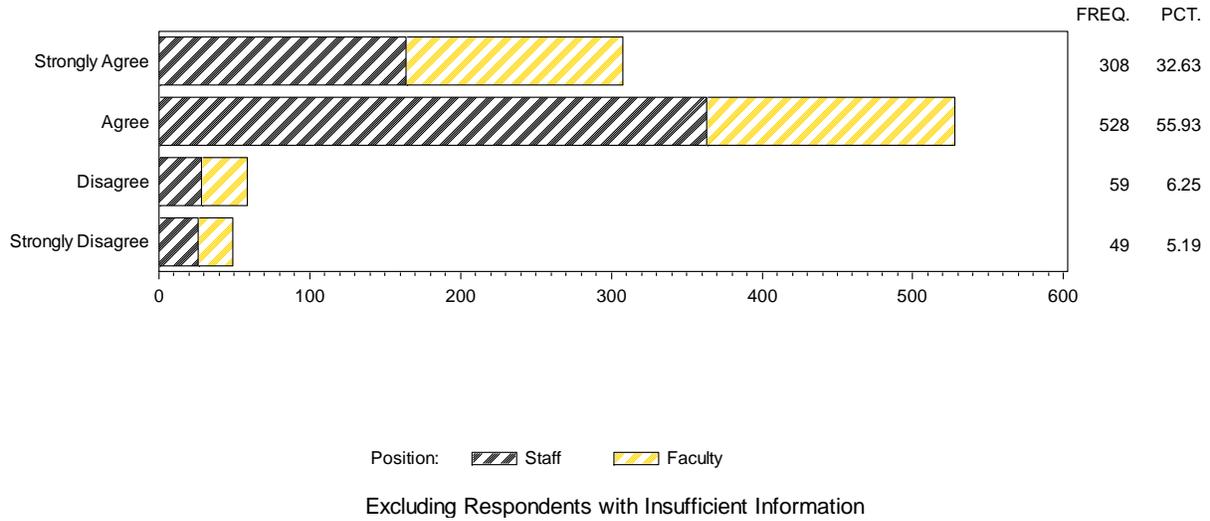
The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...



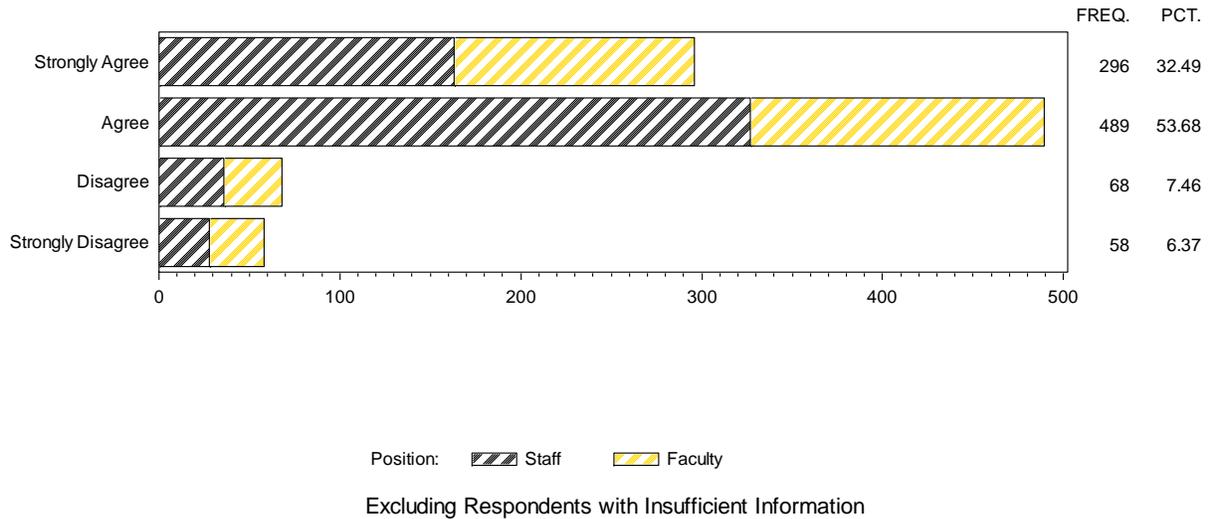
Appendix A: Respect of the Office

The Office of the Provost...

**... operates under the principles of honesty, integrity, and respect.
by Position**

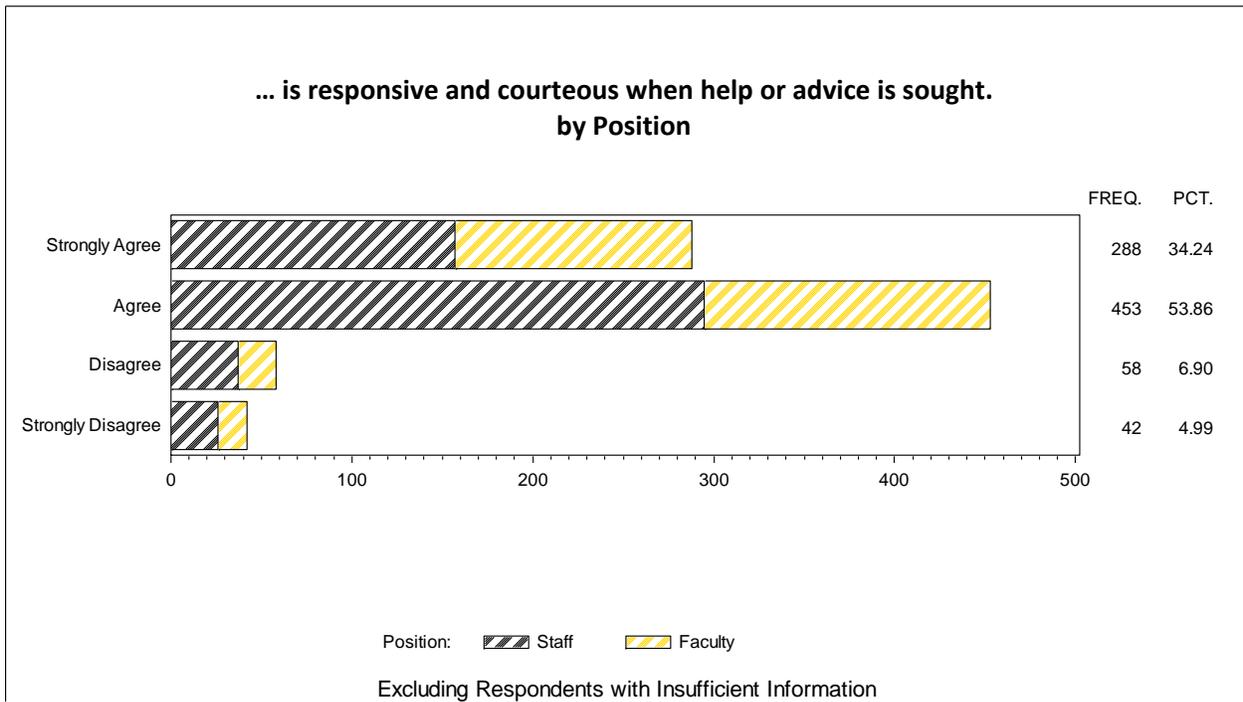
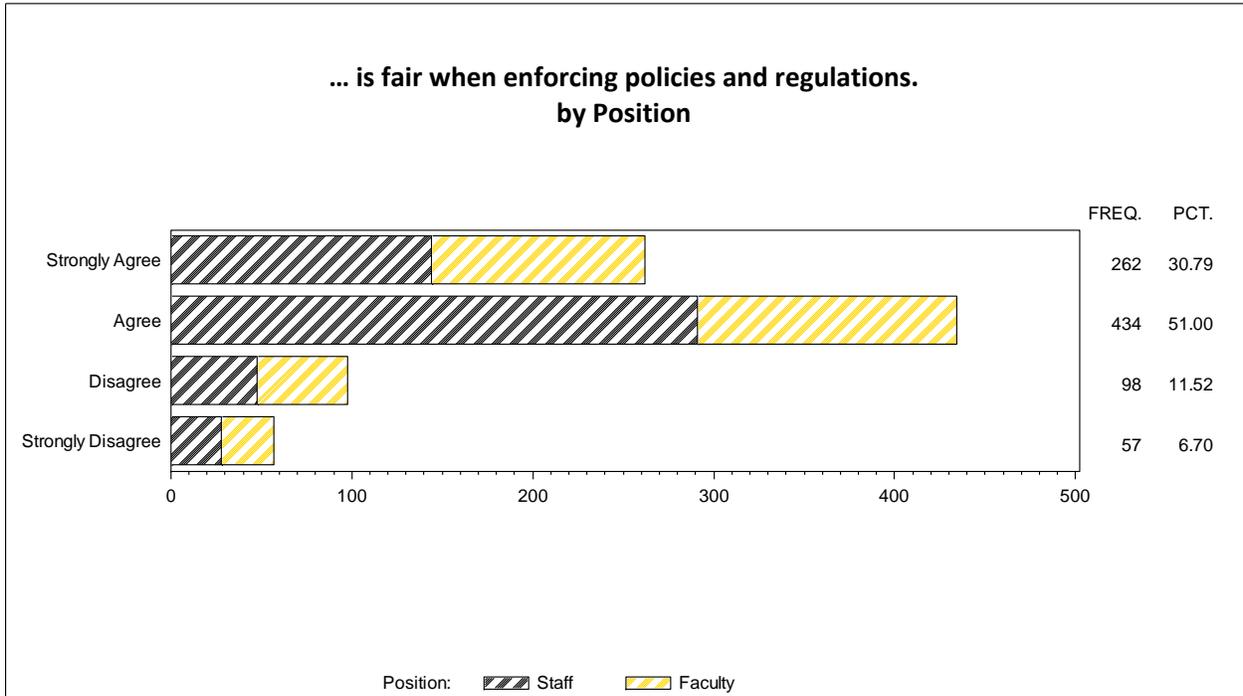


**... is trustworthy.
by Position**



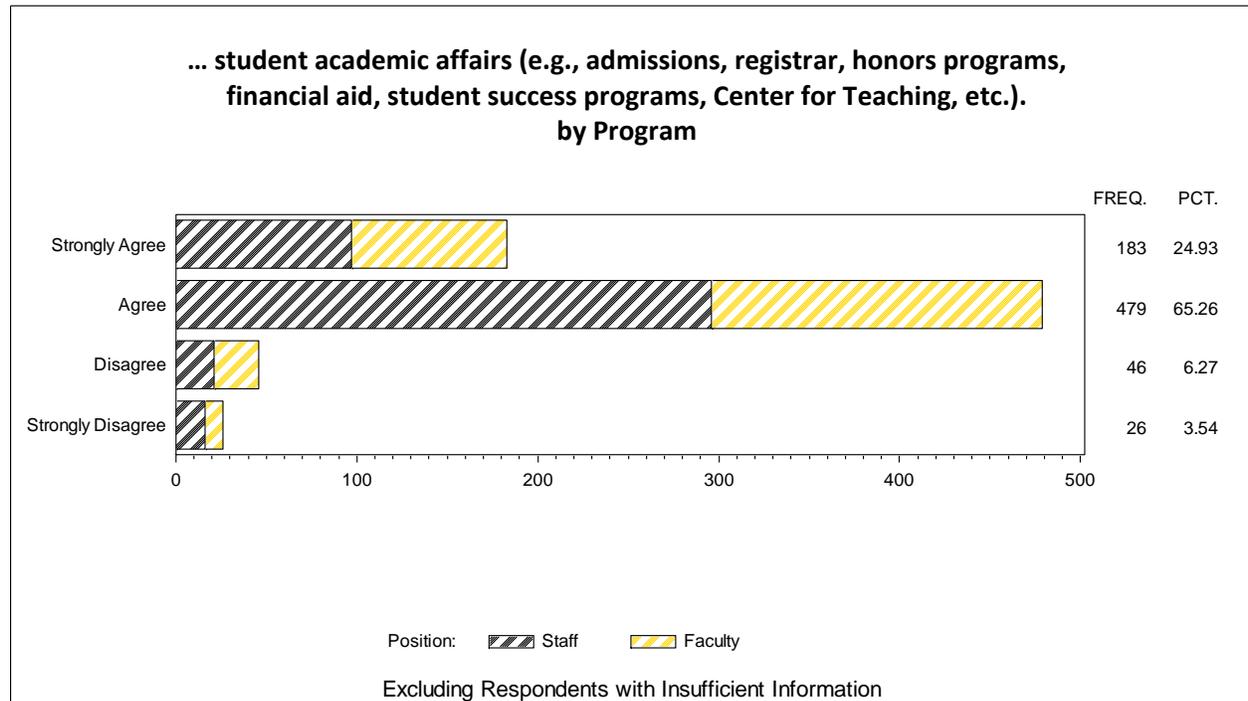
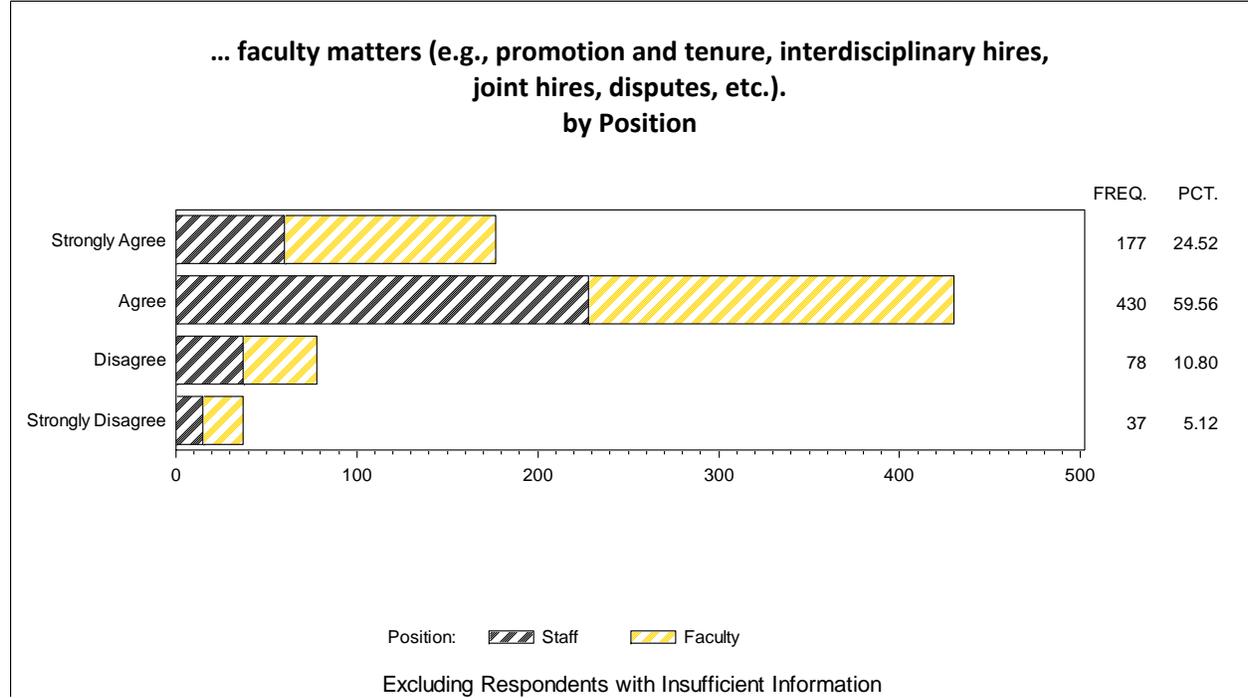
Appendix A: Respect of the Office

The Office of the Provost...



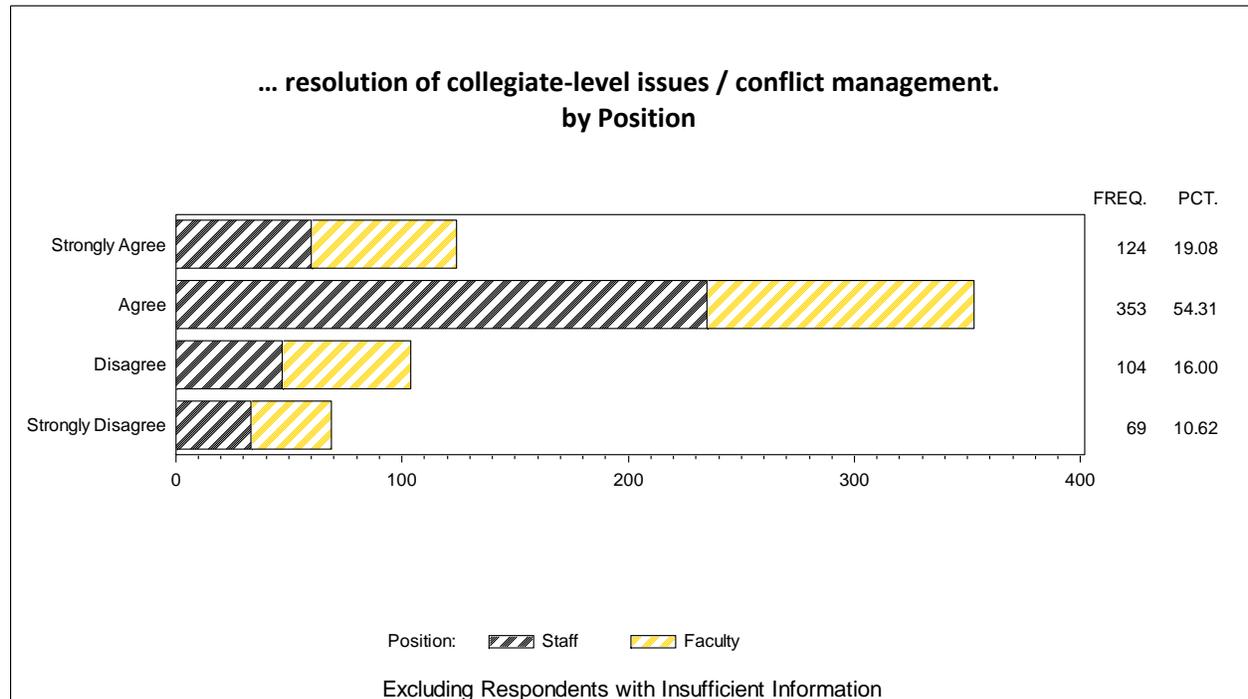
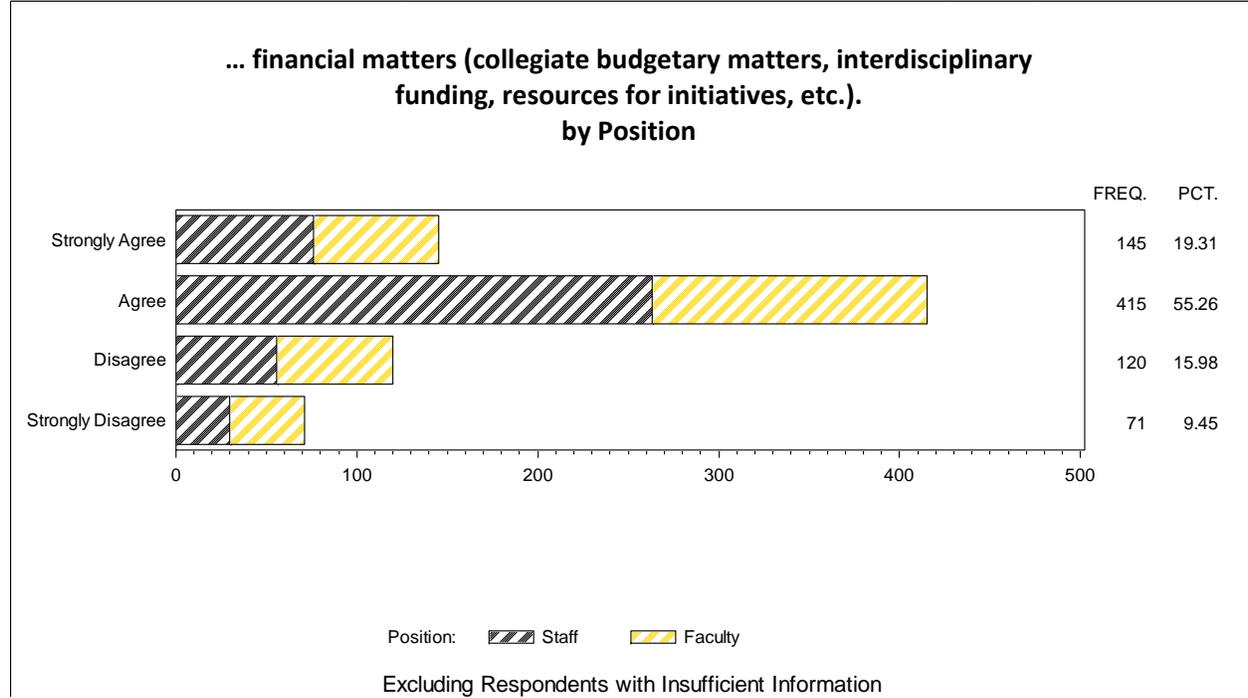
Appendix A: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



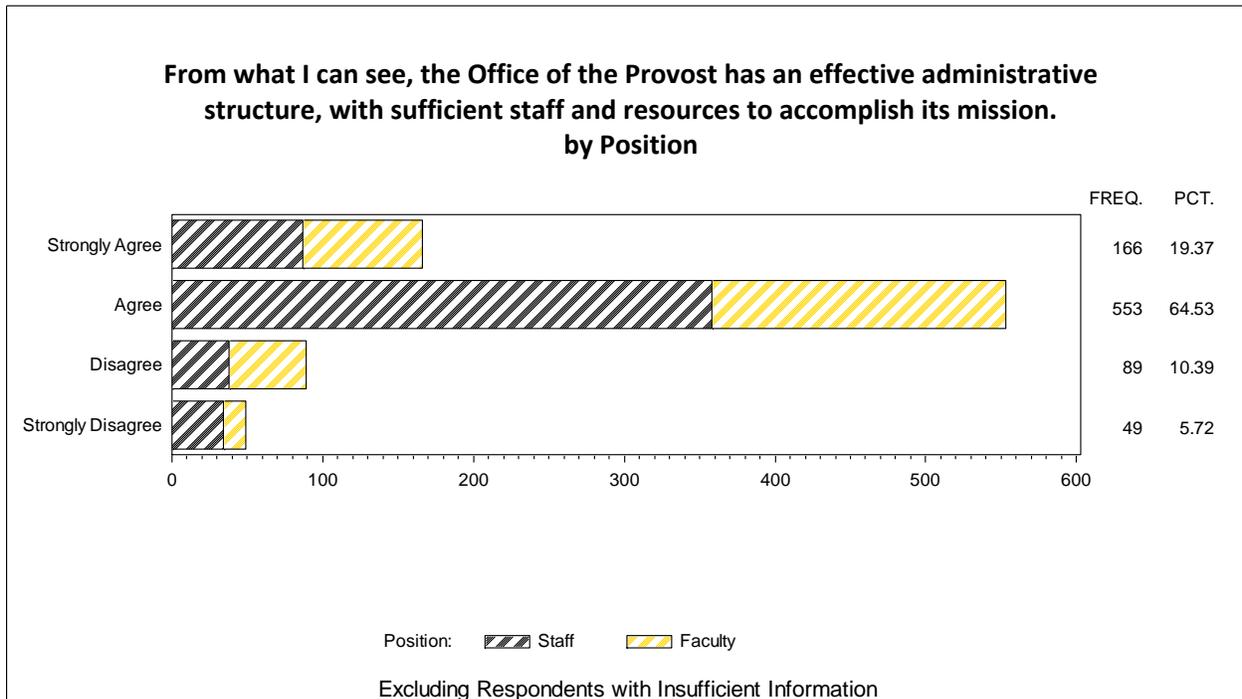
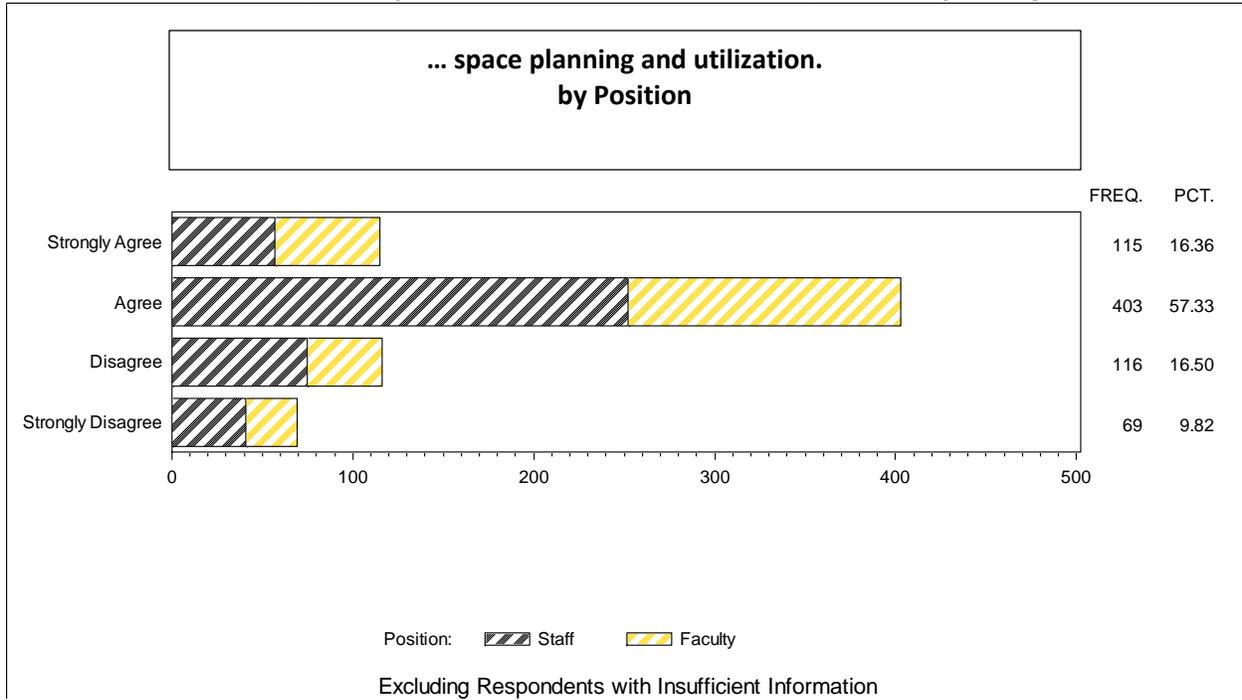
Appendix A: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



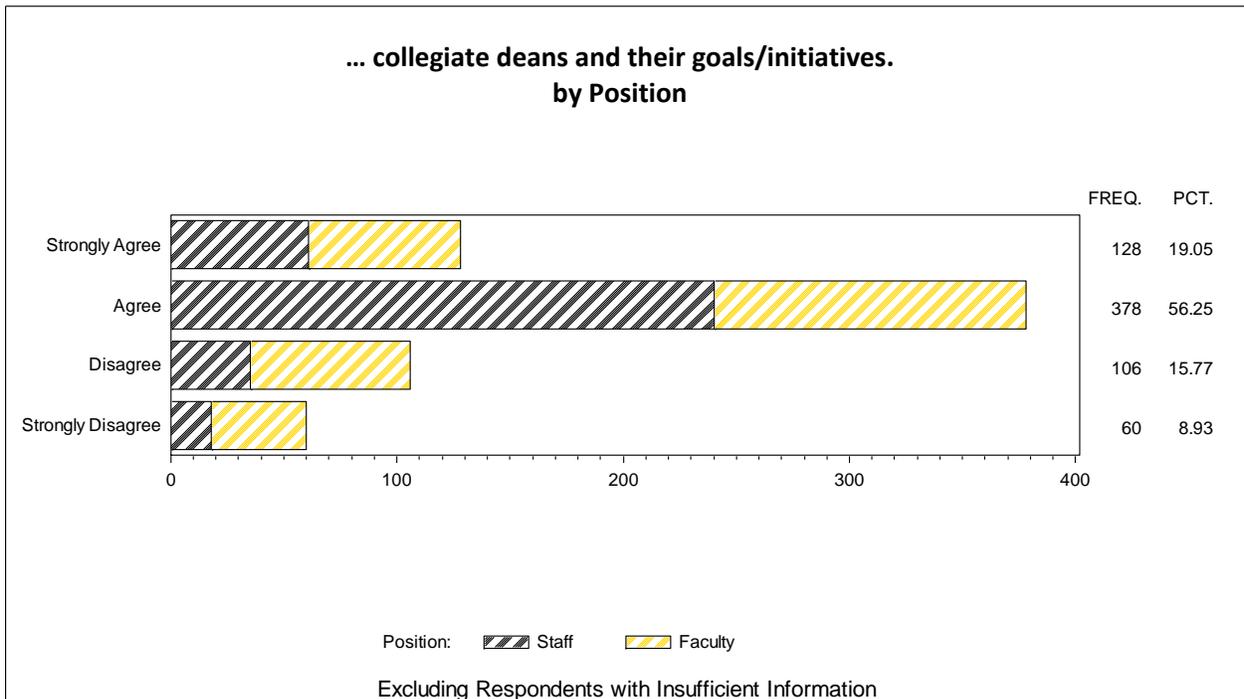
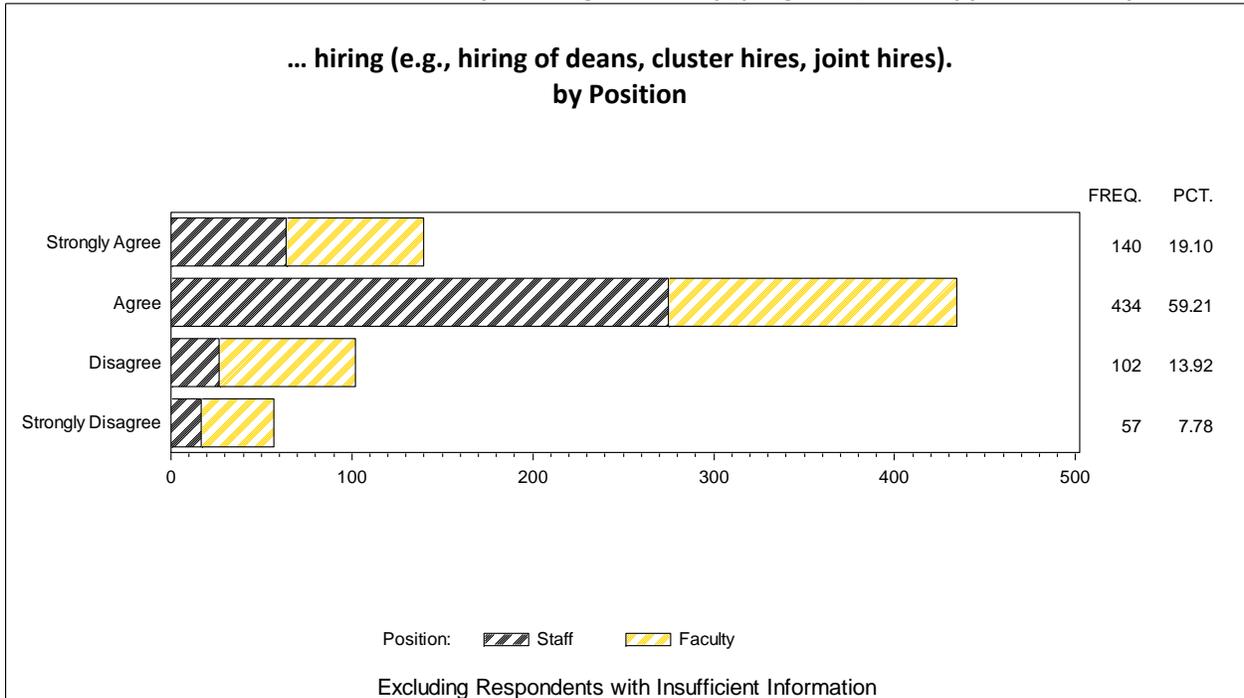
Appendix A: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



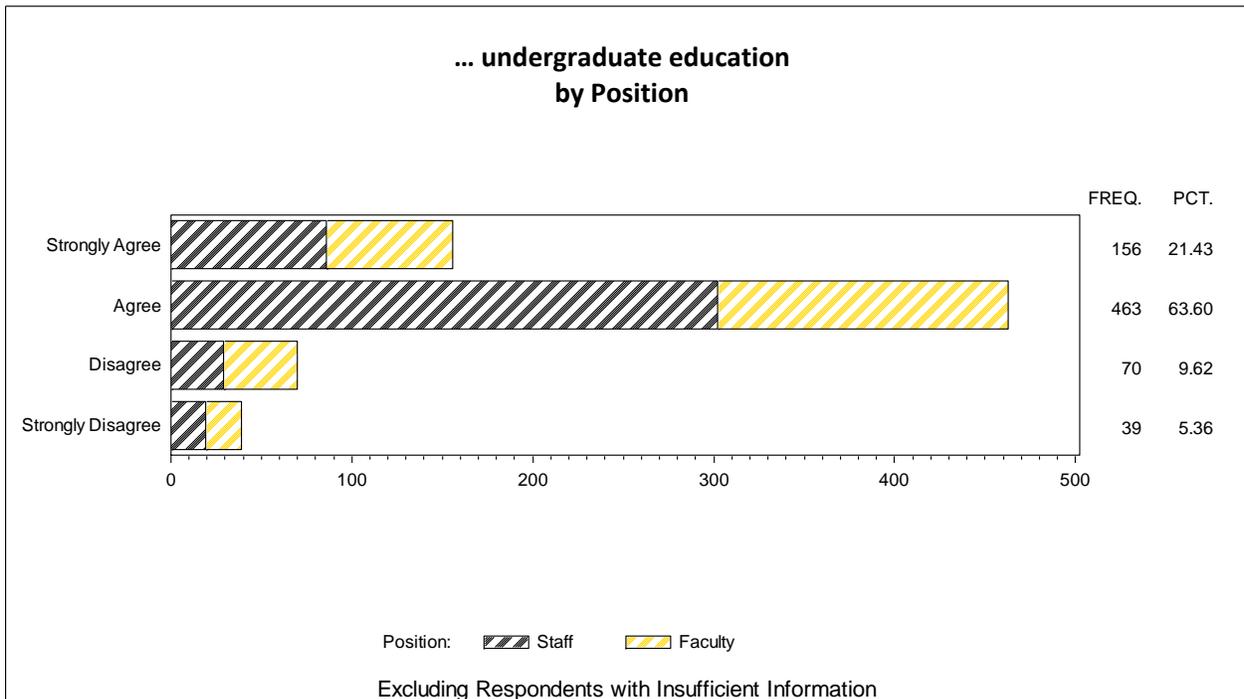
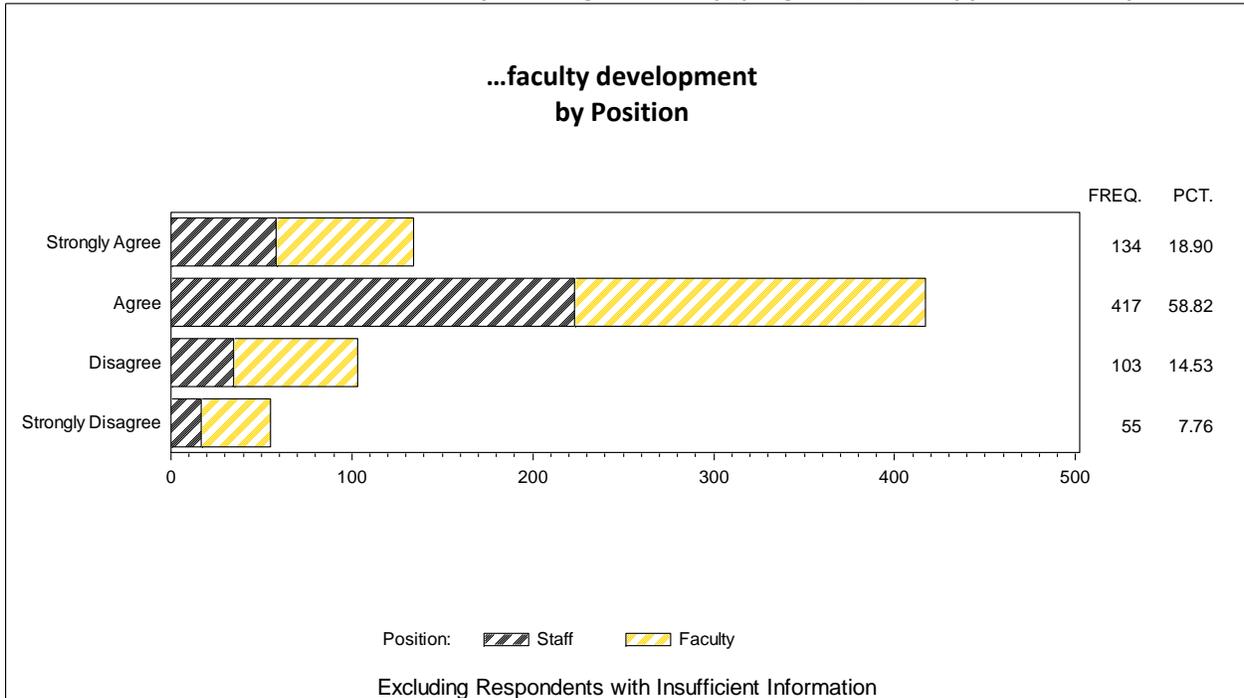
Appendix A: Leadership and Support

The Office of the Provost is effective in providing leadership, judgment, and support with respect to...



Appendix A: Leadership and Support

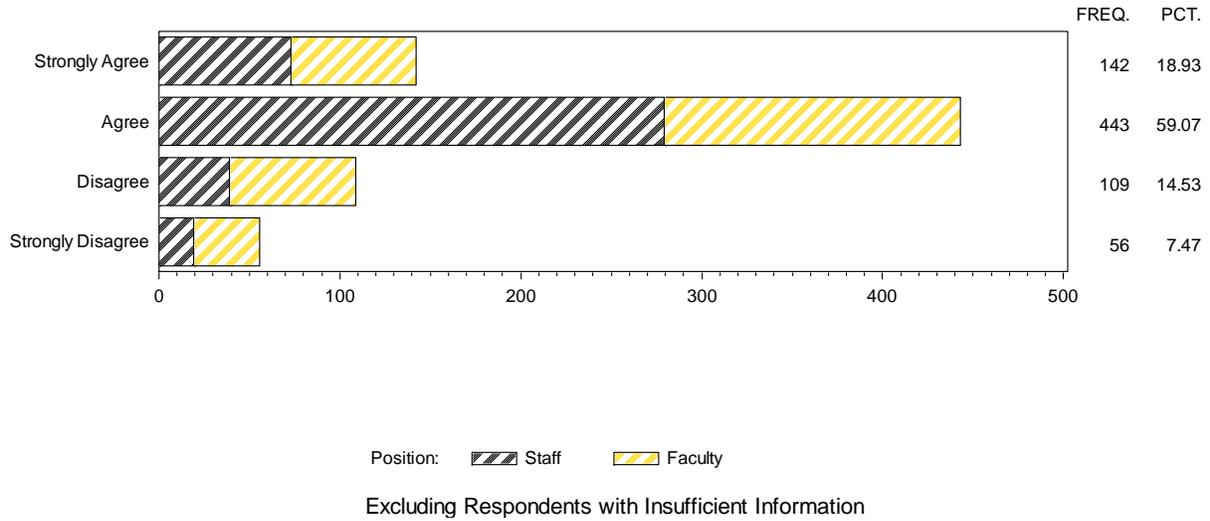
The Office of the Provost is effective in providing leadership, judgment, and support with respect to...



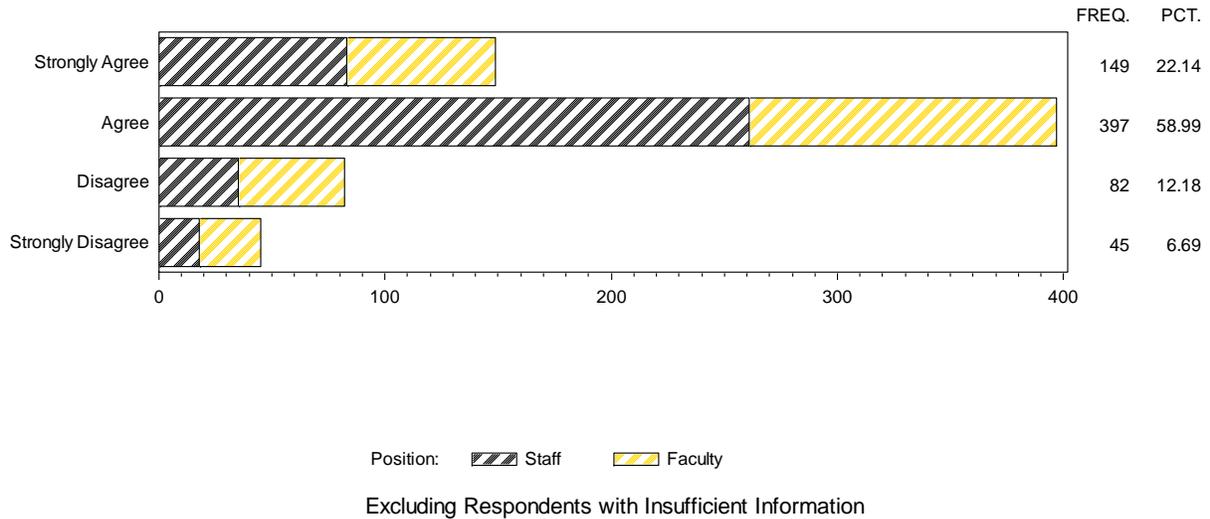
Appendix A: Leadership and Support

The Office of the Provost is effective in providing leadership, judgment, and support with respect to...

... graduate and professional education. by Position

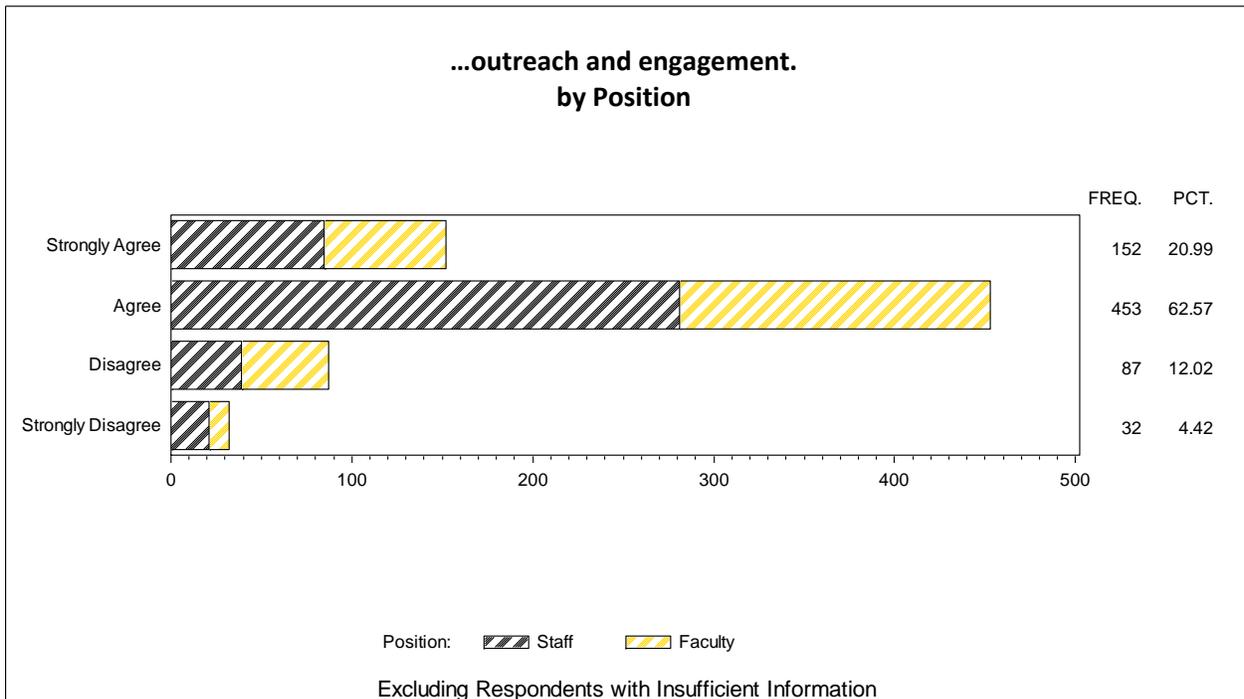
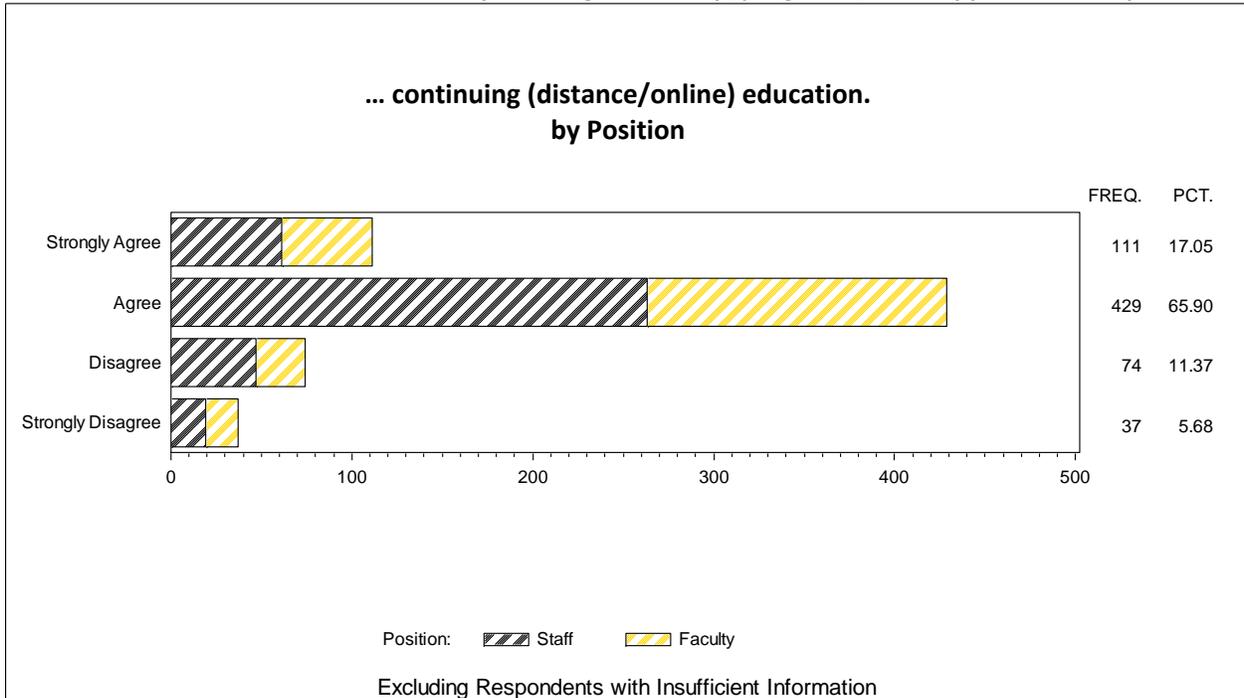


... international programs and study abroad. by Position



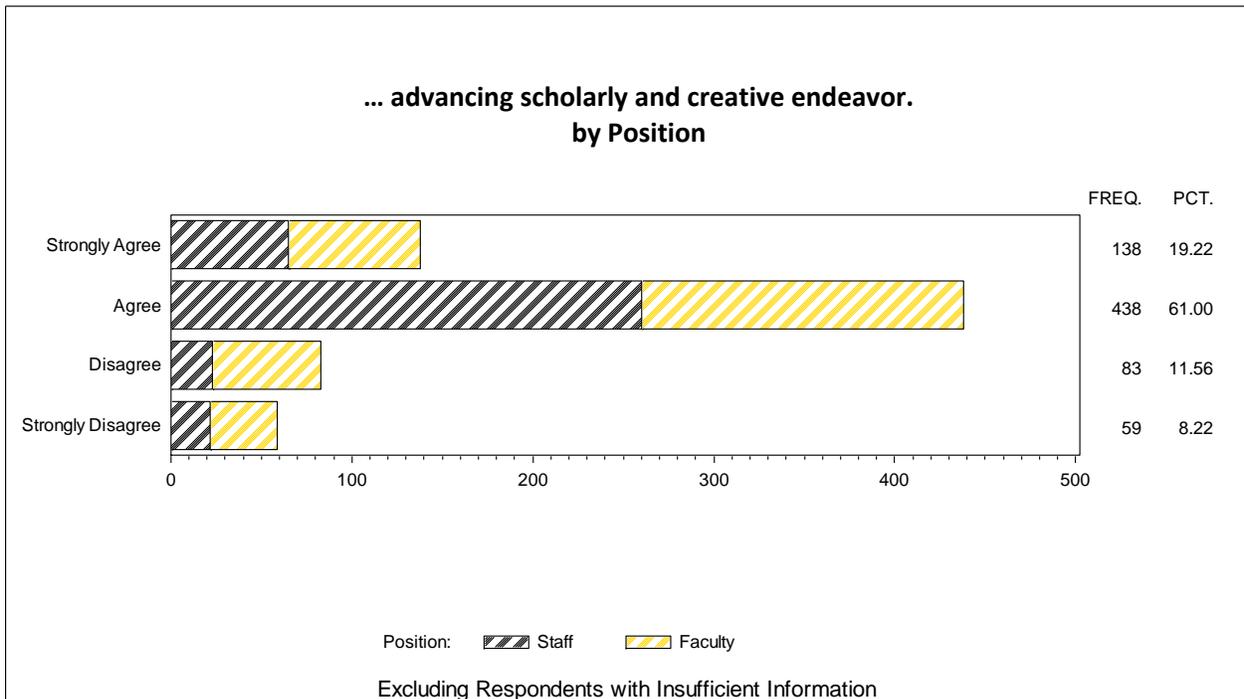
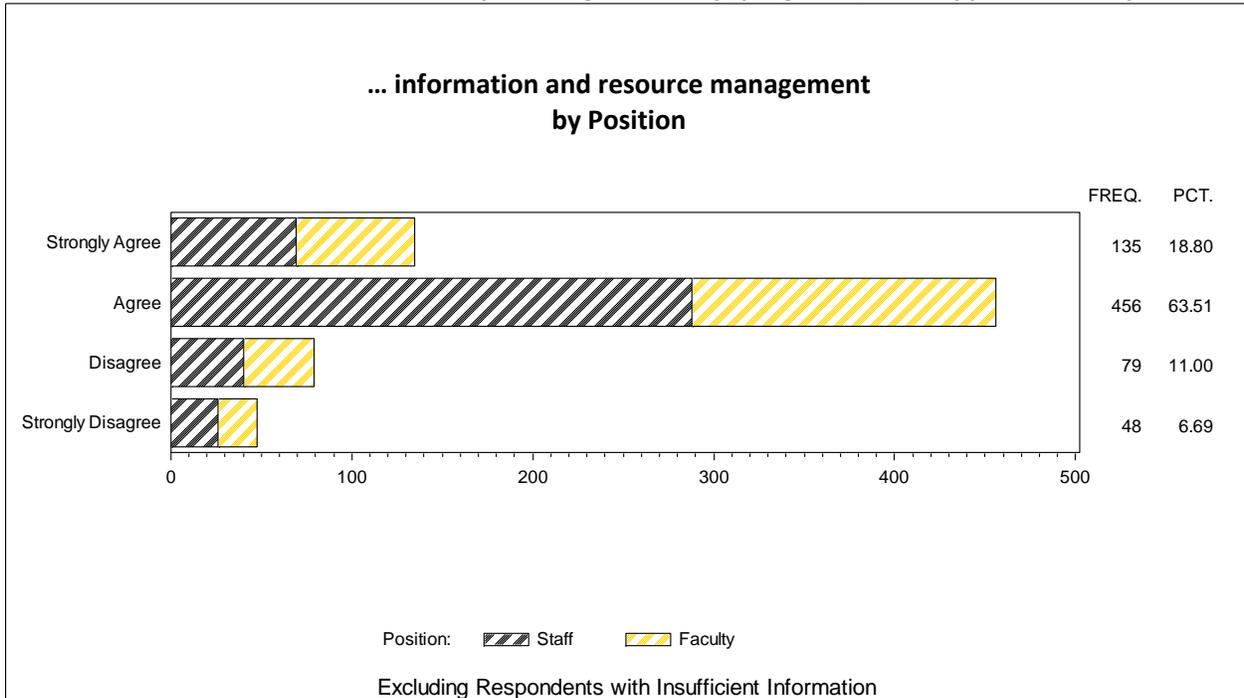
Appendix A: Leadership and Support

The Office of the Provost is effective in providing leadership, judgment, and support with respect to...



Appendix A: Leadership and Support

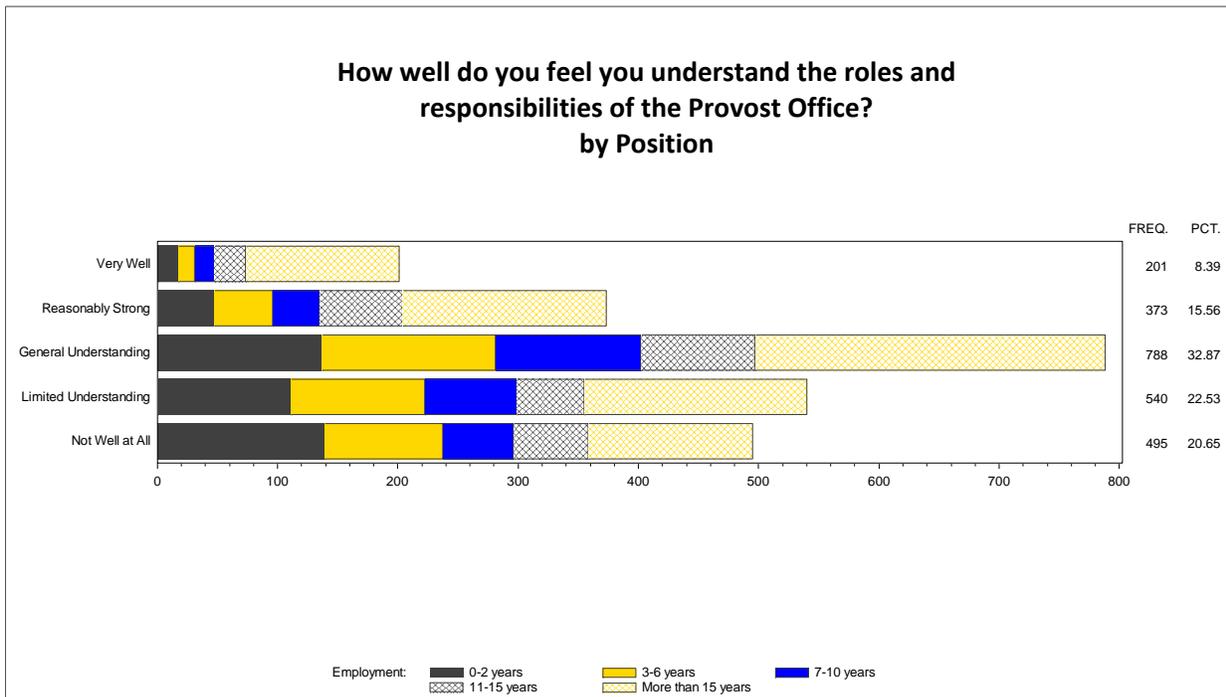
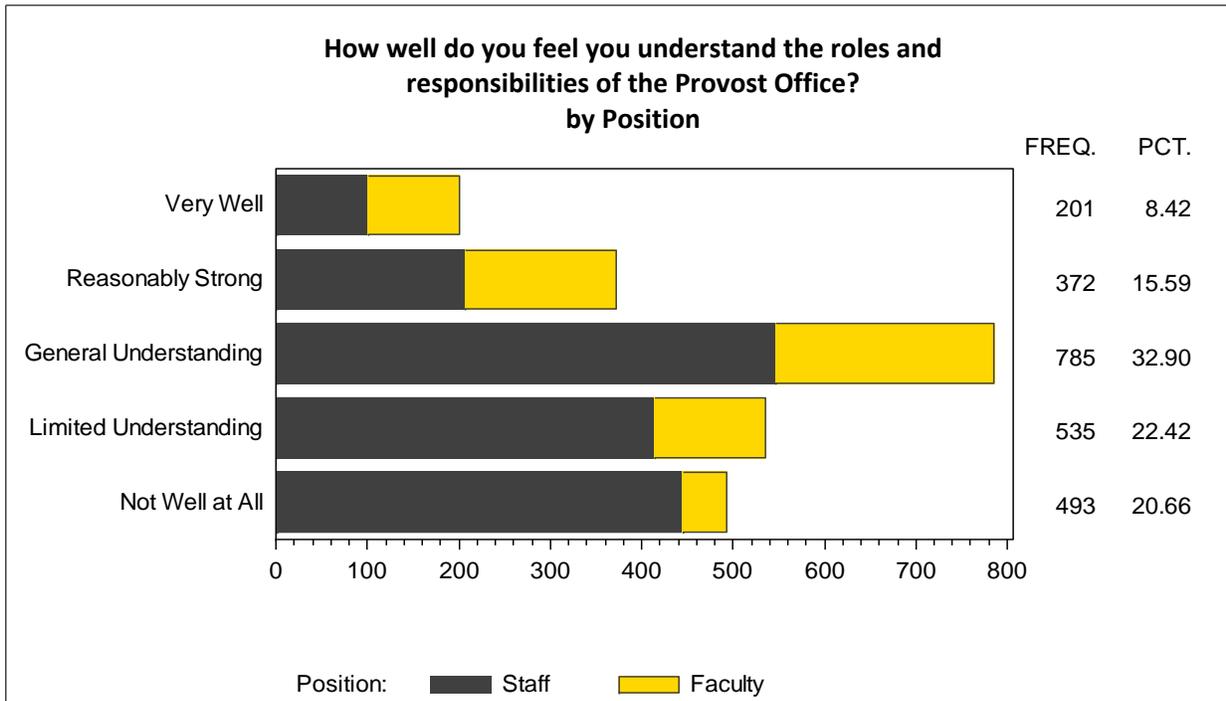
The Office of the Provost is effective in providing leadership, judgment, and support with respect to...



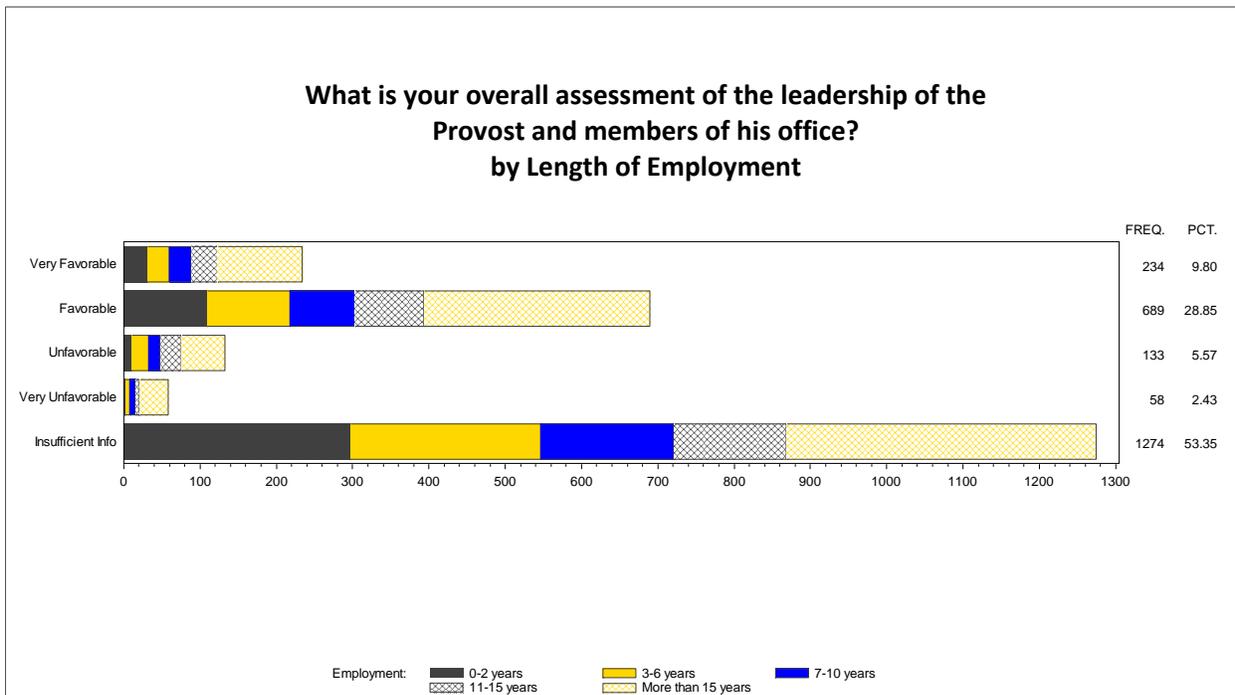
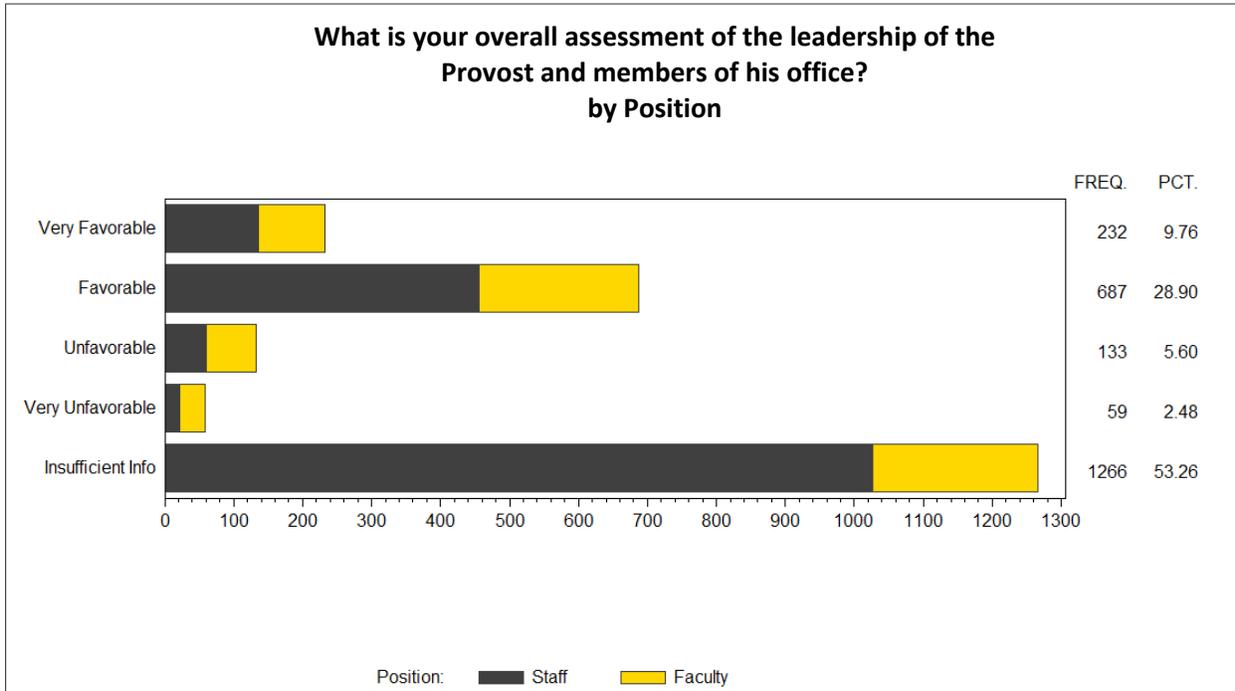
Appendix B

Summaries of All Respondents

Appendix B: Roles and Responsibilities

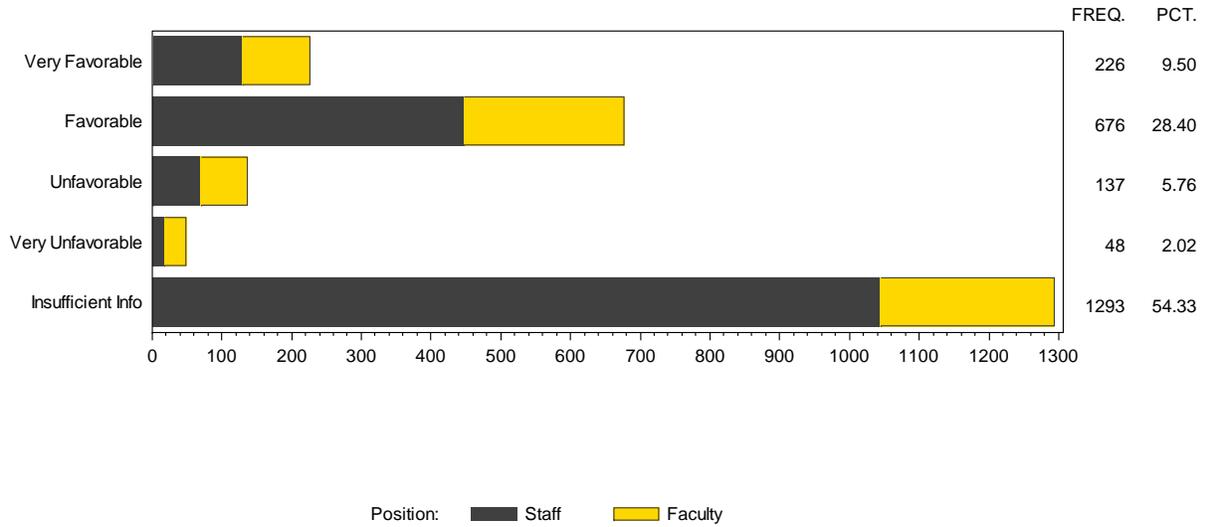


Appendix B: Roles and Responsibilities

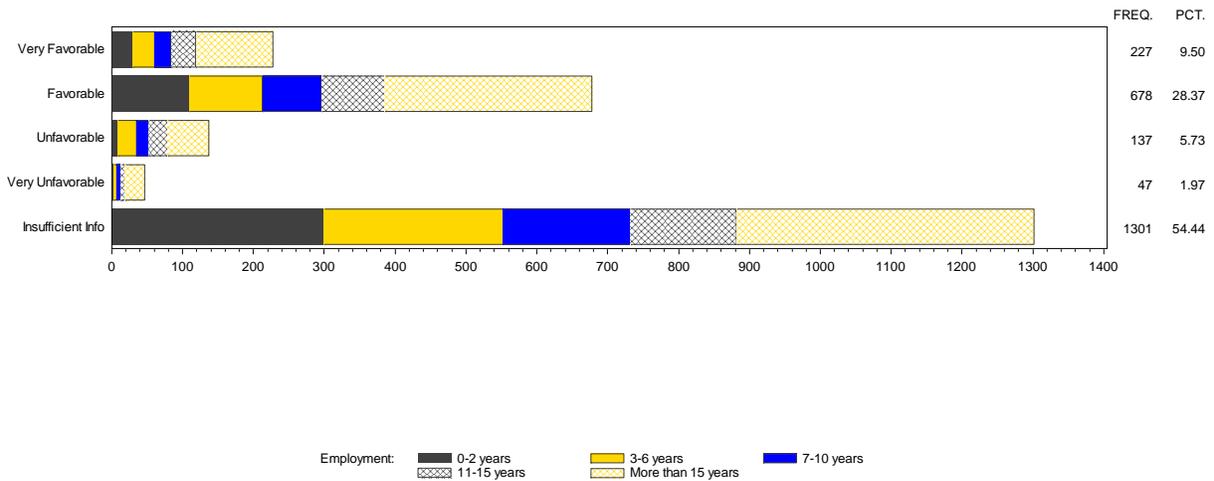


Appendix B: Roles and Responsibilities

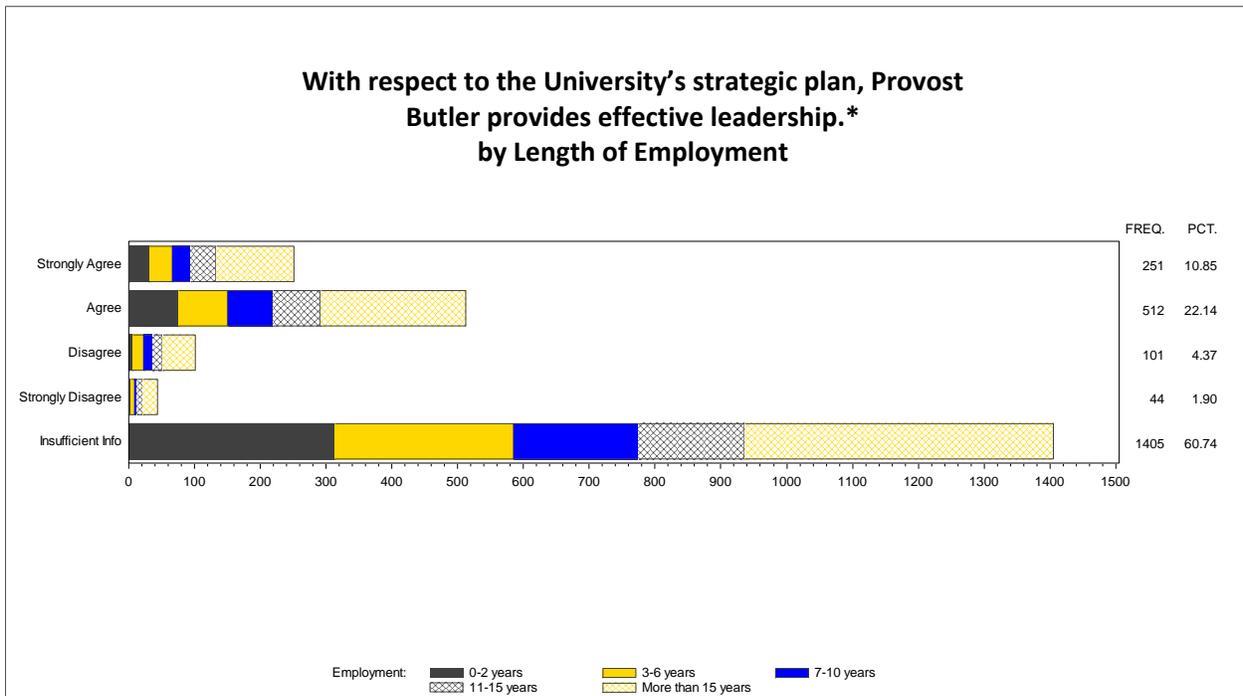
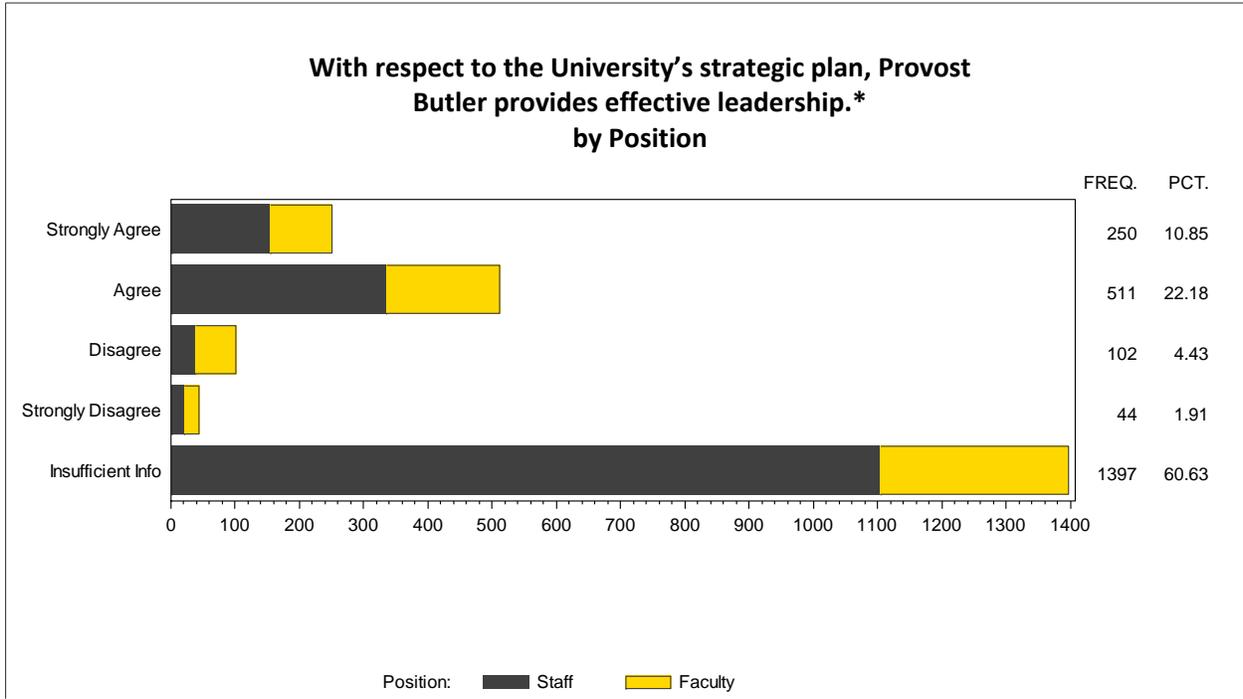
**What is your overall assessment of the effectiveness of the Provost and members of his office?
by Position**



**What is your overall assessment of the effectiveness of the Provost and members of his office?
by Length of Employment**

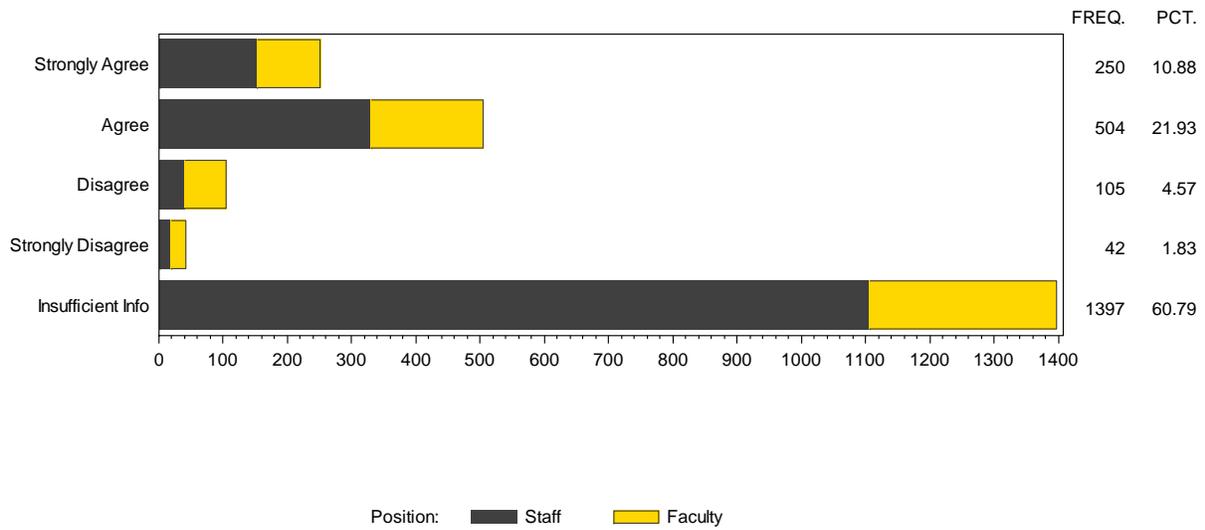


Appendix B: Strategic Plan and Vision

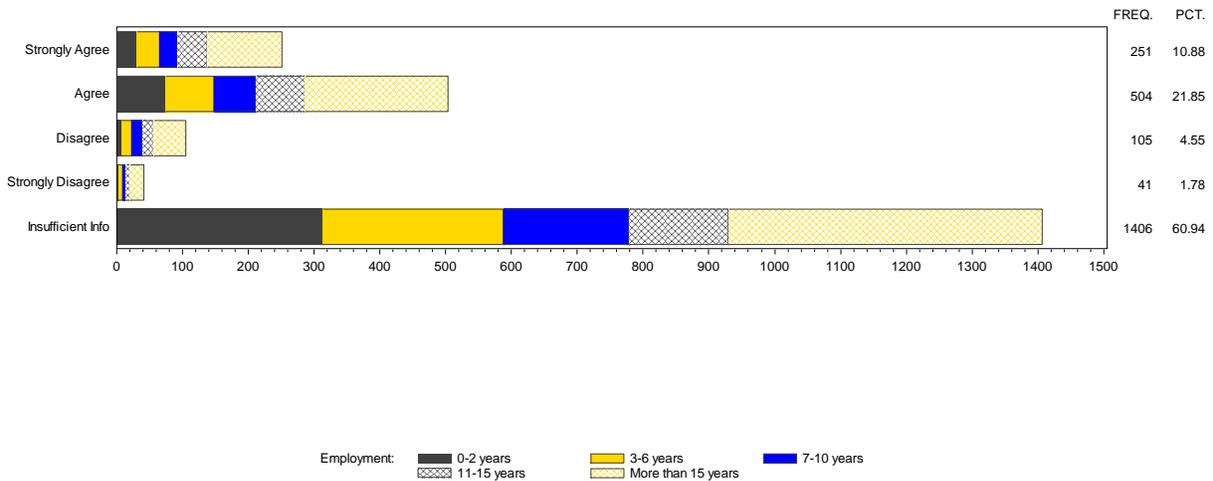


Appendix B: Strategic Plan and Vision

**Provost Butler articulates the University's strategic plan well.*
by Position**

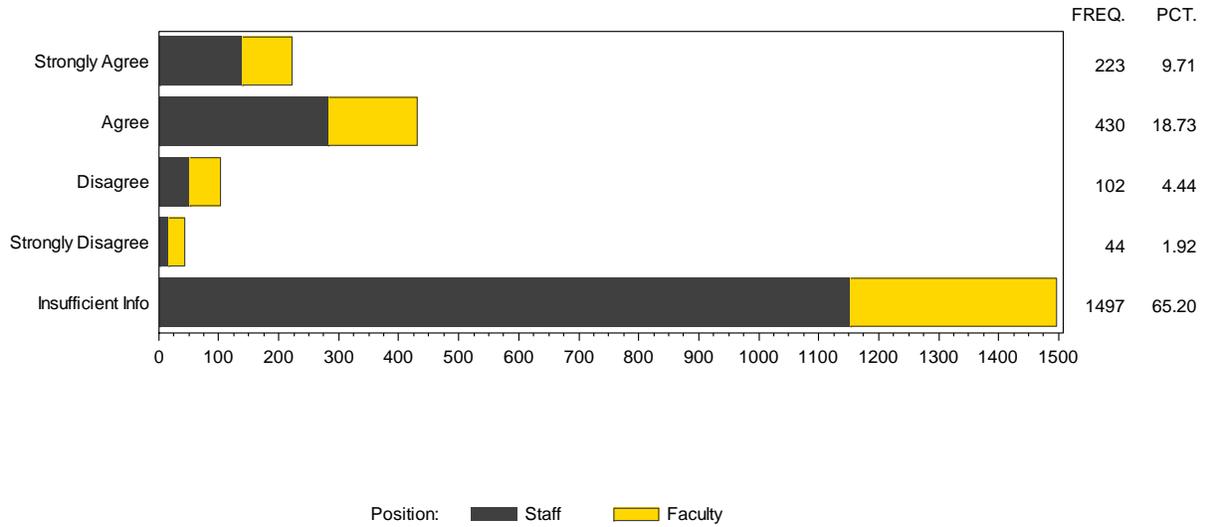


**Provost Butler articulates the University's strategic plan well.
by Length of Employment**

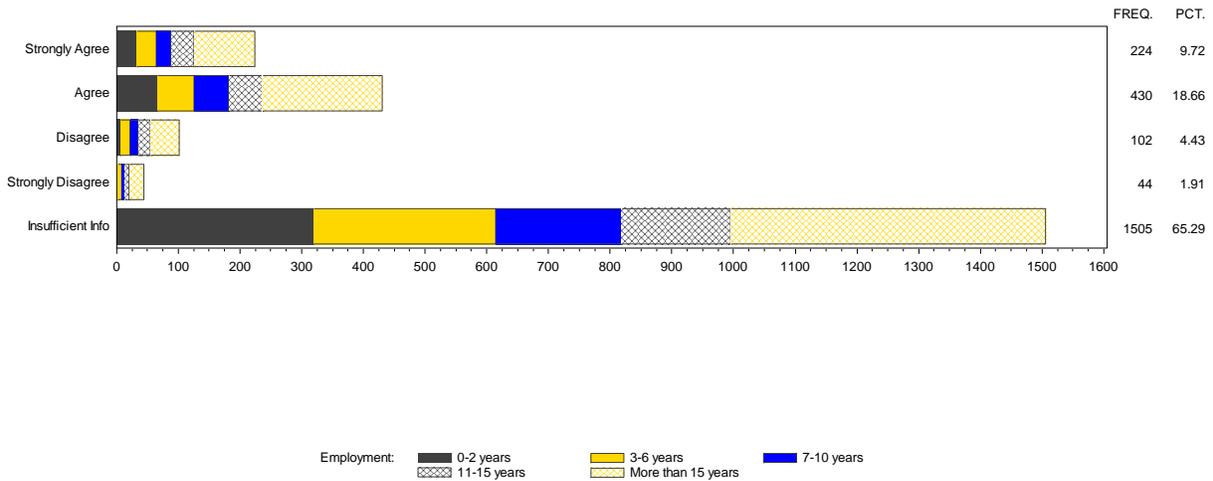


Appendix B: Strategic Plan and Vision

**Provost Butler is effective in assessing progress on the University's strategic plan.*
by Position**

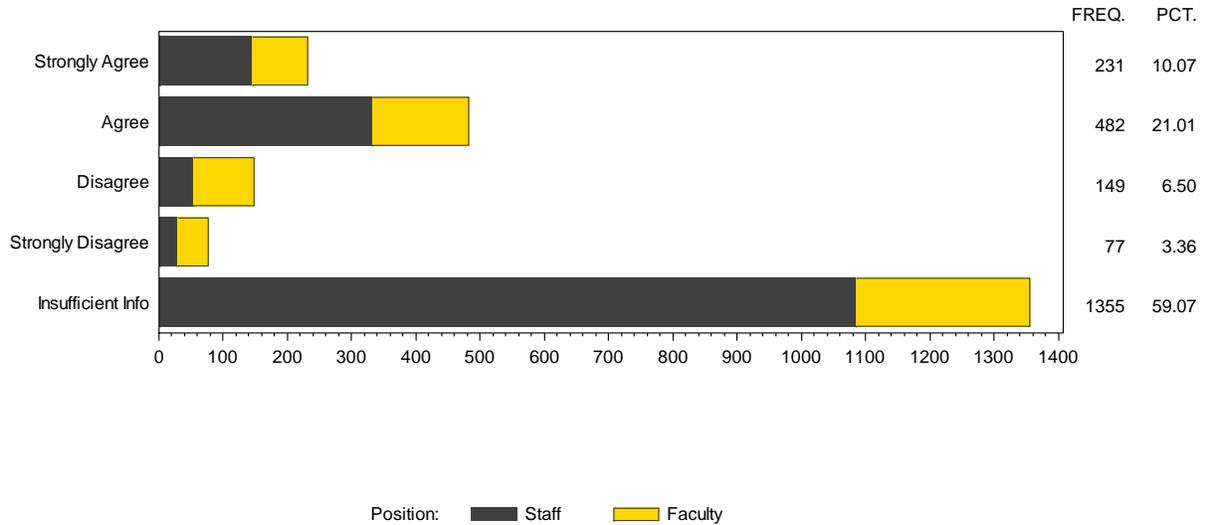


**Provost Butler is effective in assessing progress on the University's strategic plan.*
by Length of Employment**

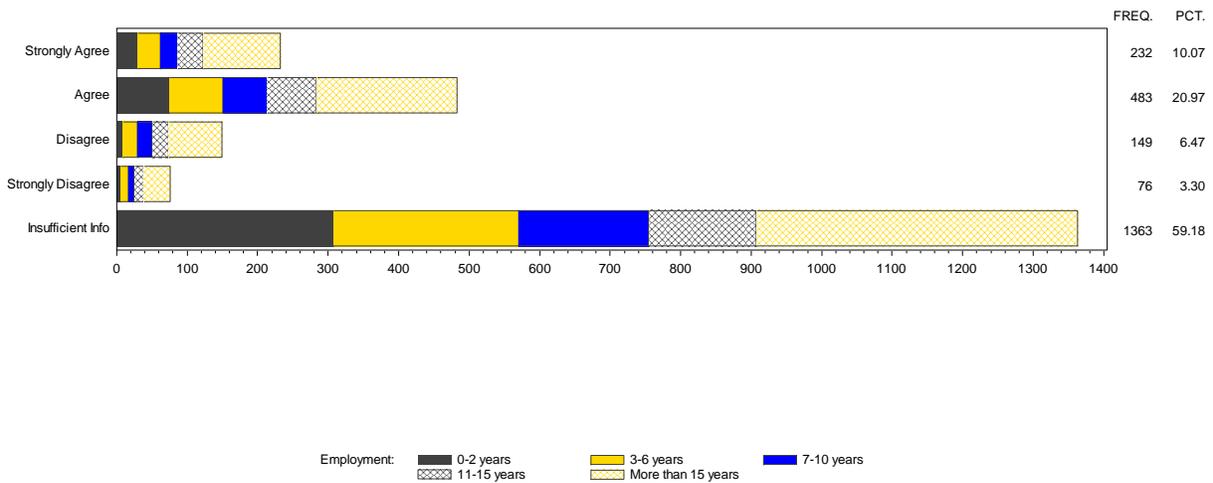


Appendix B: Strategic Plan and Vision

**Provost Butler is effective in communicating a vision
for the future of the university.*
by Position**

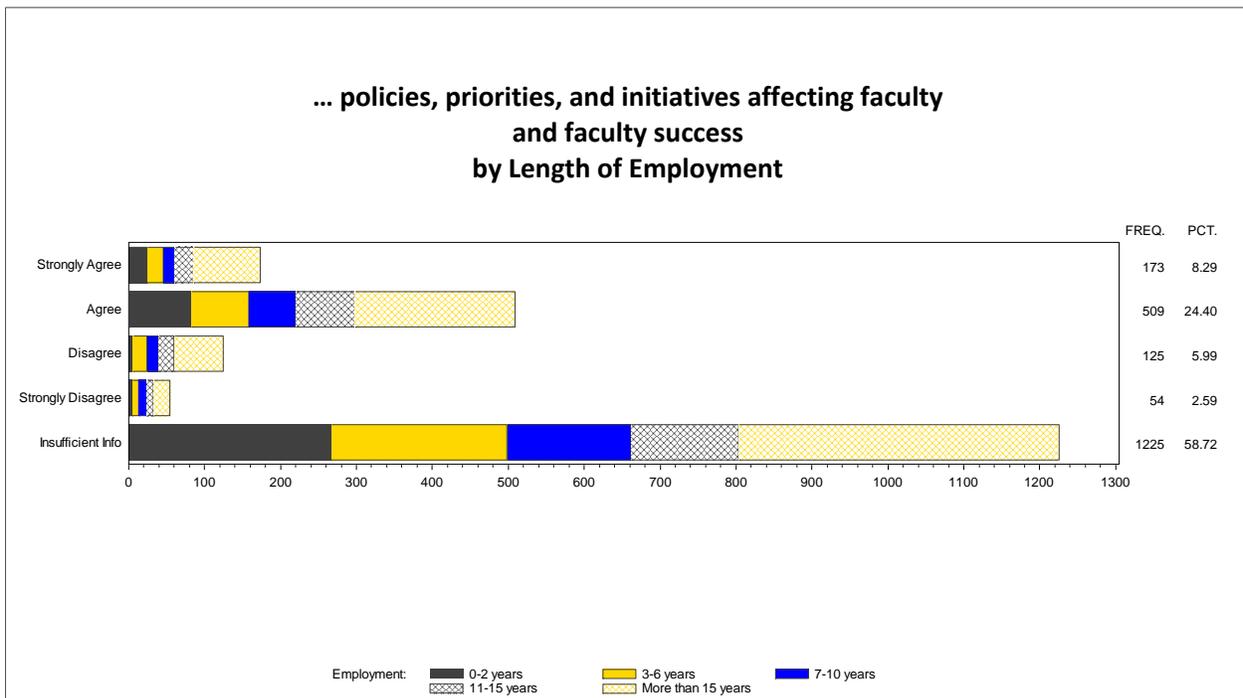
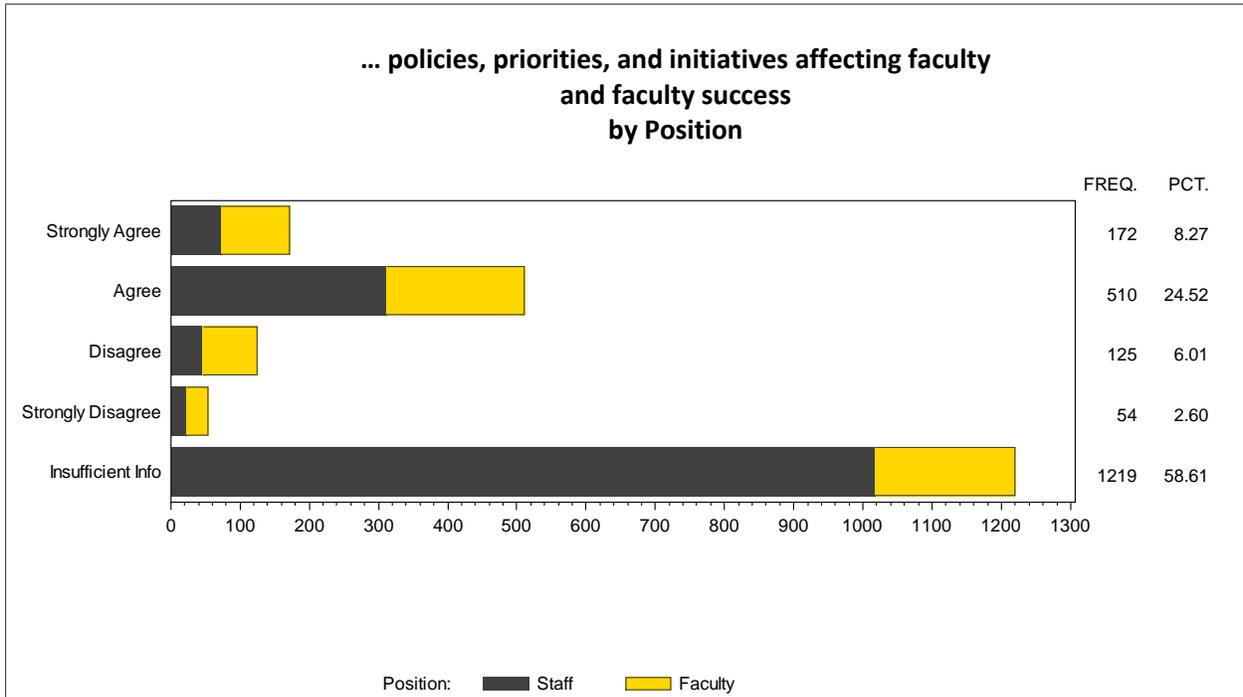


**Provost Butler is effective in communicating a vision
for the future of the university.*
by Length of Employment**



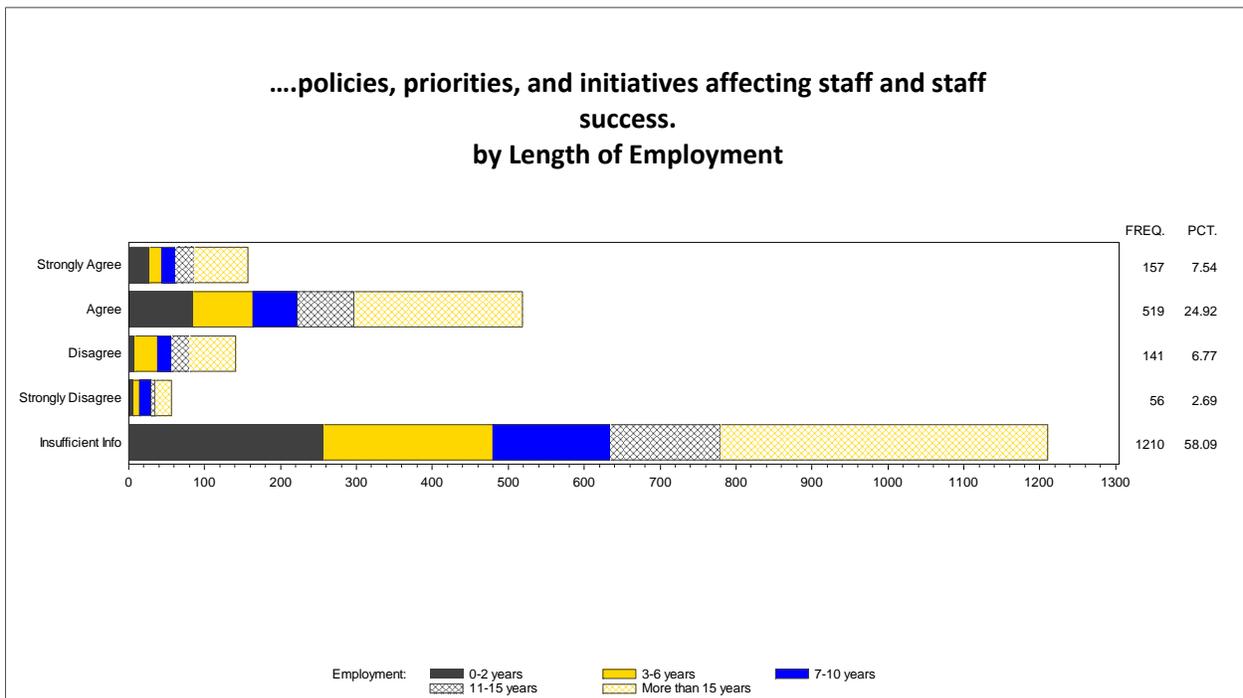
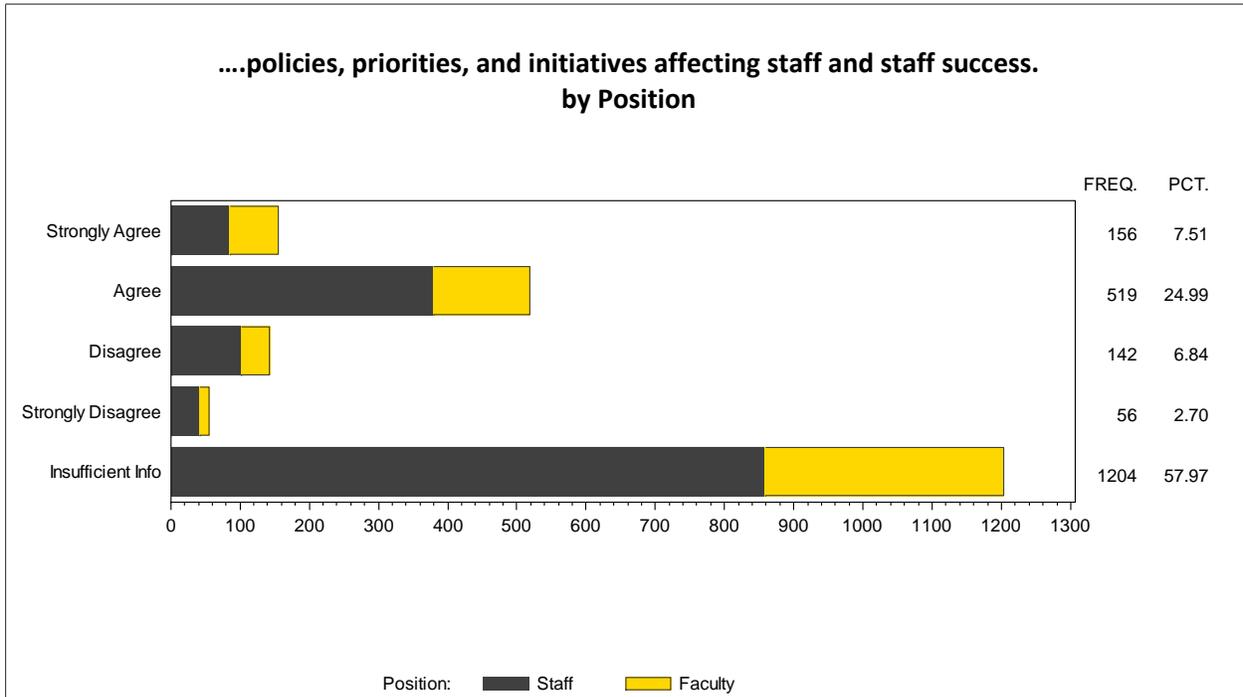
Appendix B: Communication and Listening

The office of the Provost is effecting in communicating....



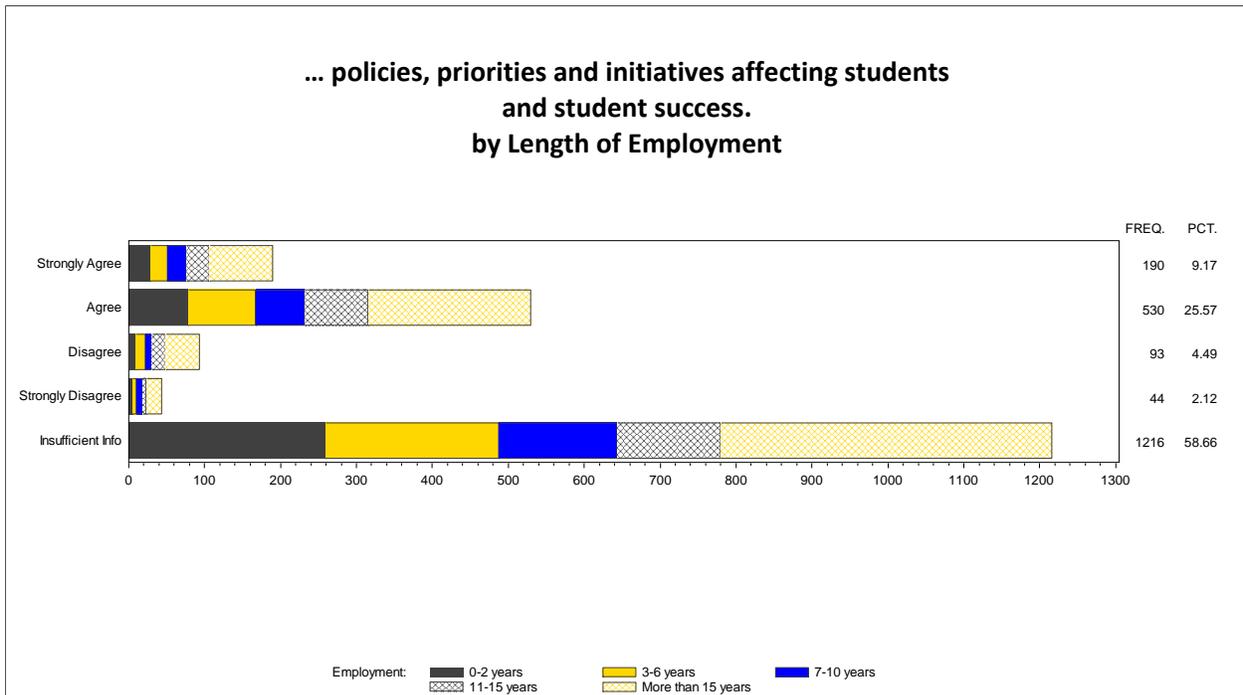
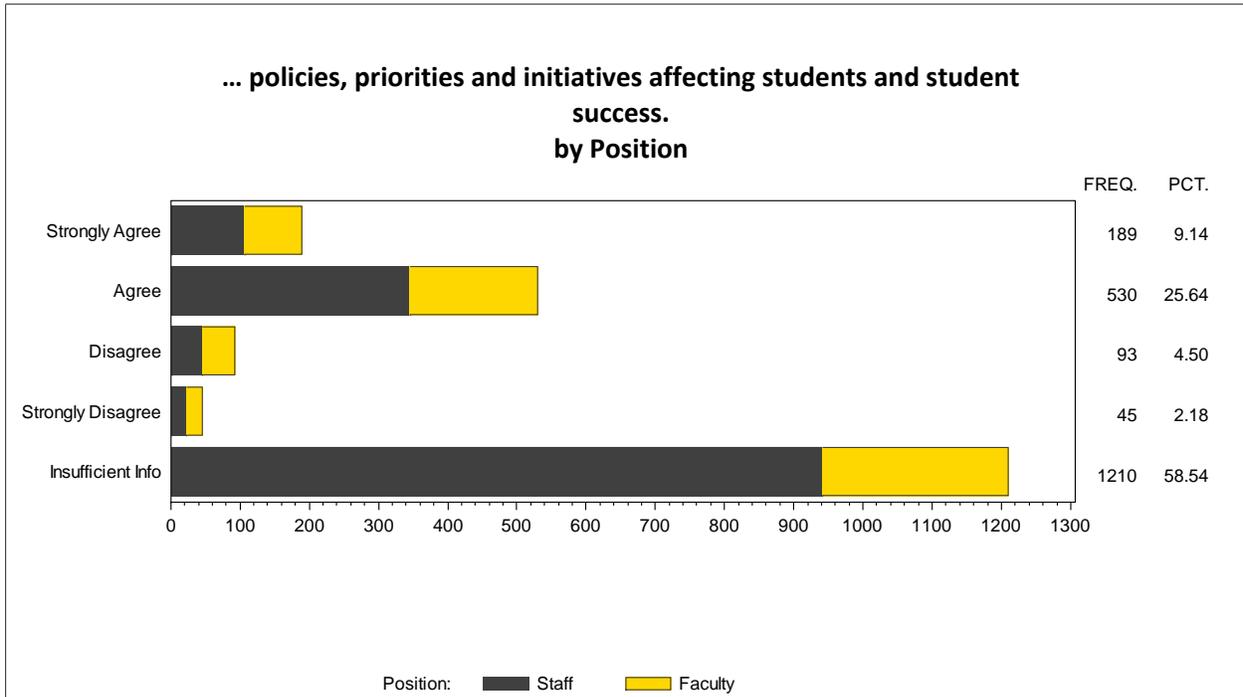
Appendix B: Communication and Listening

The office of the Provost is effecting in communicating....



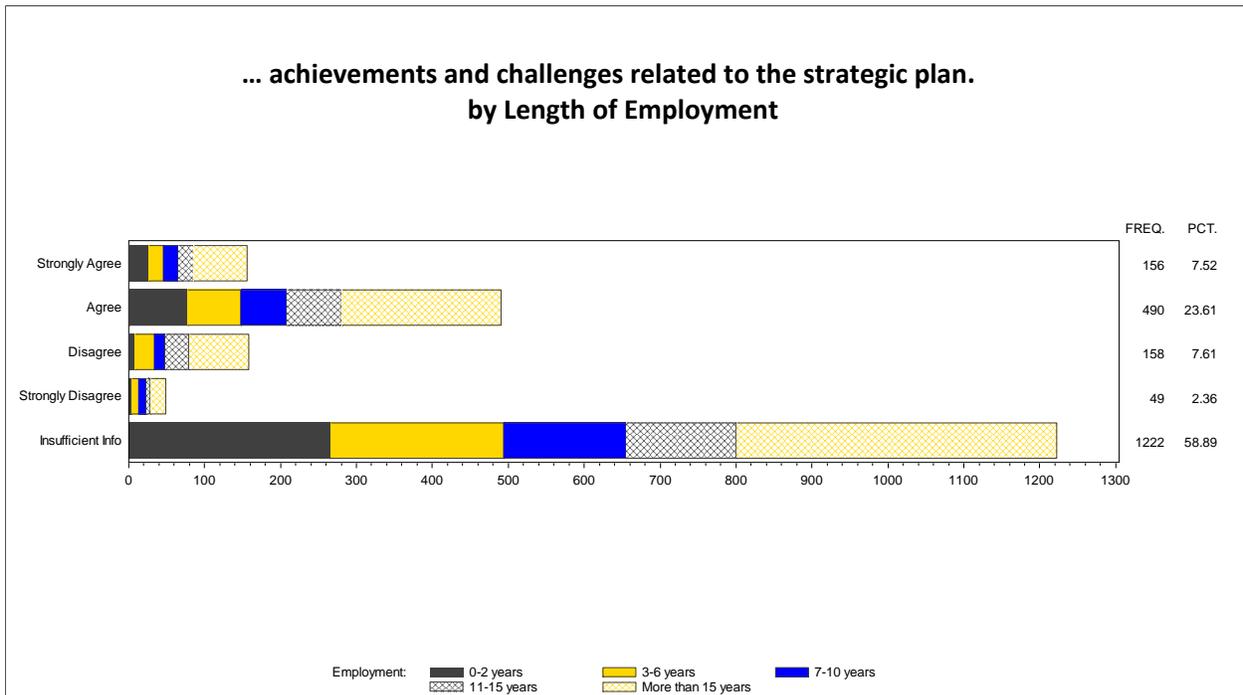
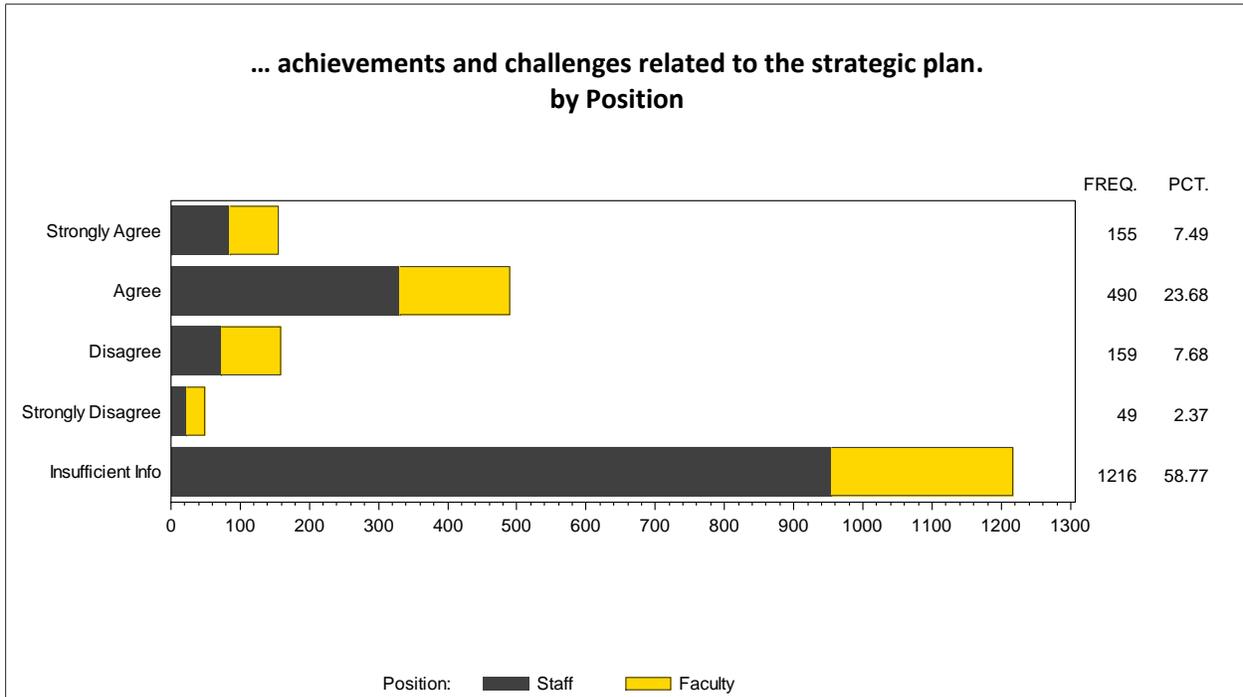
Appendix B: Communication and Listening

The office of the Provost is effecting in communicating....



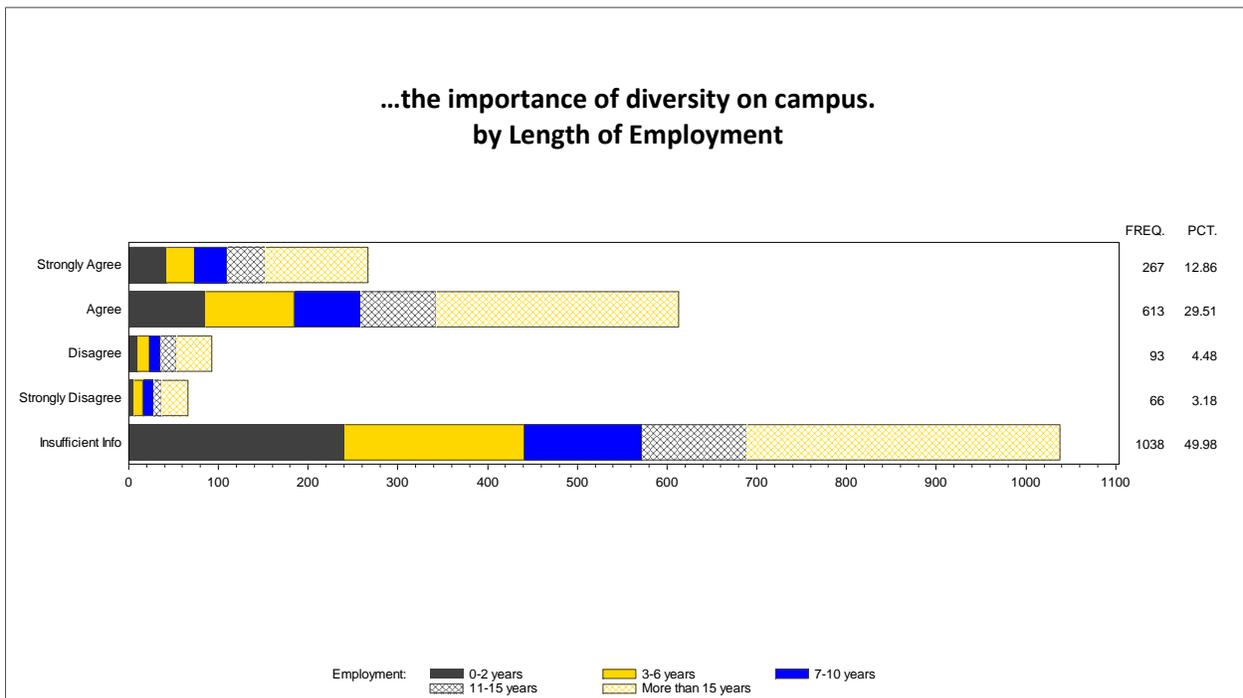
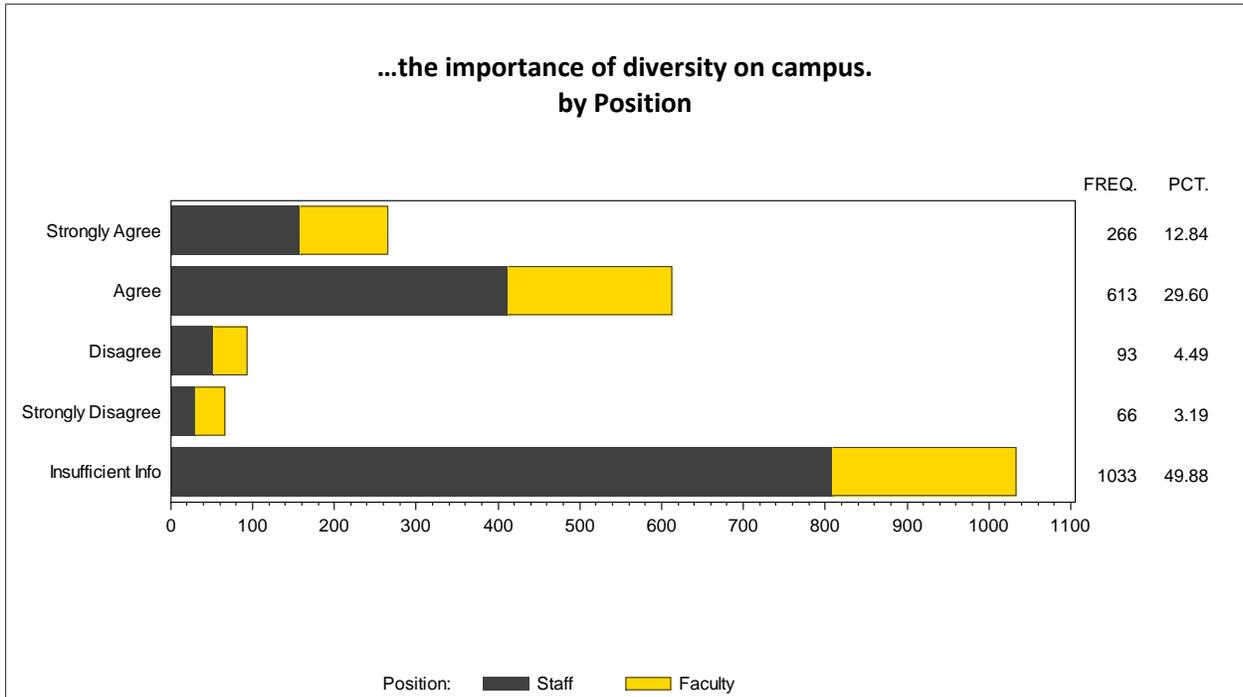
Appendix B: Communication and Listening

The office of the Provost is effecting in communicating....



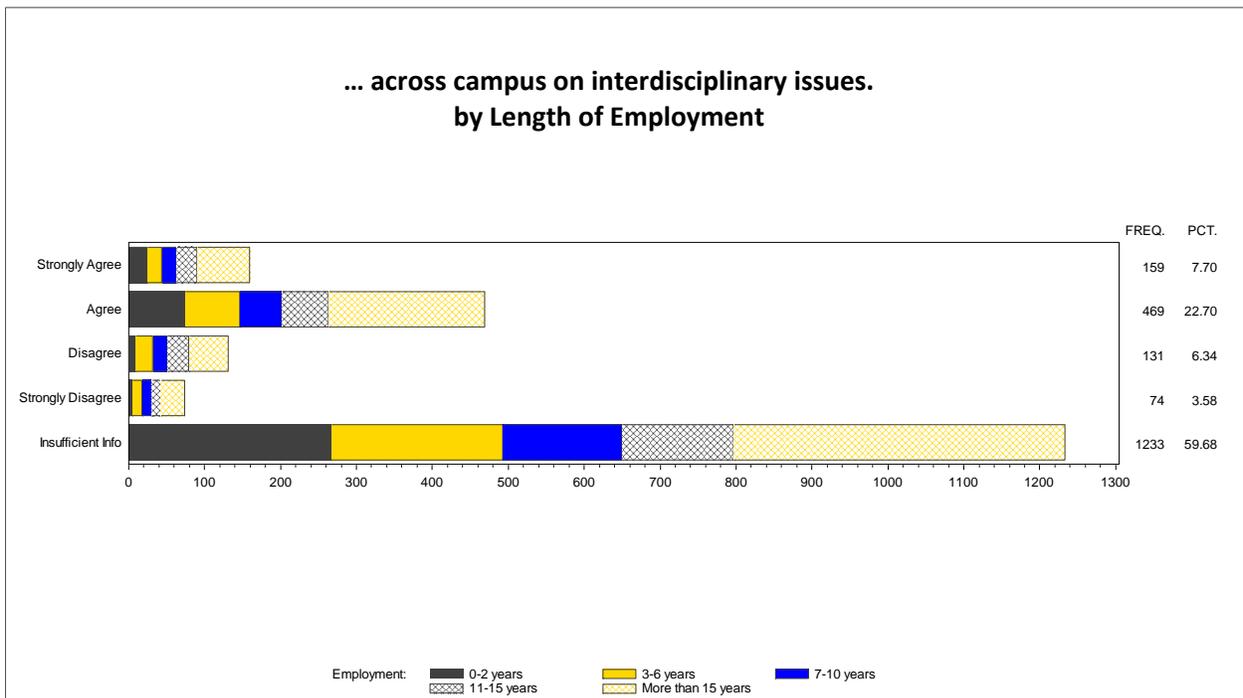
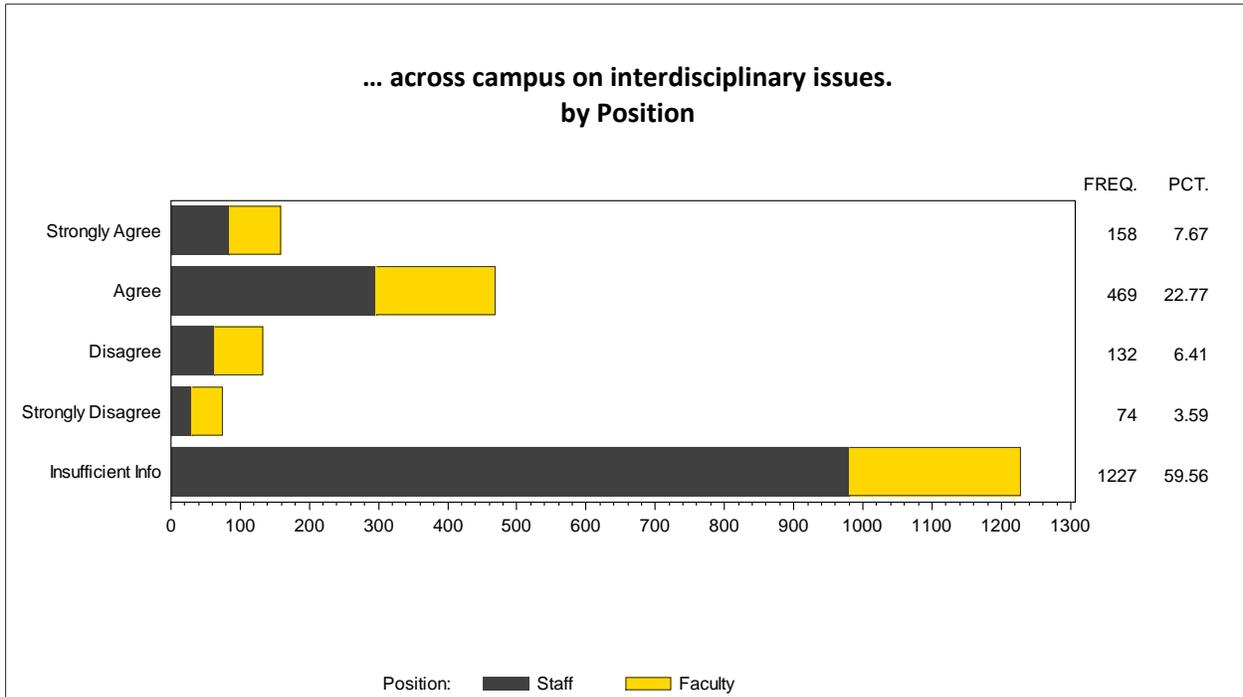
Appendix B: Communication and Listening

The office of the Provost is effecting in communicating....



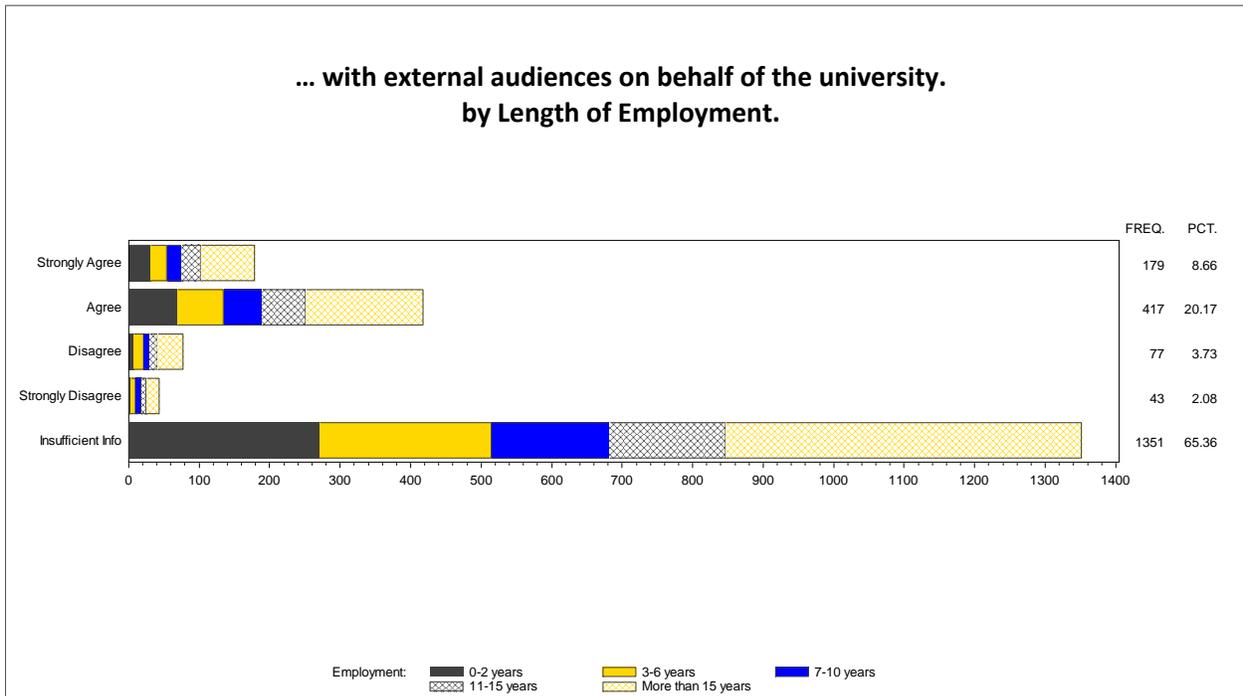
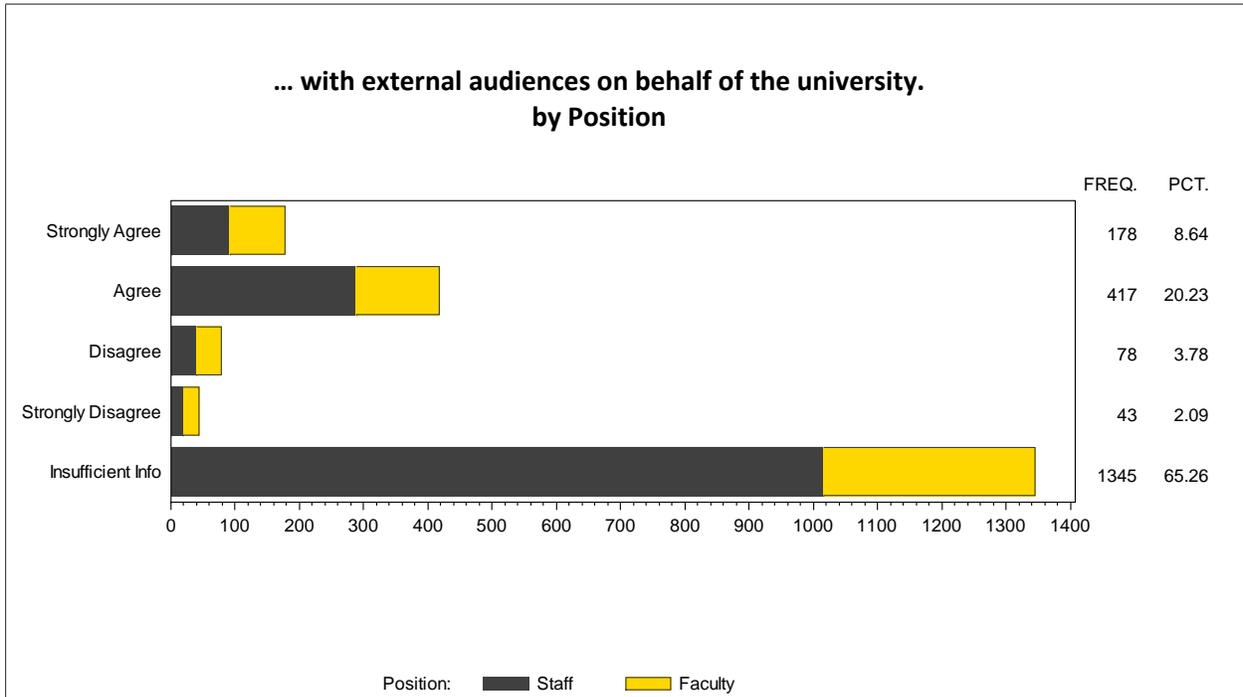
Appendix B: Communication and Listening

The office of the Provost is effecting in communicating....



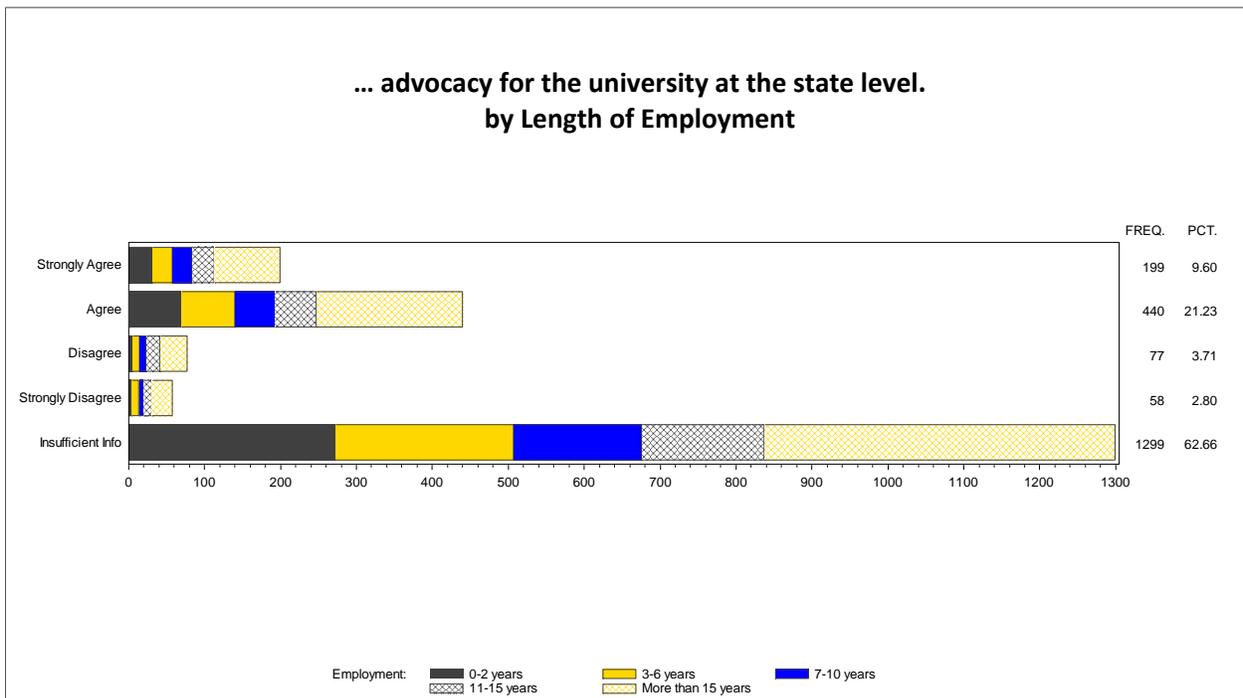
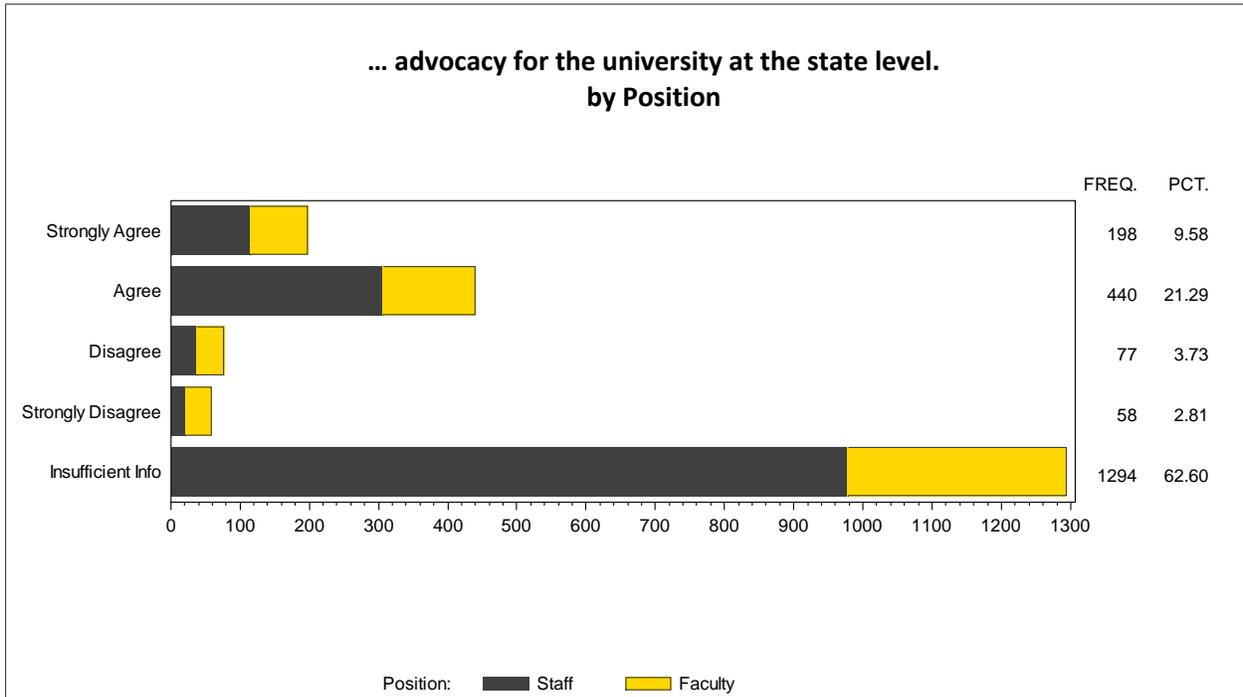
Appendix B: Communication and Listening

The office of the Provost is effecting in communicating....



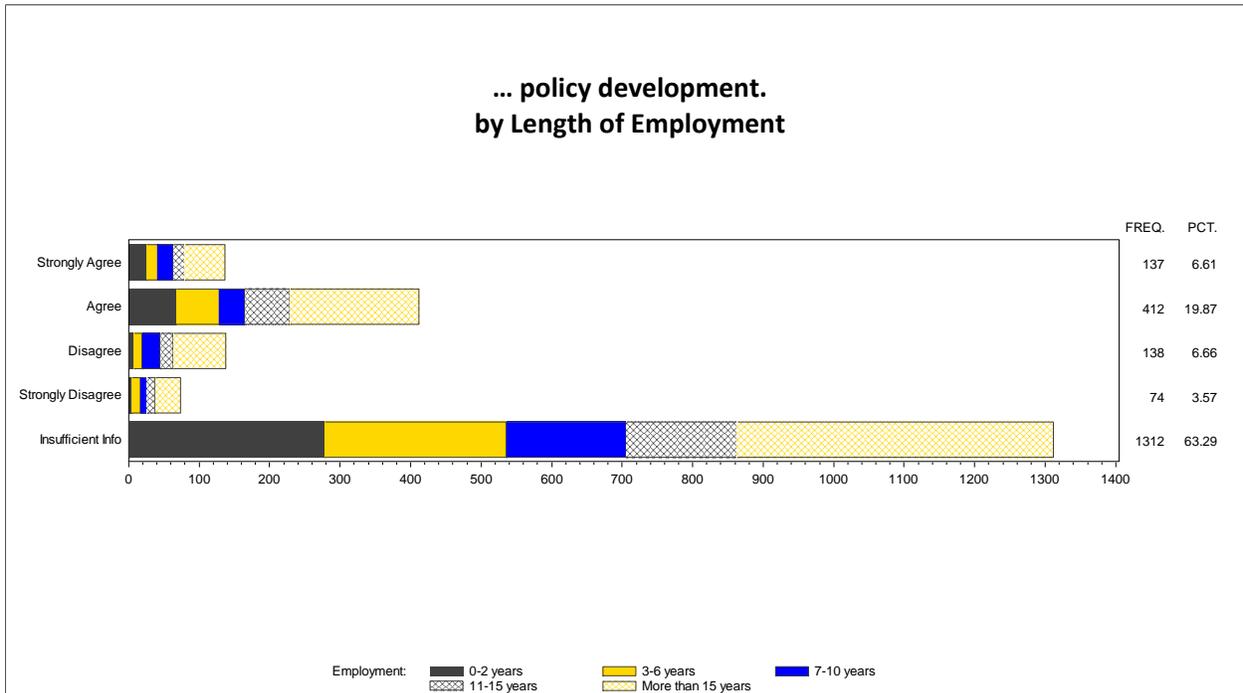
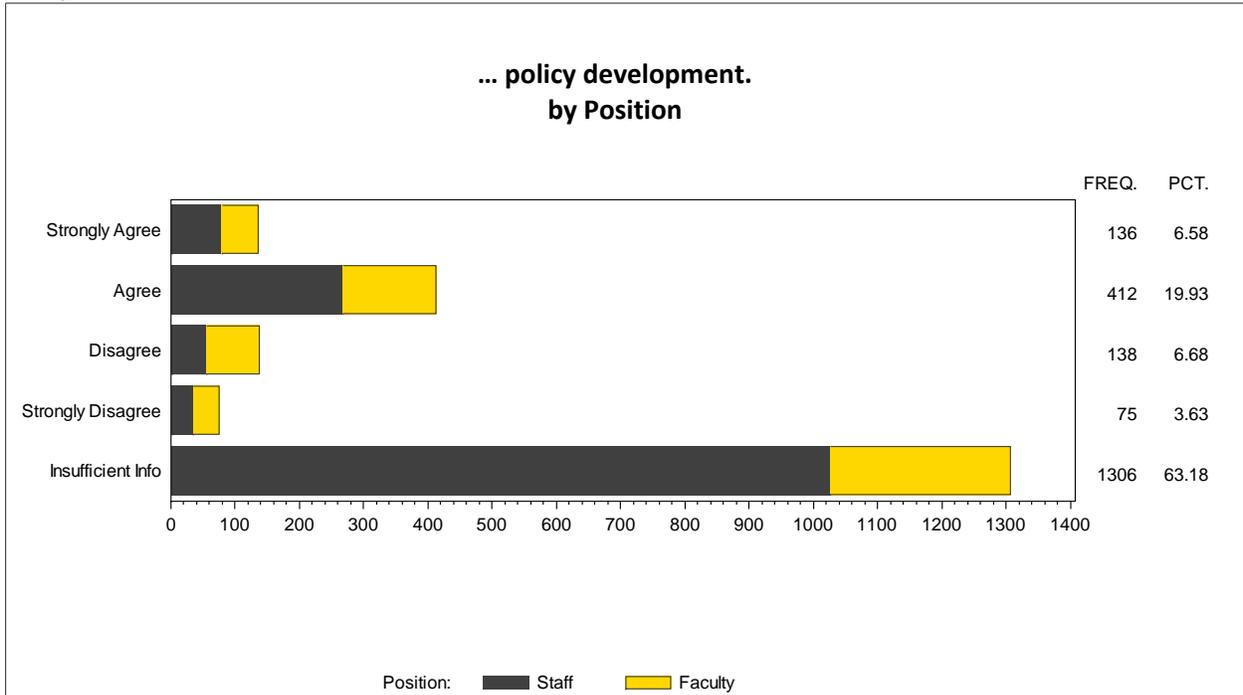
Appendix B: Communication and Listening

The office of the Provost is effecting in communicating....



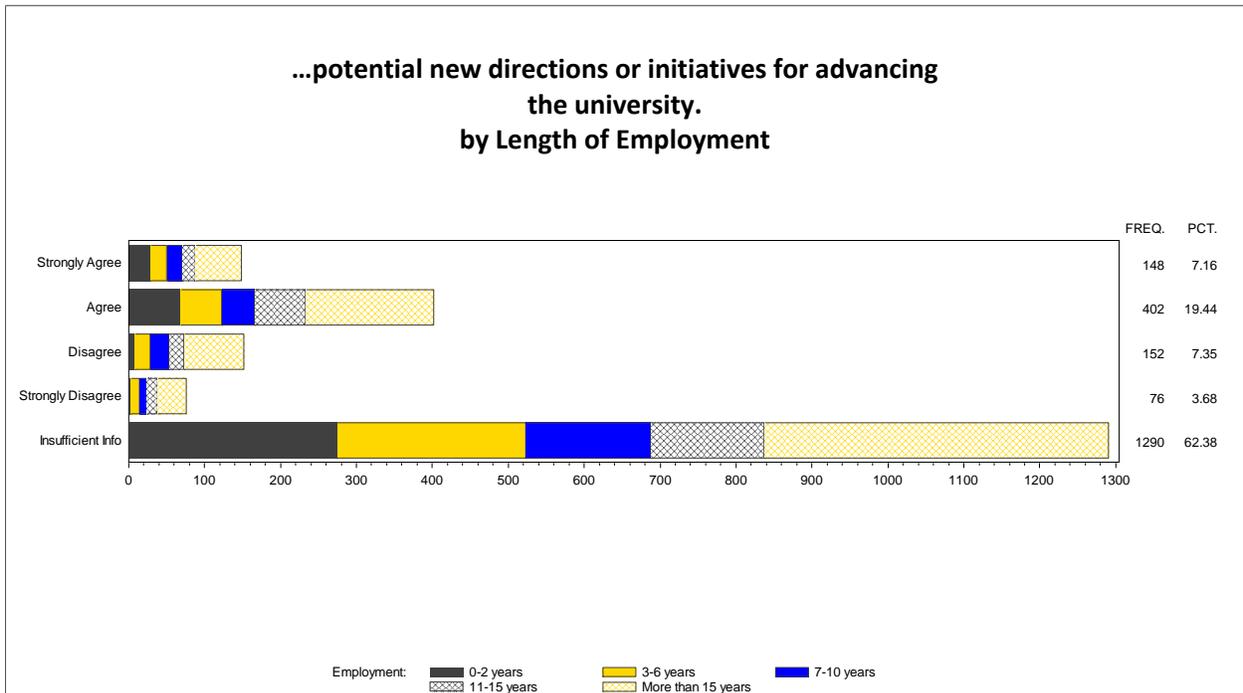
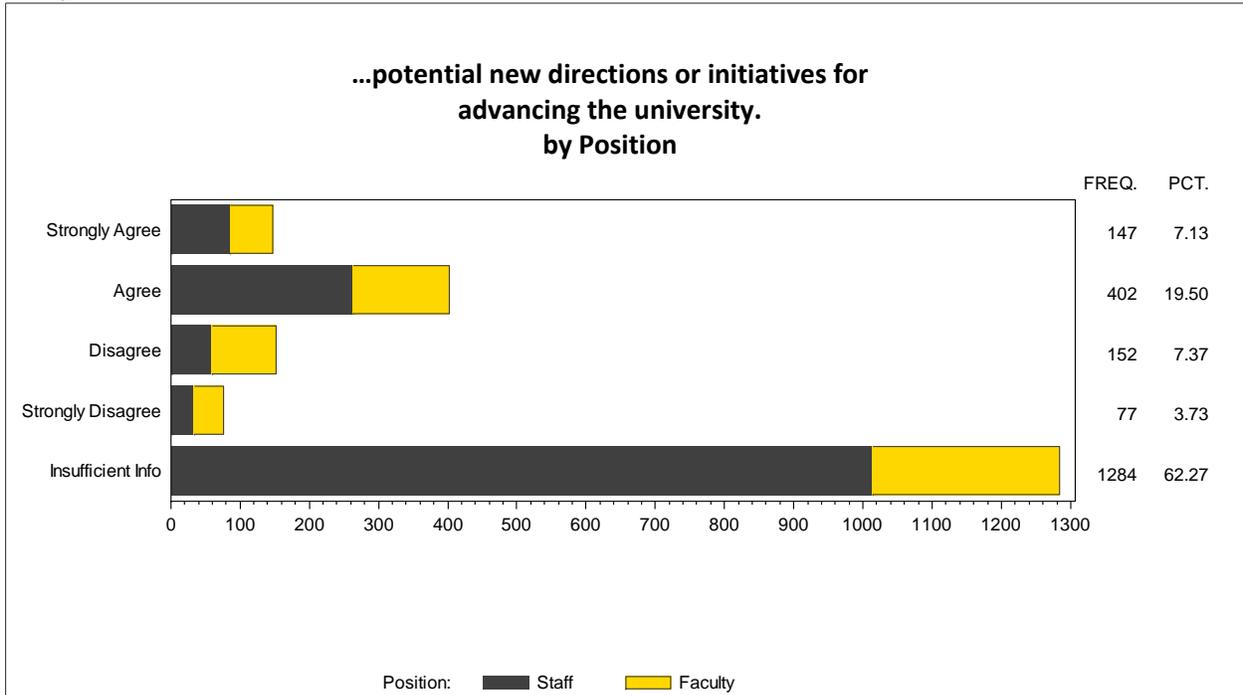
Appendix B: Communication and Listening

The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...



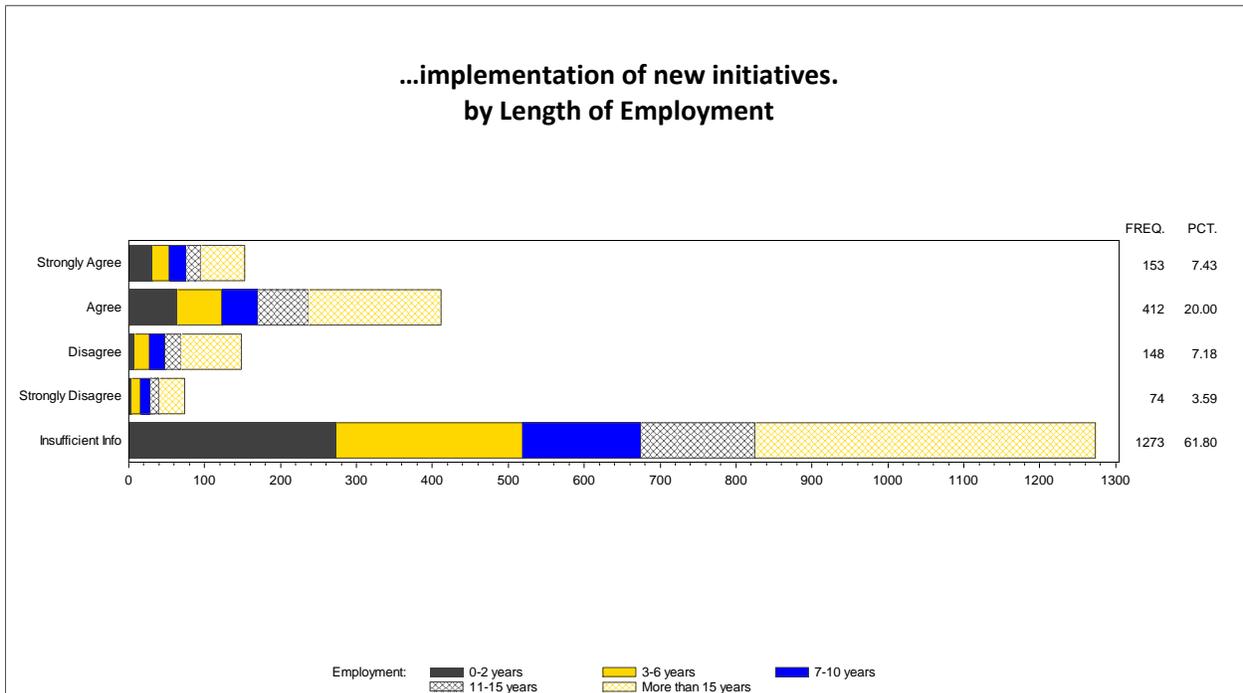
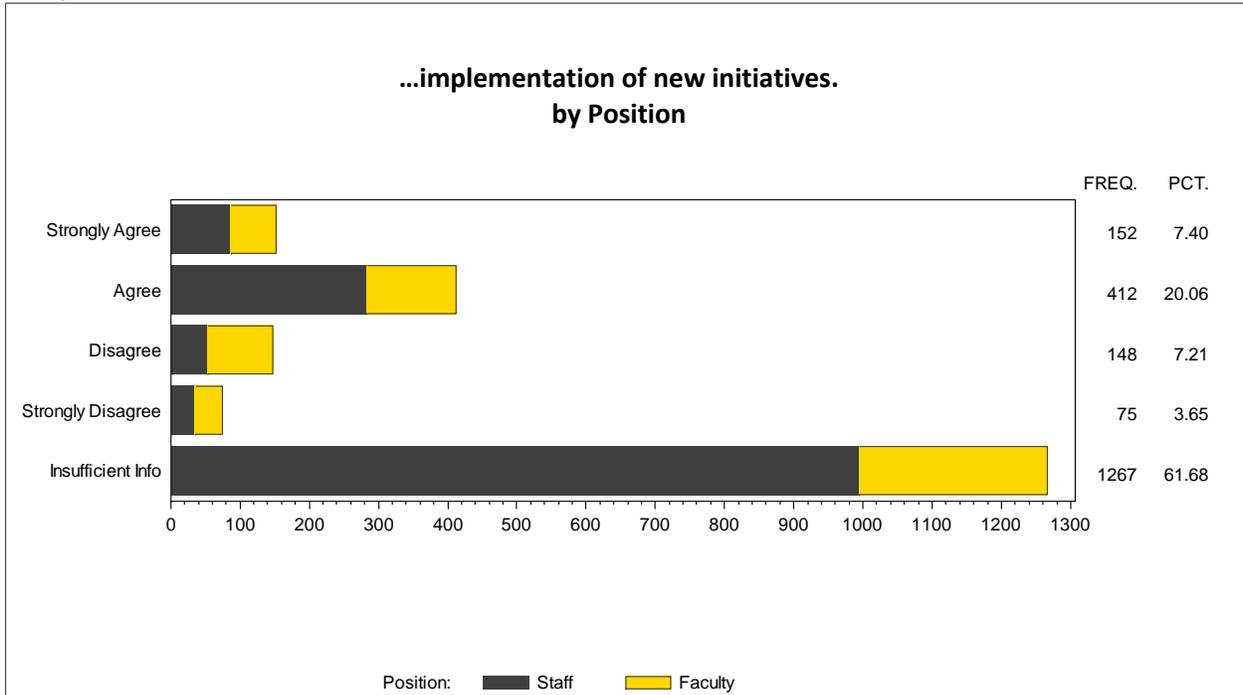
Appendix B: Communication and Listening

The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...



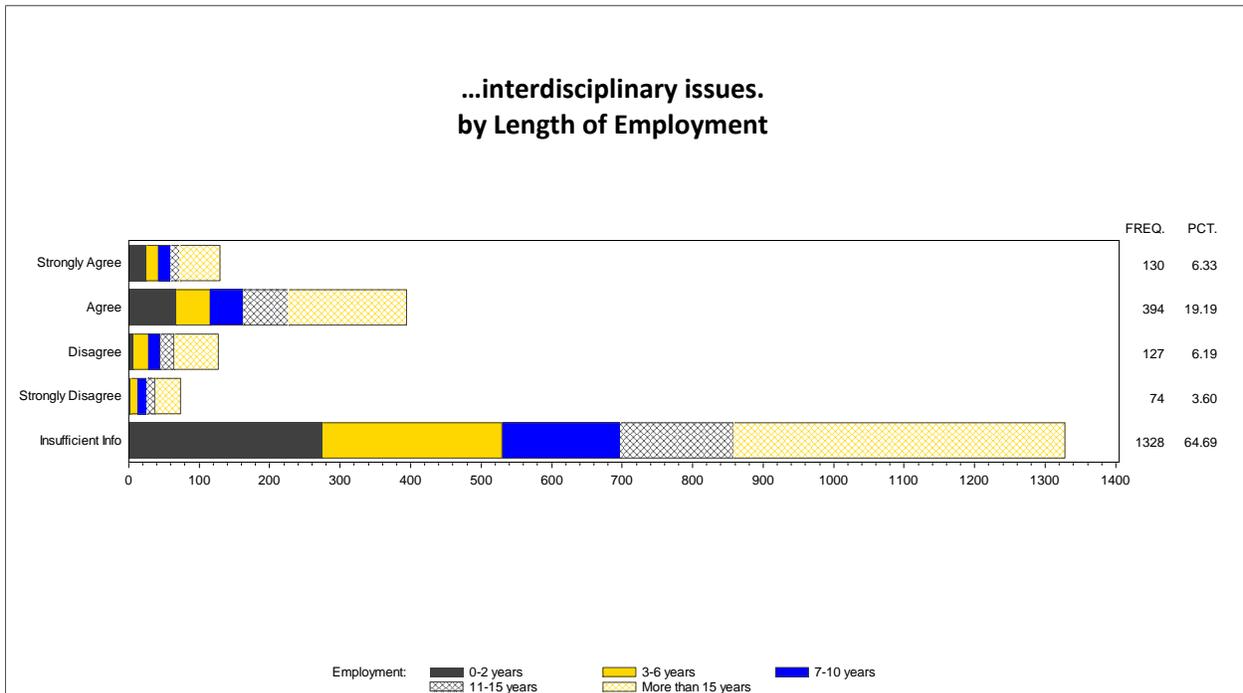
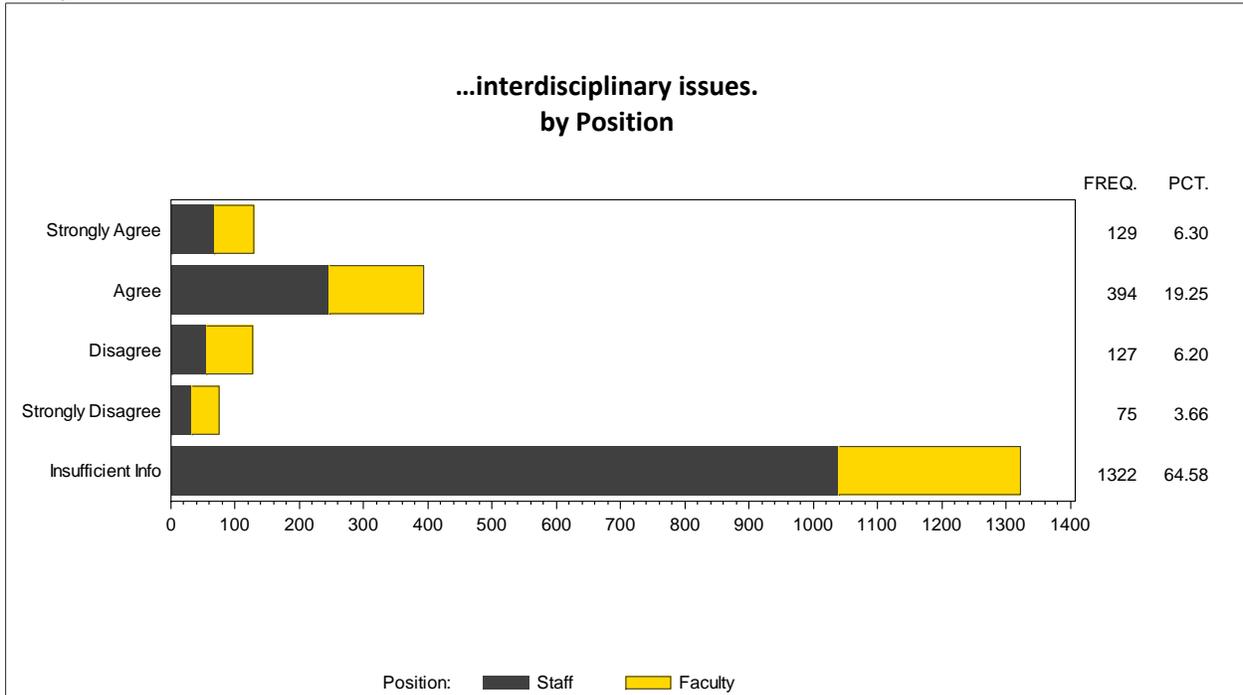
Appendix B: Communication and Listening

The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...



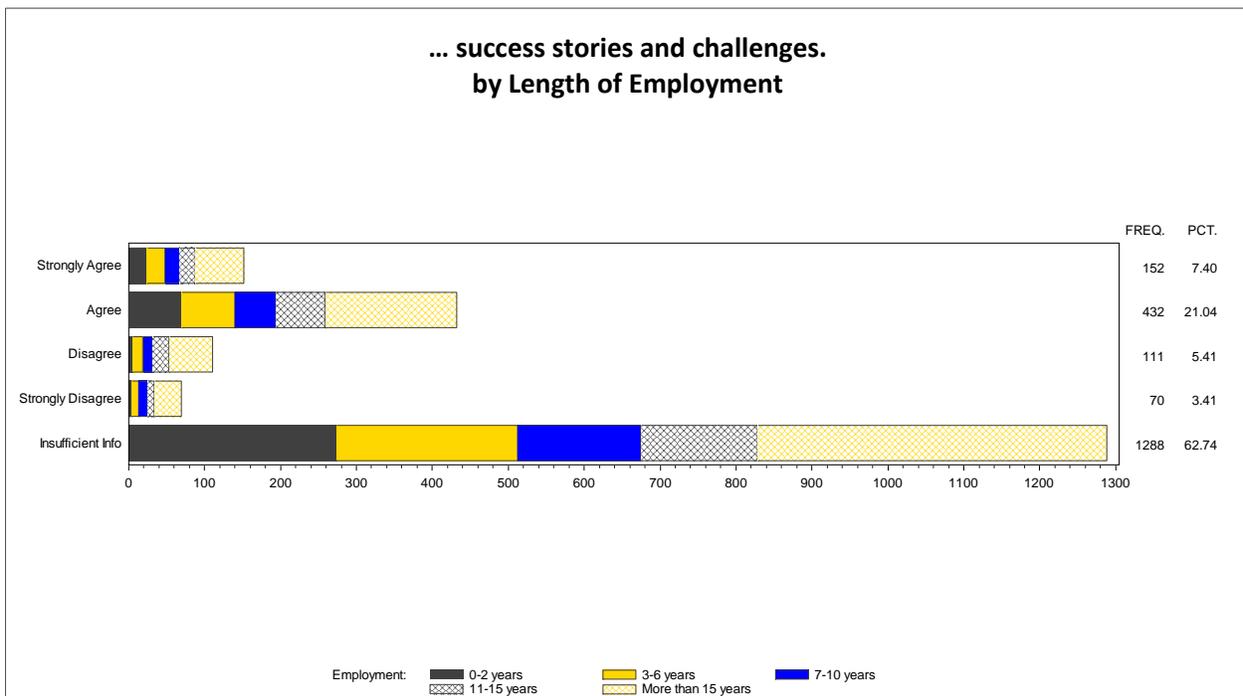
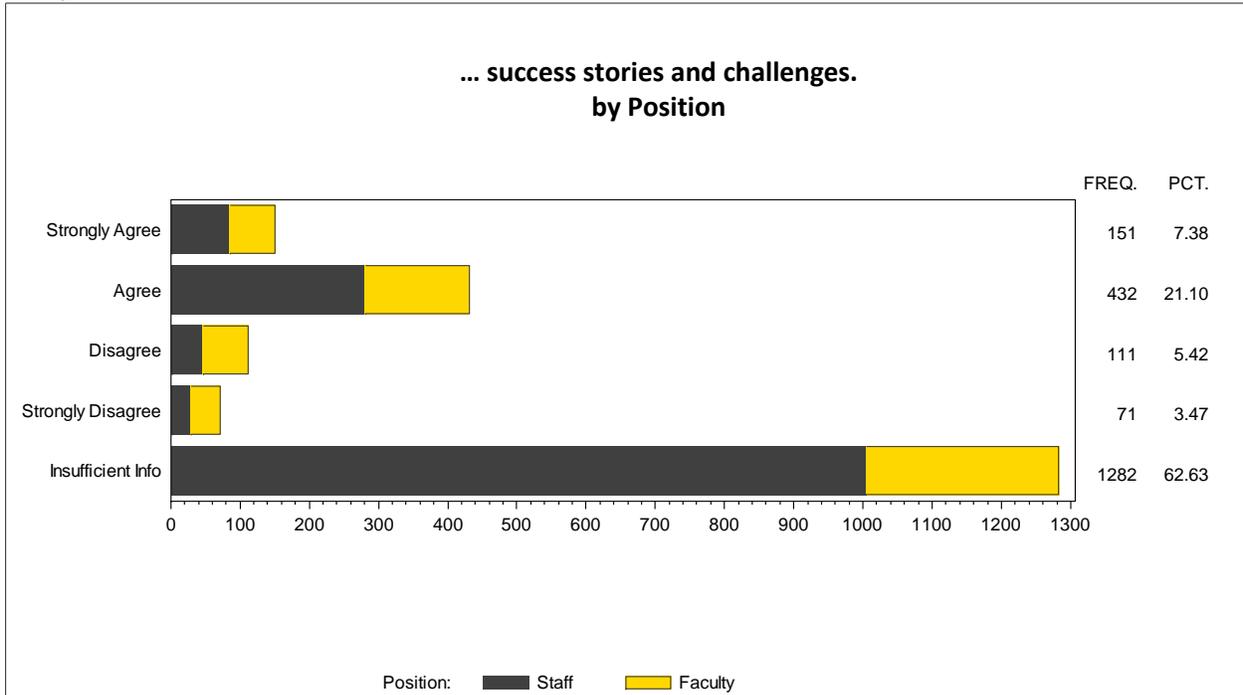
Appendix B: Communication and Listening

The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...



Appendix B: Communication and Listening

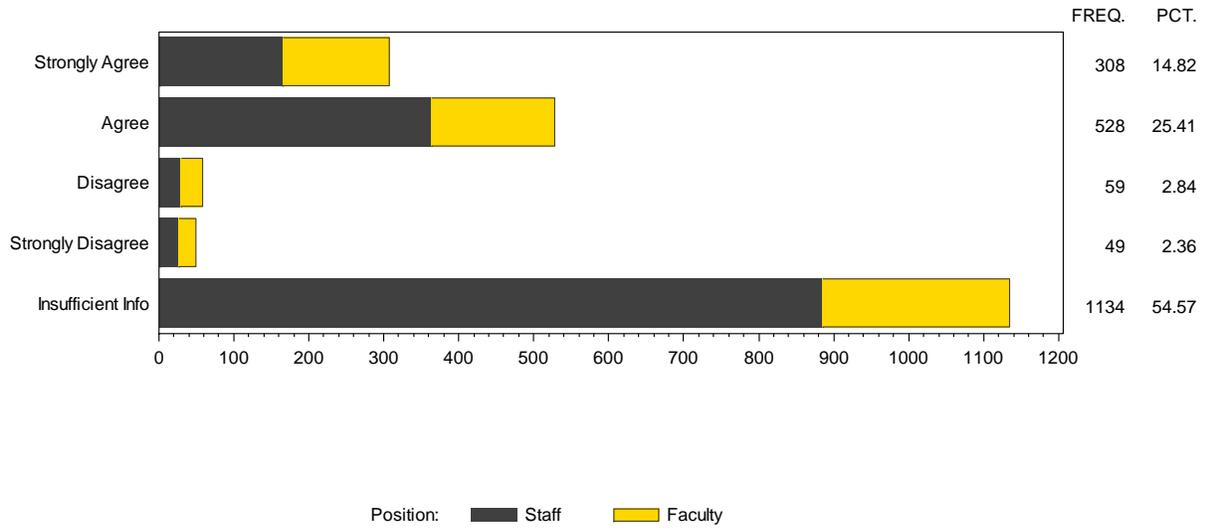
The Office of the Provost is effective in seeking and taking into consideration an appropriate amount of input and feedback on...



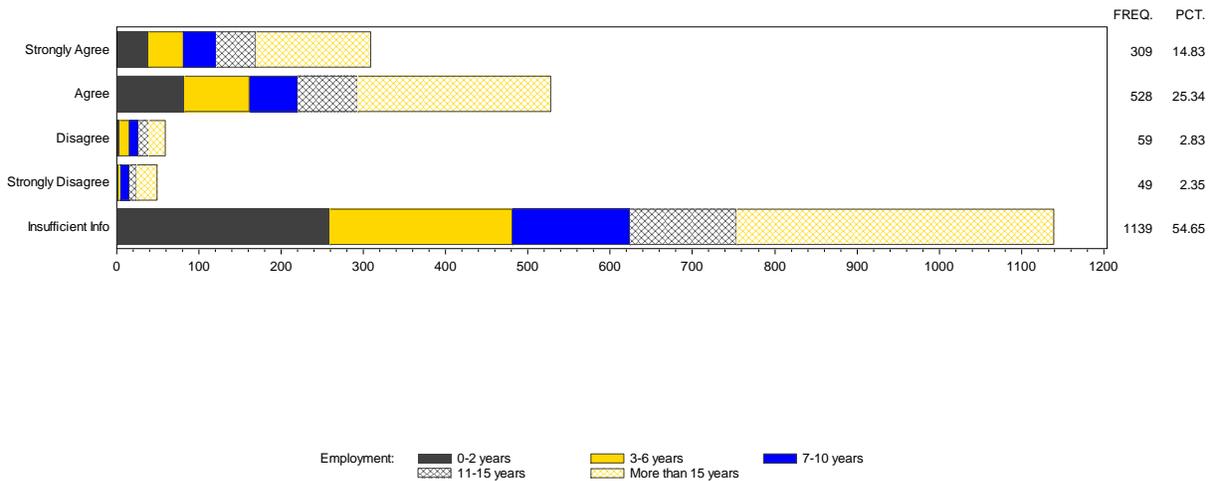
Appendix B: Respect for the Office

The Office of the Provost...

**... operates under the principles of honesty, integrity, and respect.
by Position**

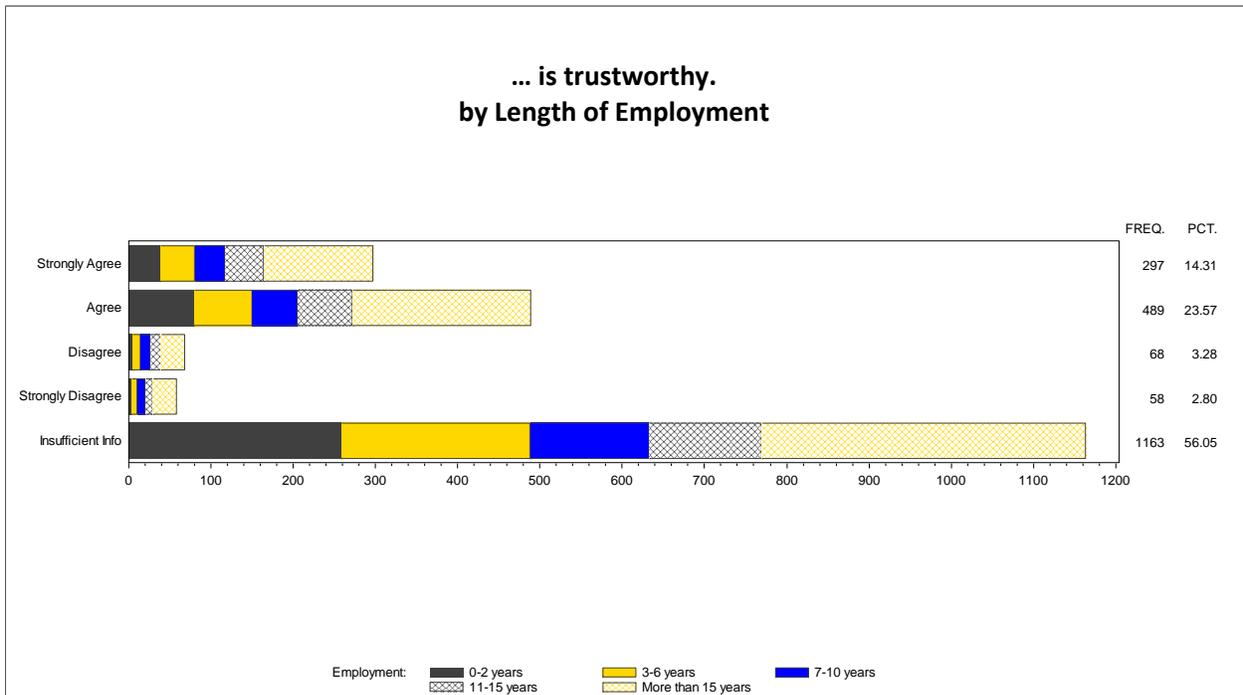
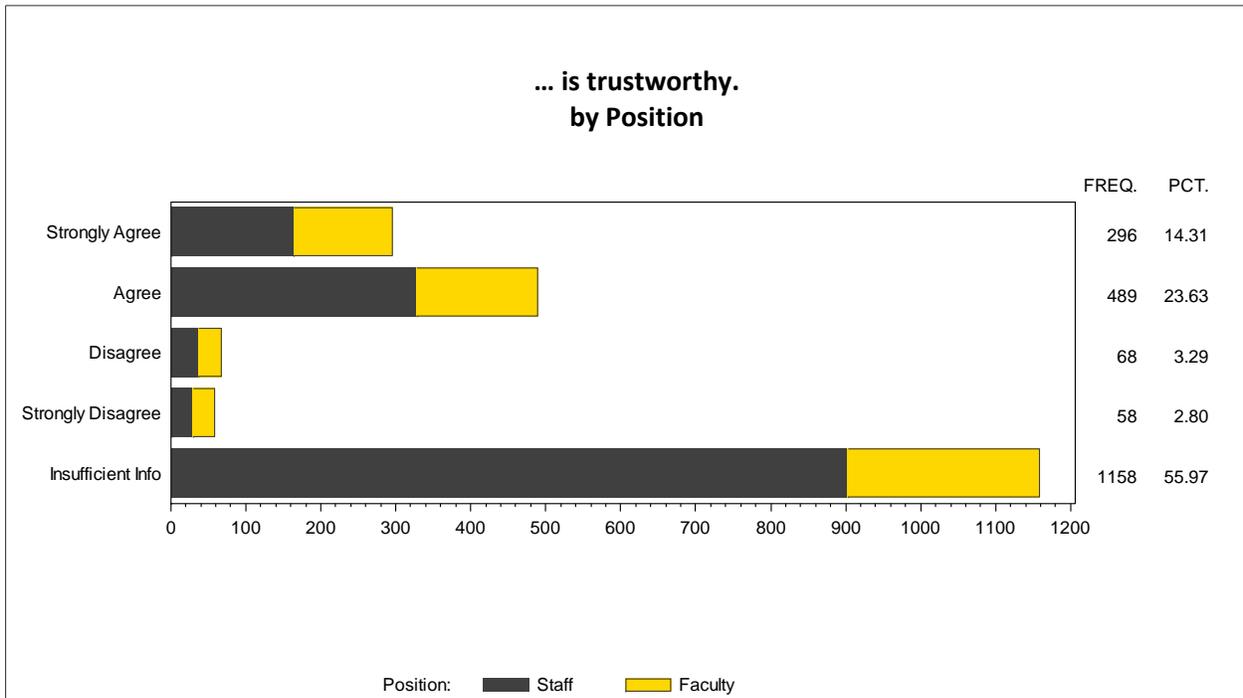


**... operates under the principles of honesty, integrity, and respect.
by Length of Employment**



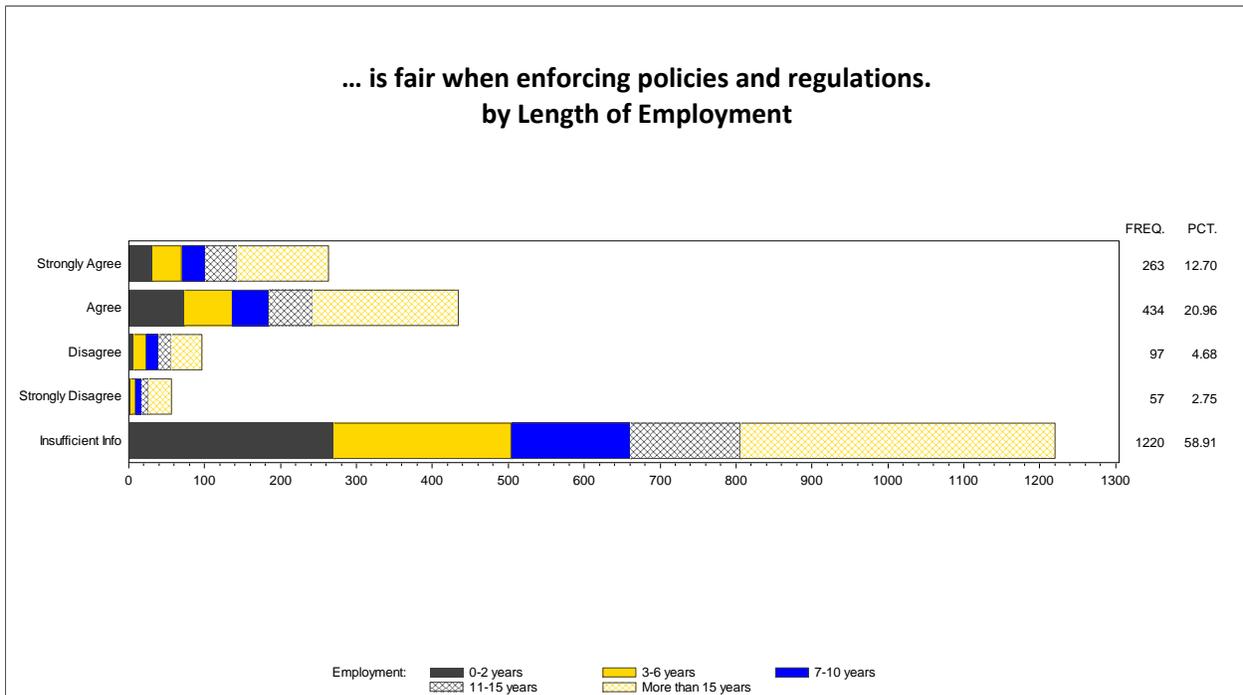
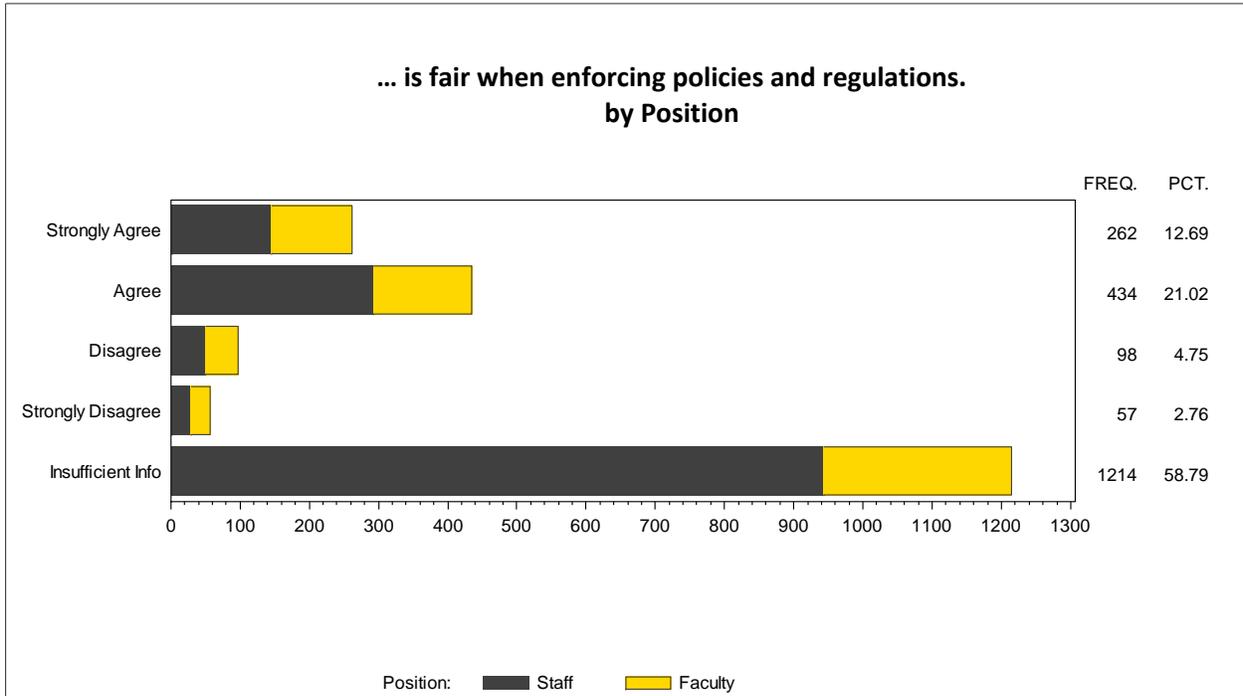
Appendix B: Respect for the Office

The Office of the Provost...



Appendix B: Respect for the Office

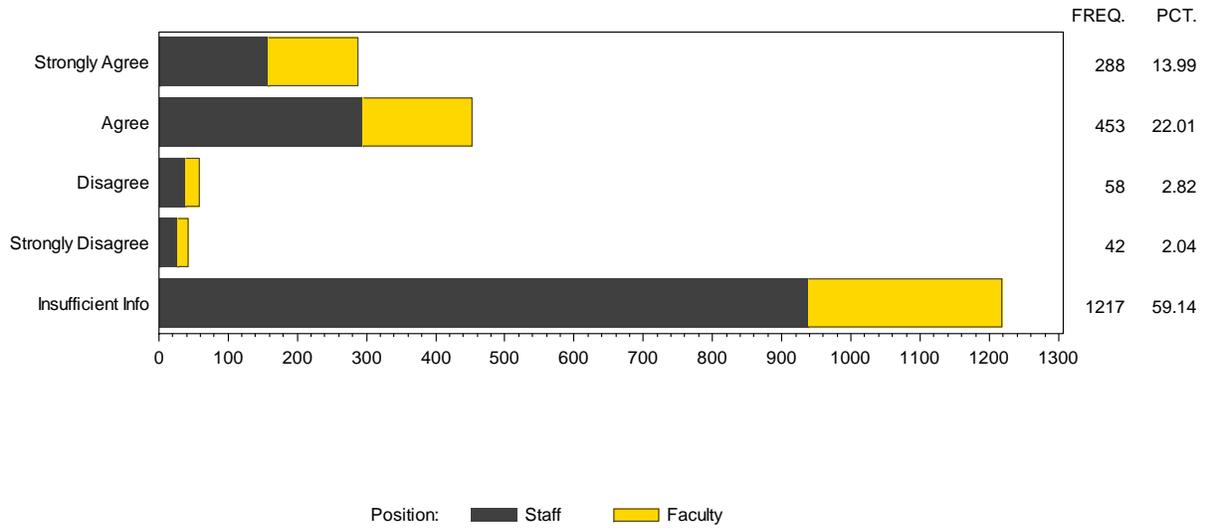
The Office of the Provost...



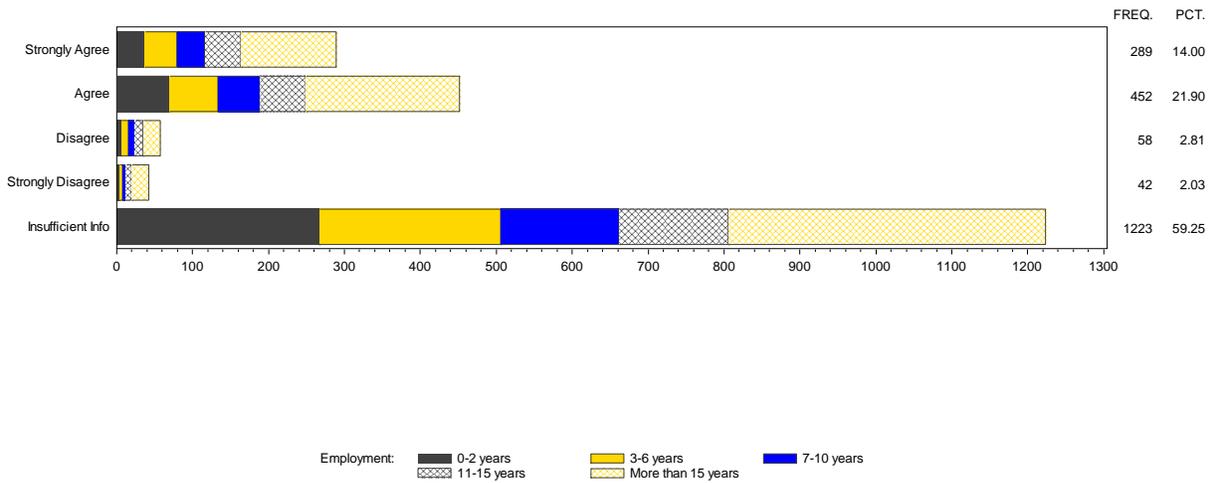
Appendix B: Respect for the Office

The Office of the Provost...

... is responsive and courteous when help or advice is sought.
by Position

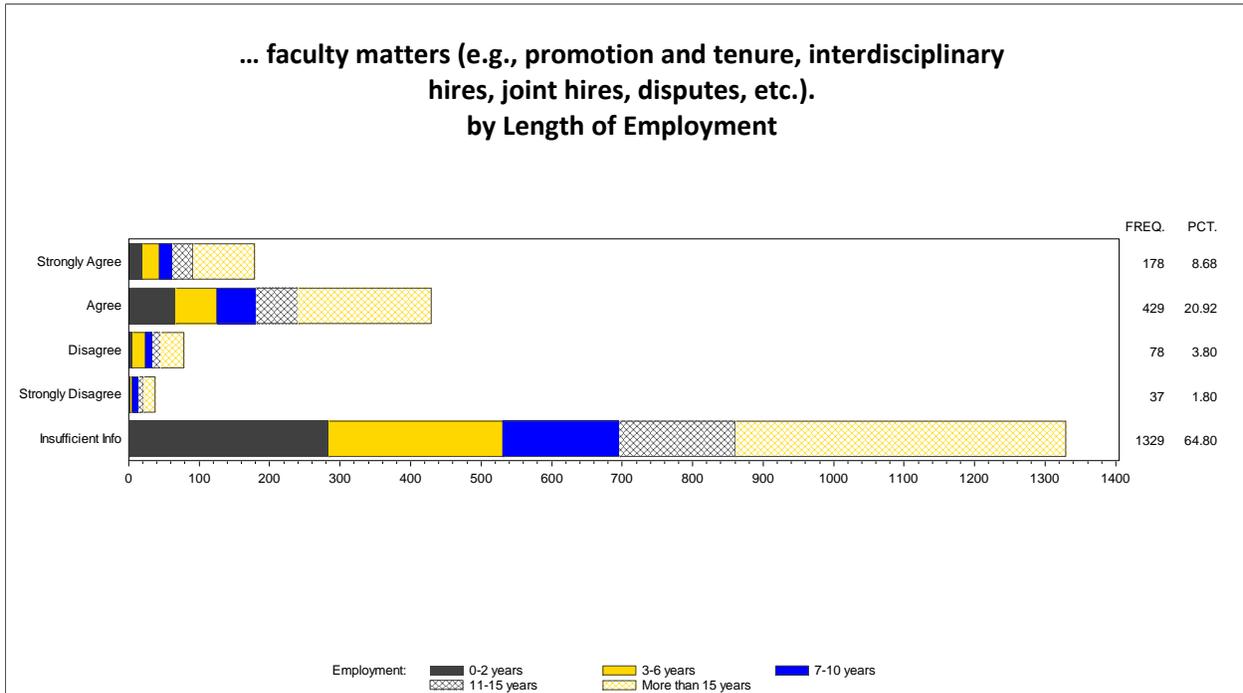
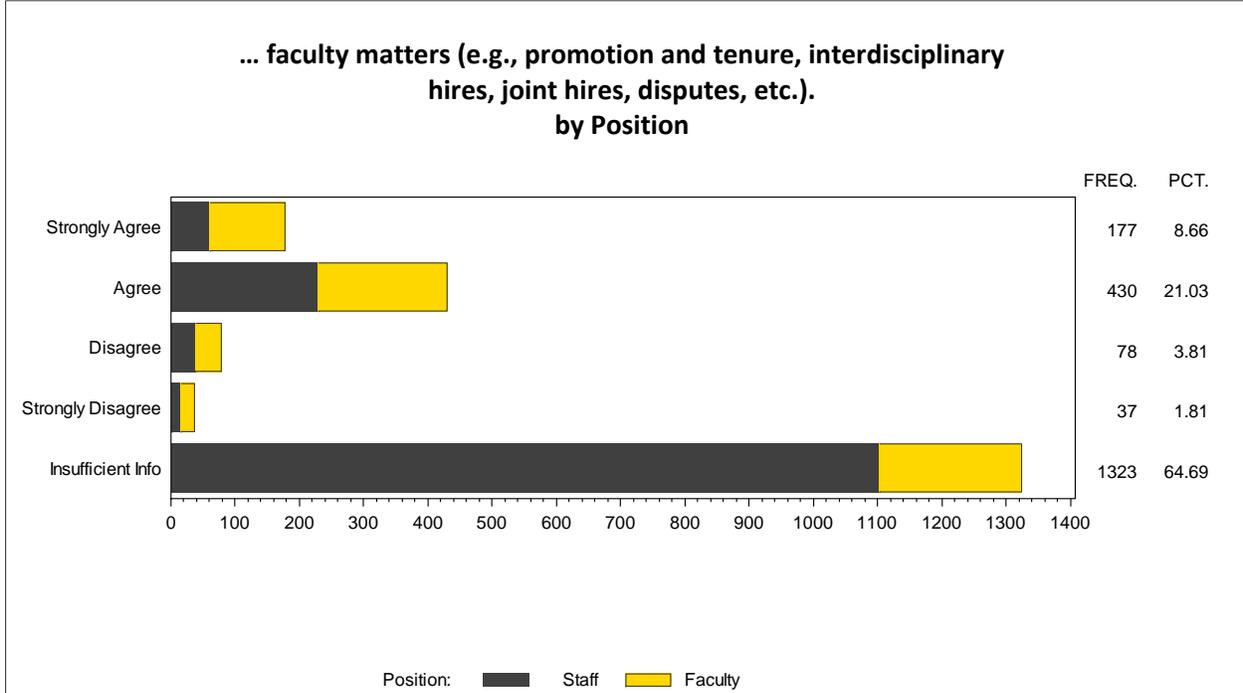


... is responsive and courteous when help or advice is sought.
by Length of Employment



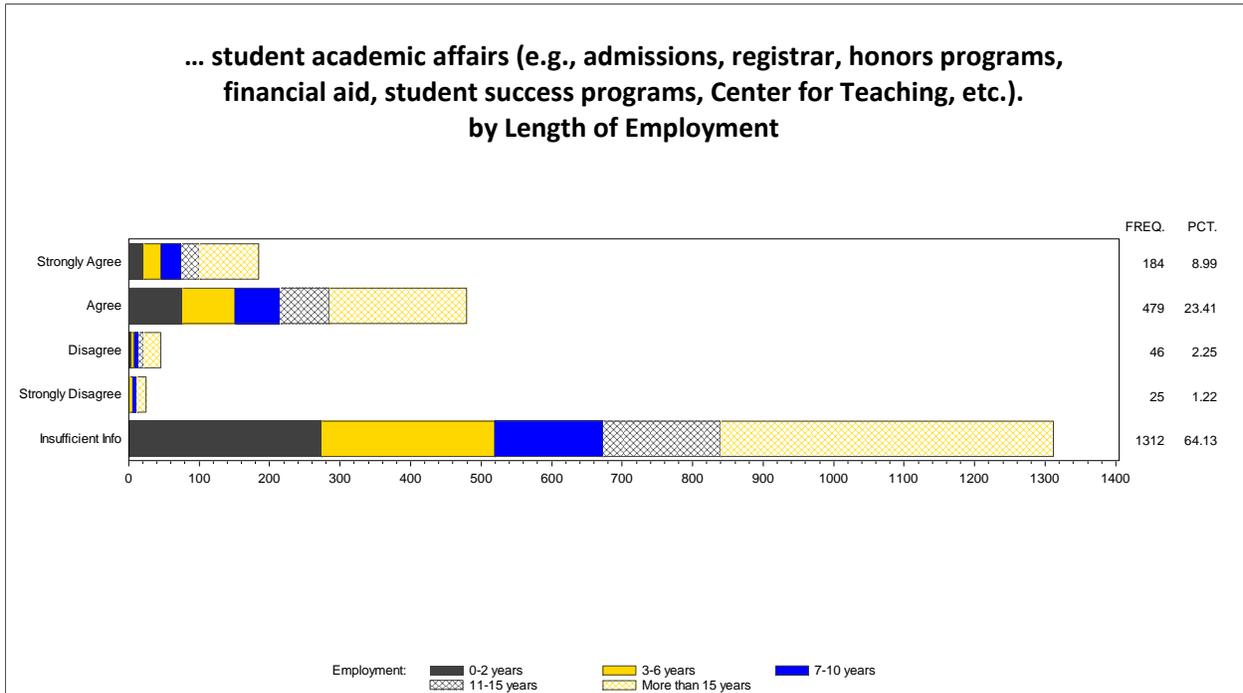
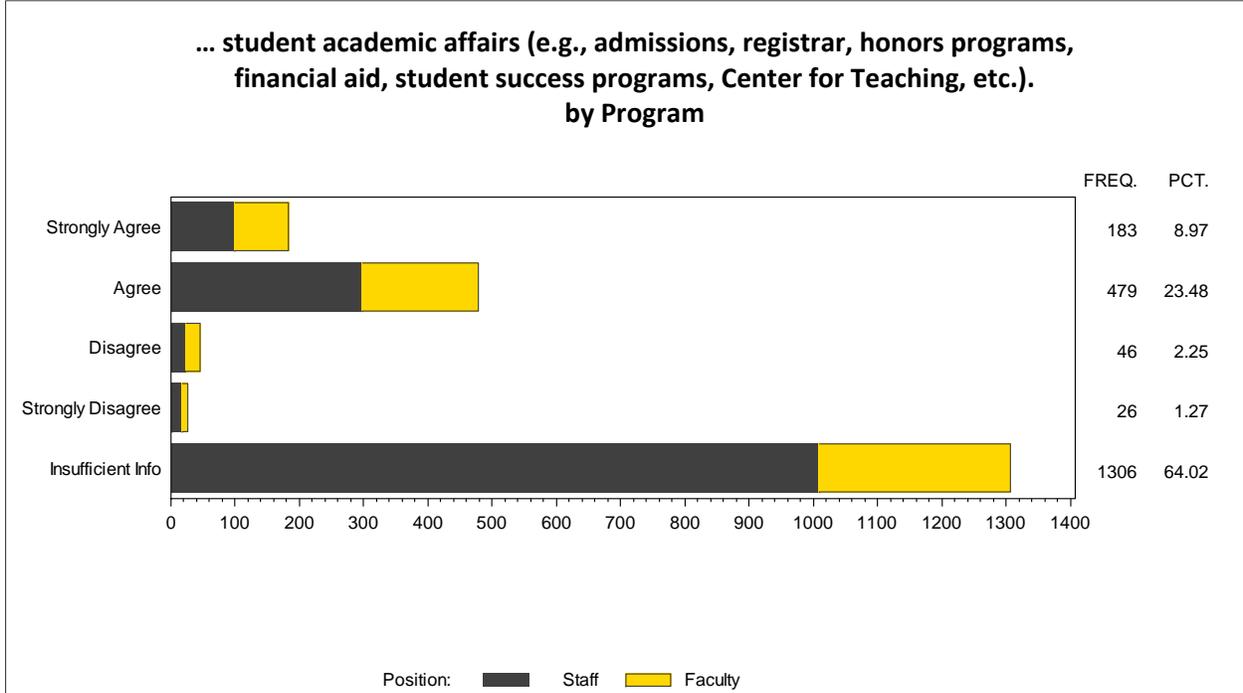
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



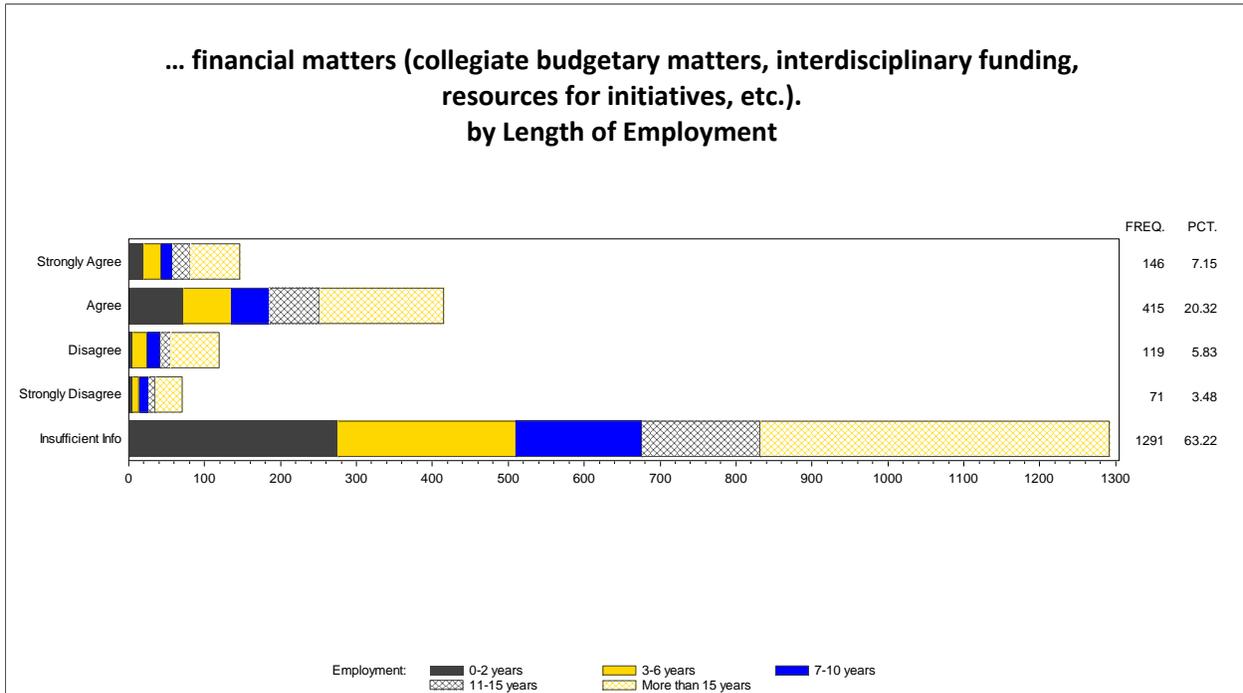
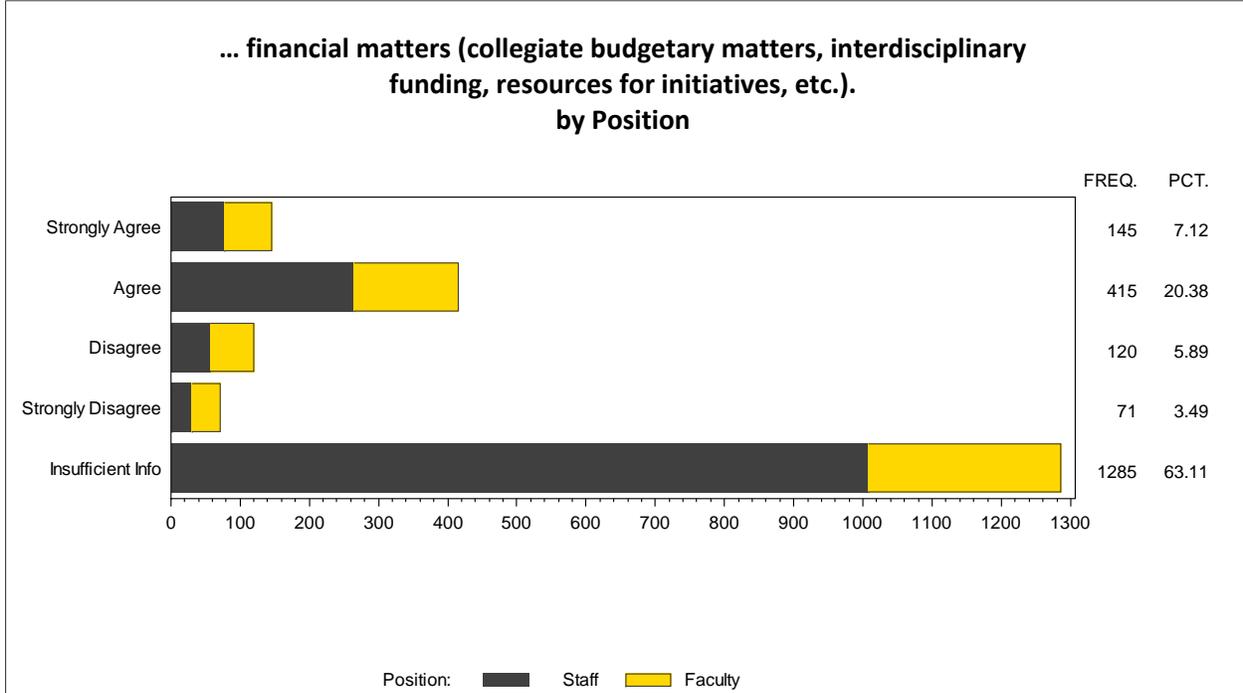
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



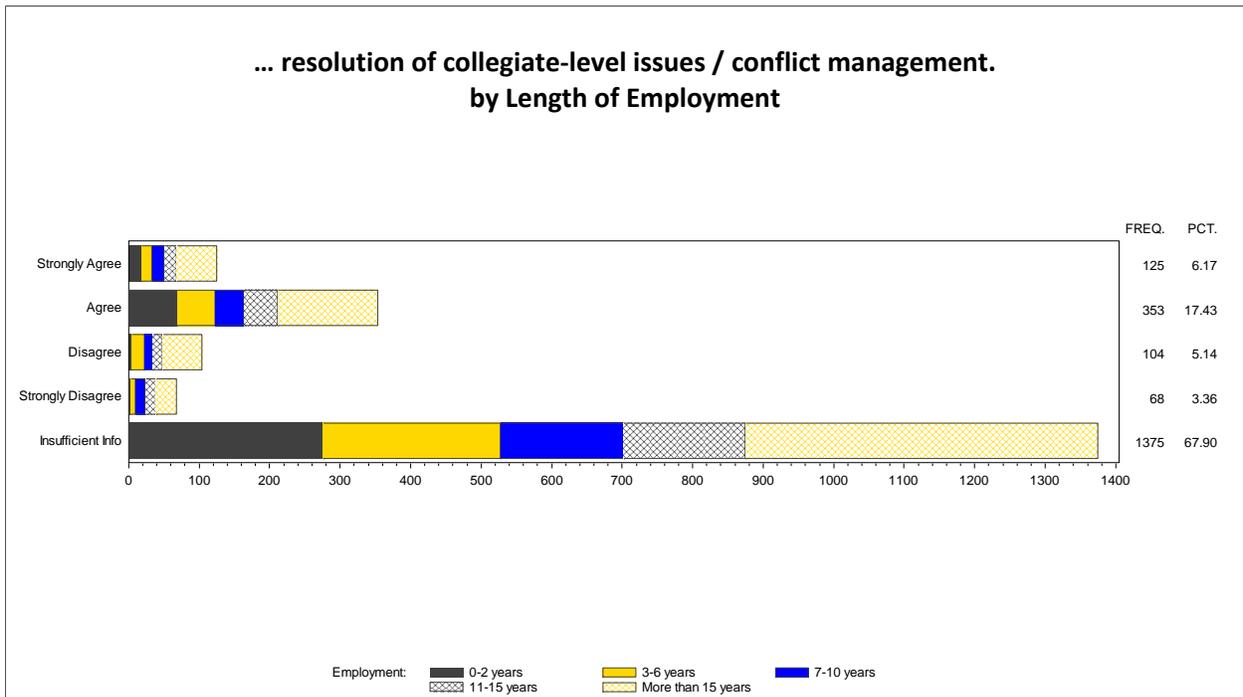
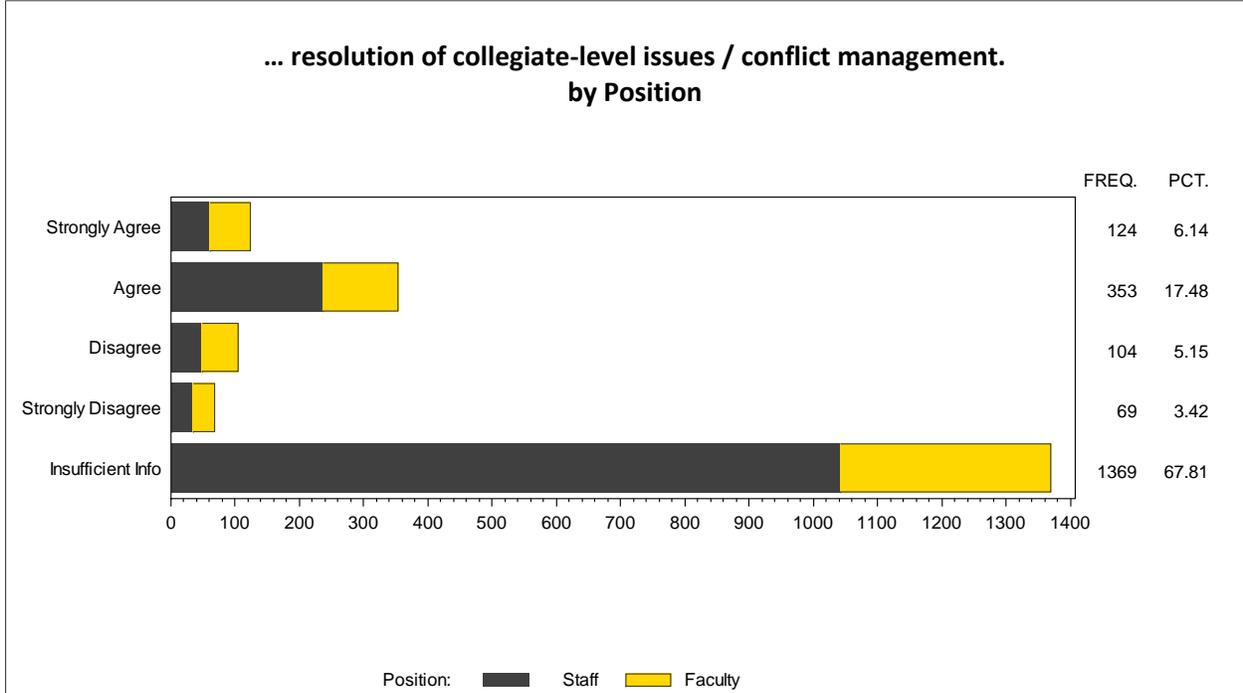
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



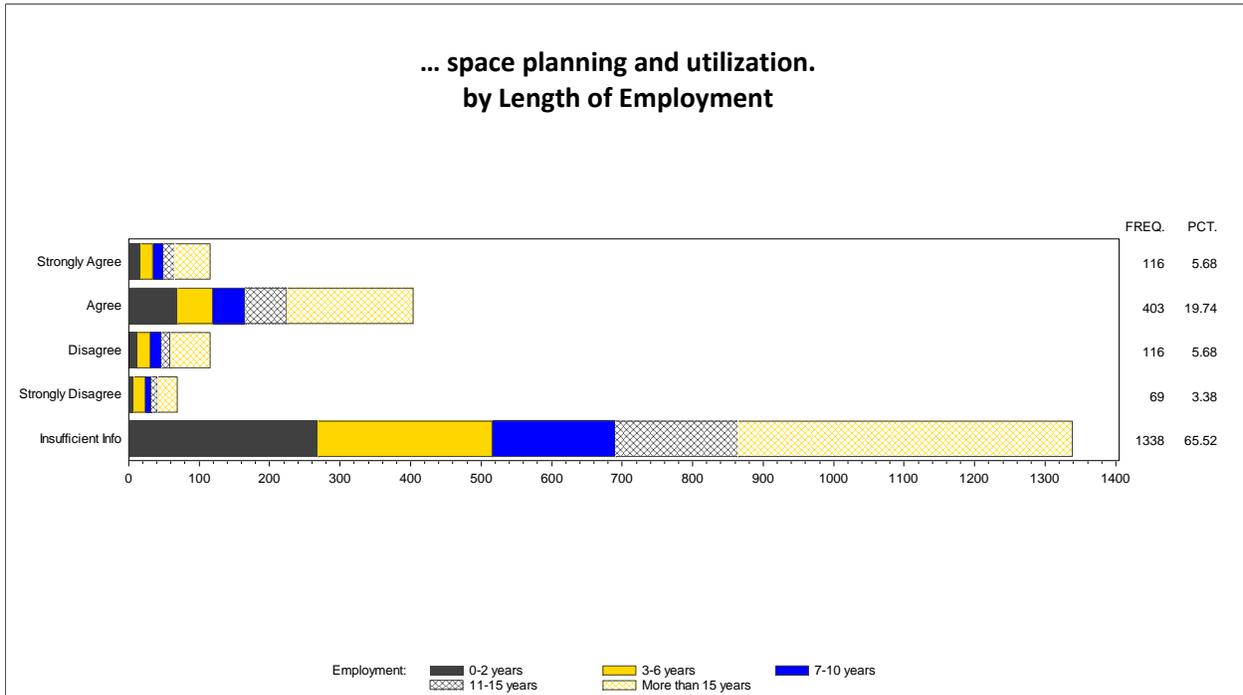
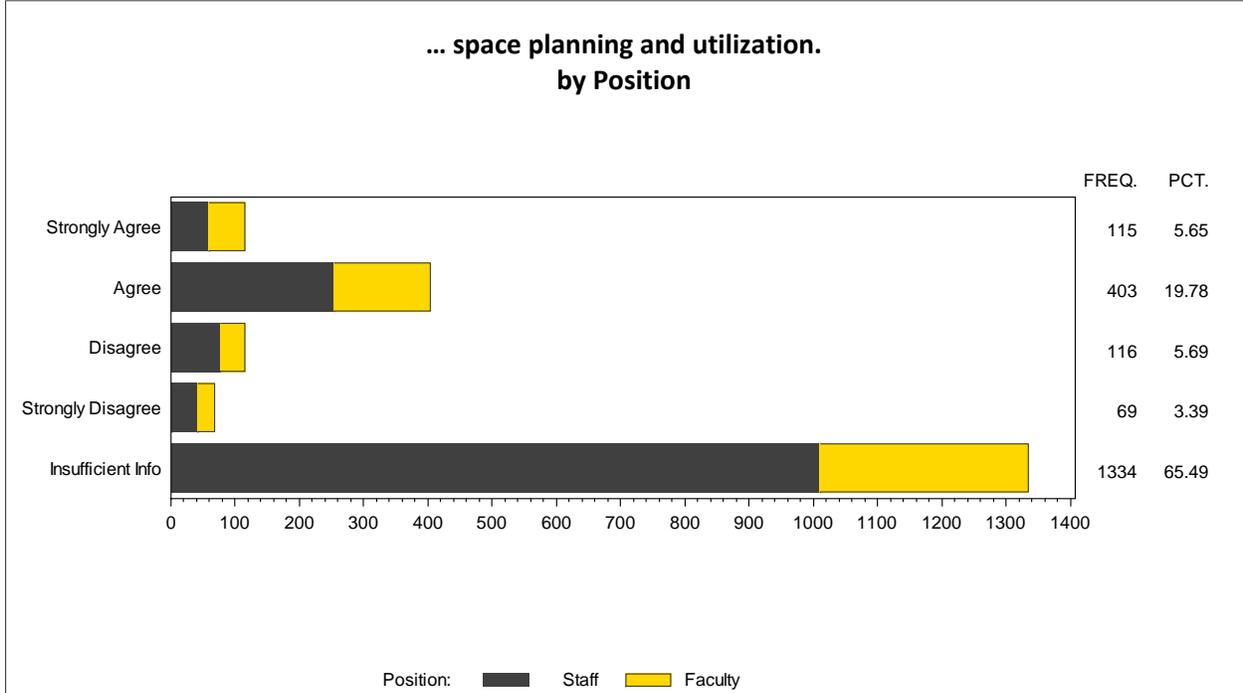
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



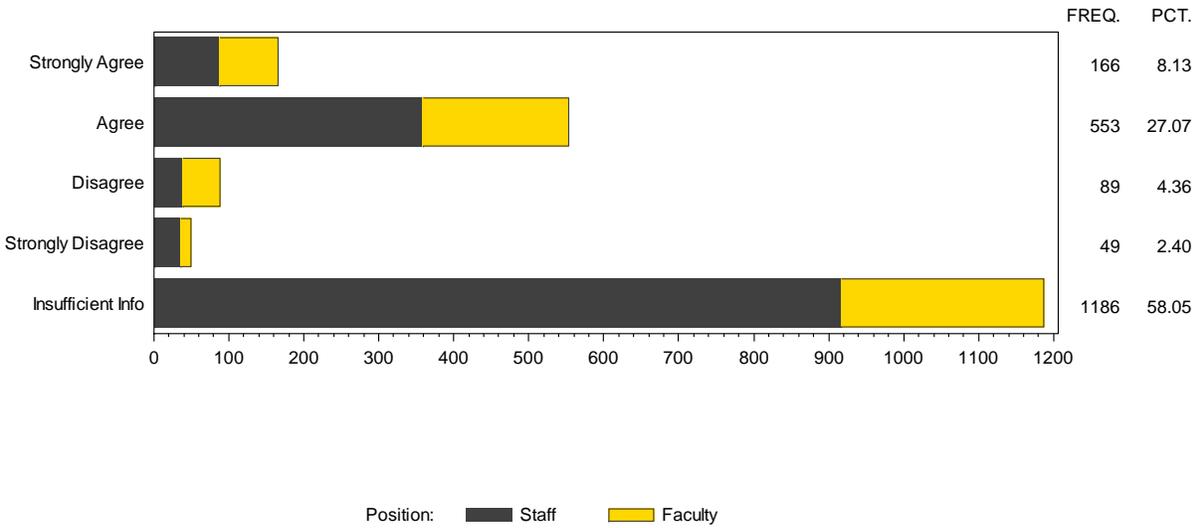
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...

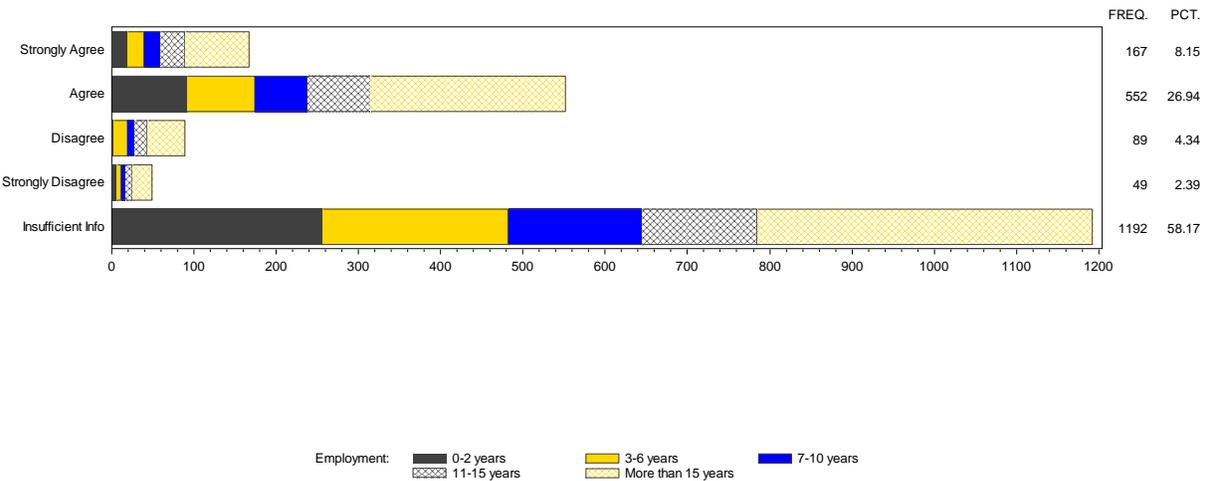


Appendix B: Management

**From what I can see, the Office of the Provost has an effective administrative structure, with sufficient staff and resources to accomplish its mission.
by Position**



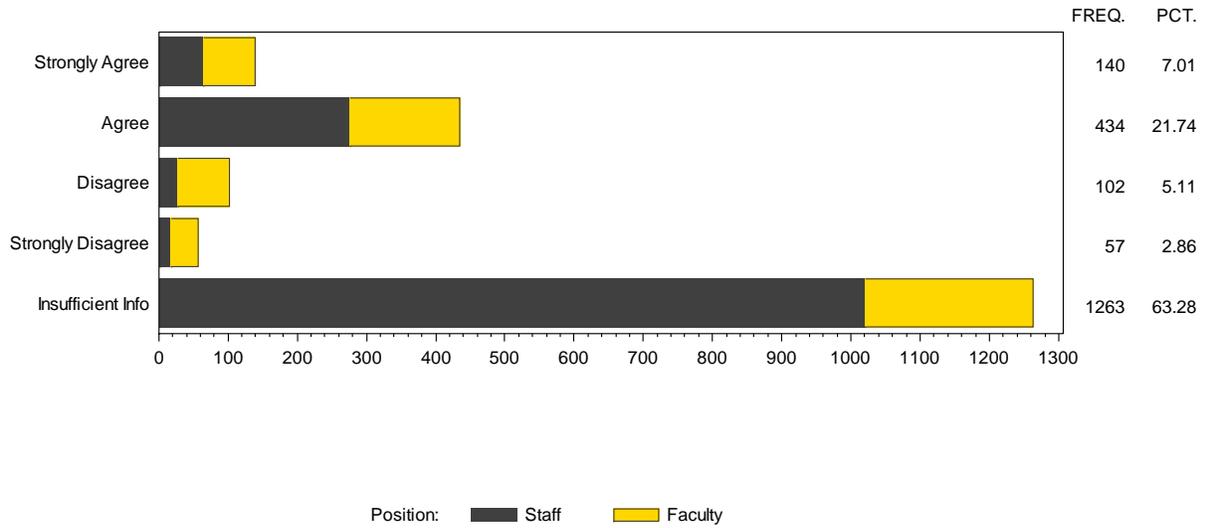
**From what I can see, the Office of the Provost has an effective administrative structure, with sufficient staff and resources to accomplish its mission.
by Length of Employment**



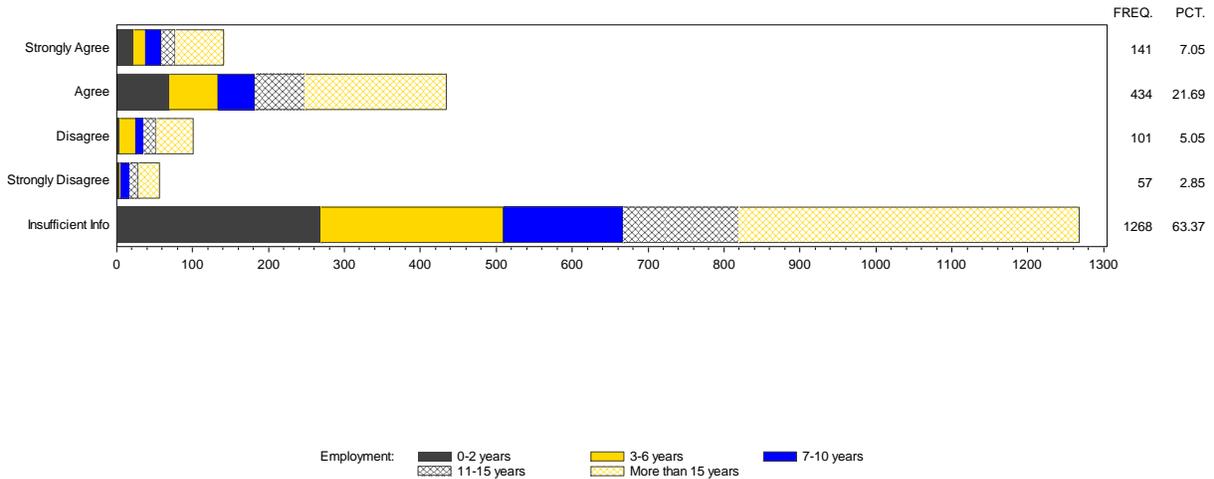
Appendix B: Management

The Office of the Provost is effective in providing leadership, judgment, and support with respect to...

... hiring (e.g., hiring of deans, cluster hires, joint hires).
by Position

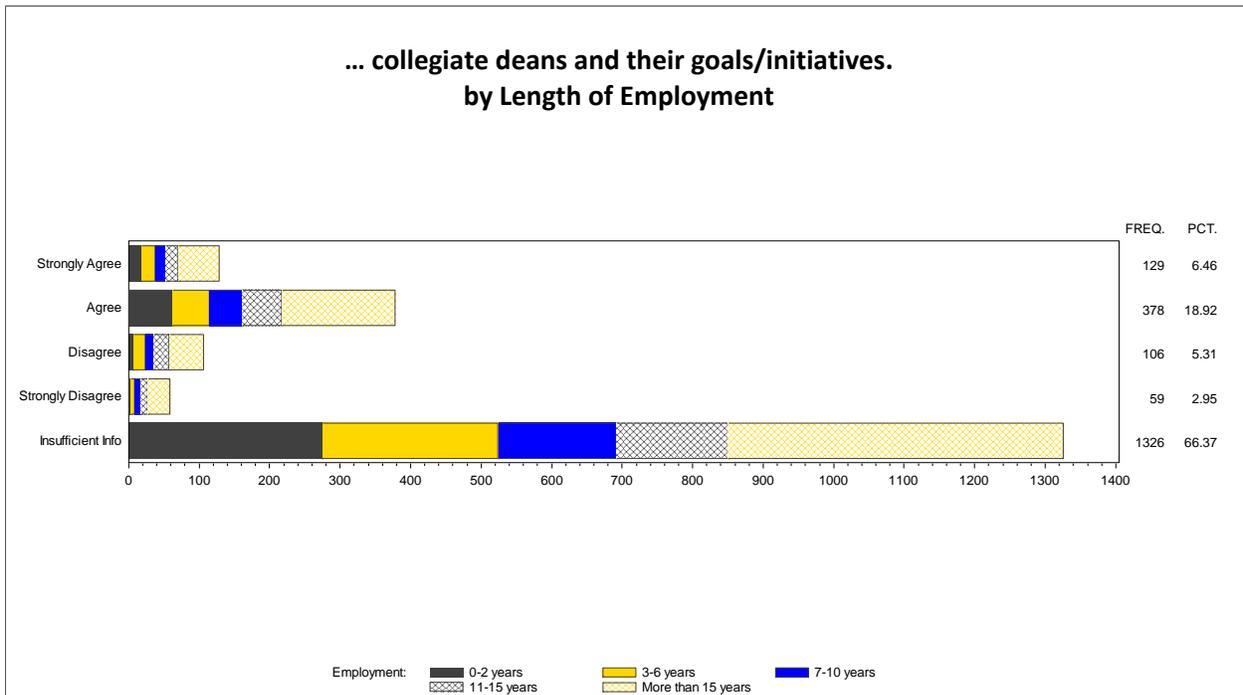
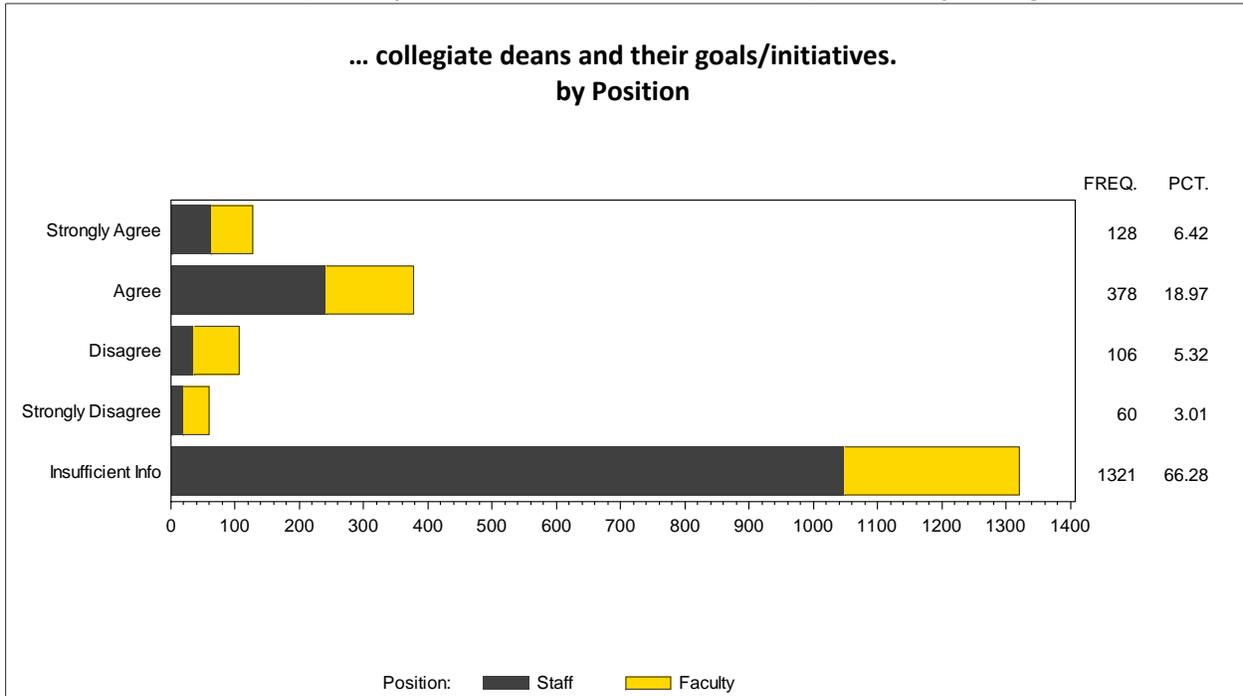


... hiring (e.g., hiring of deans, cluster hires, joint hires).
by Length of Employment



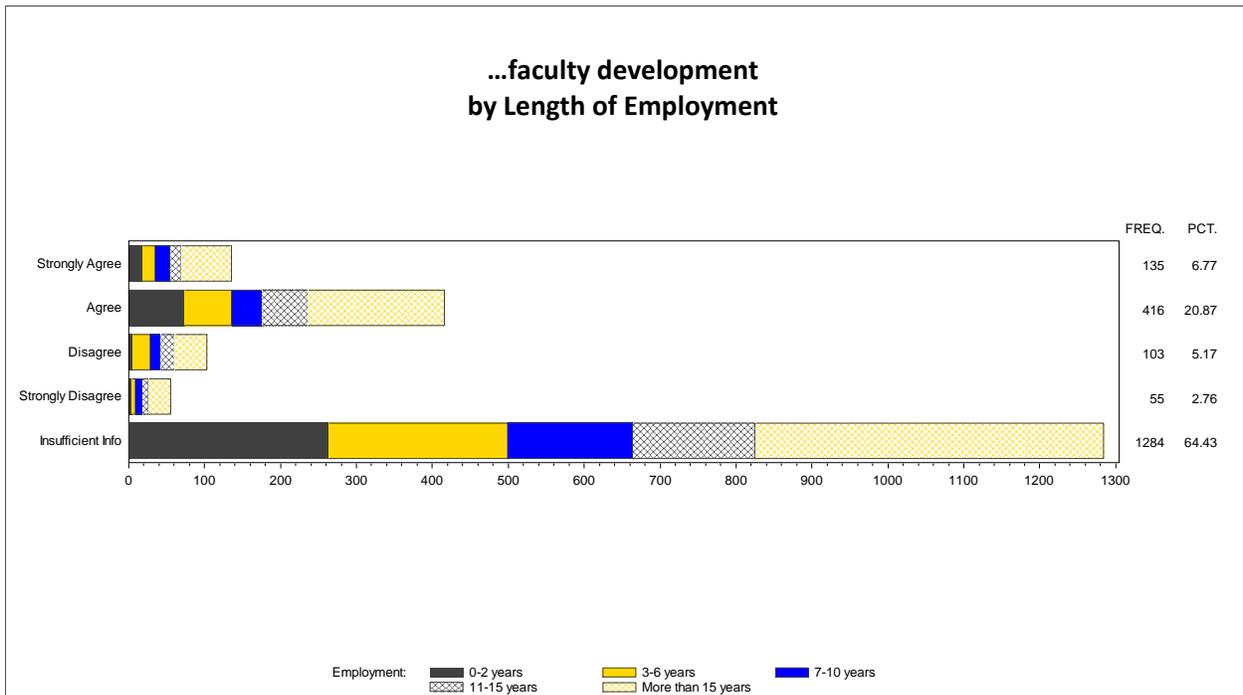
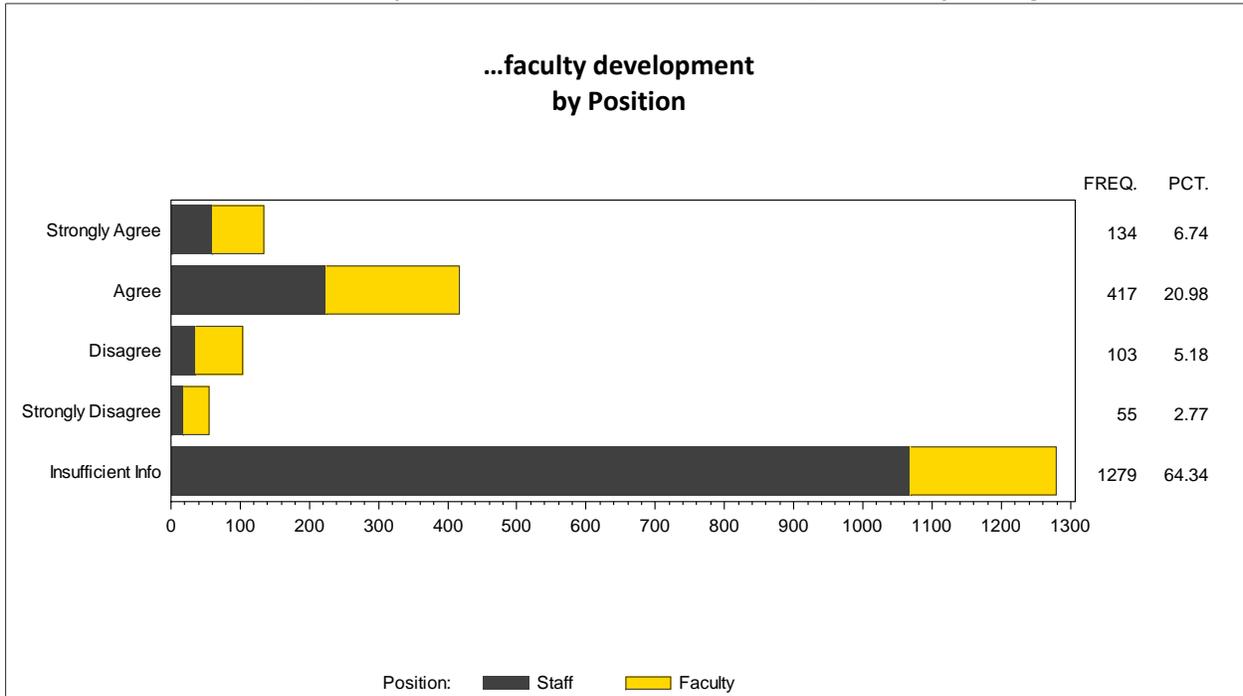
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



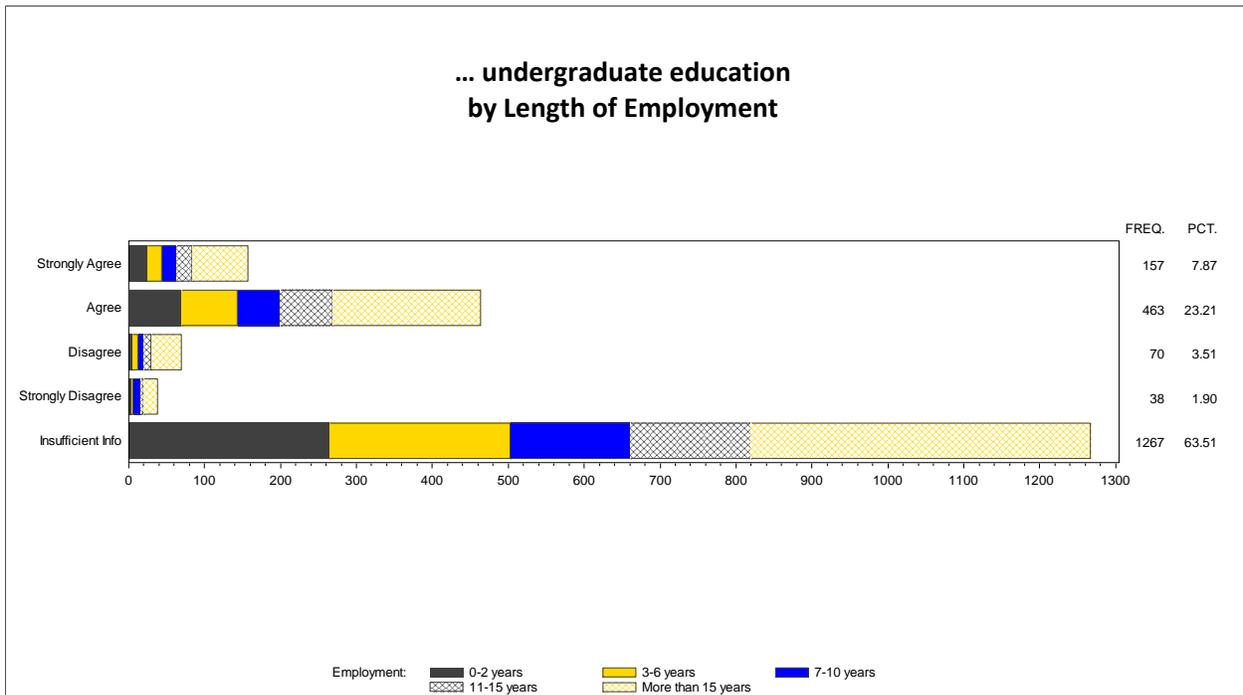
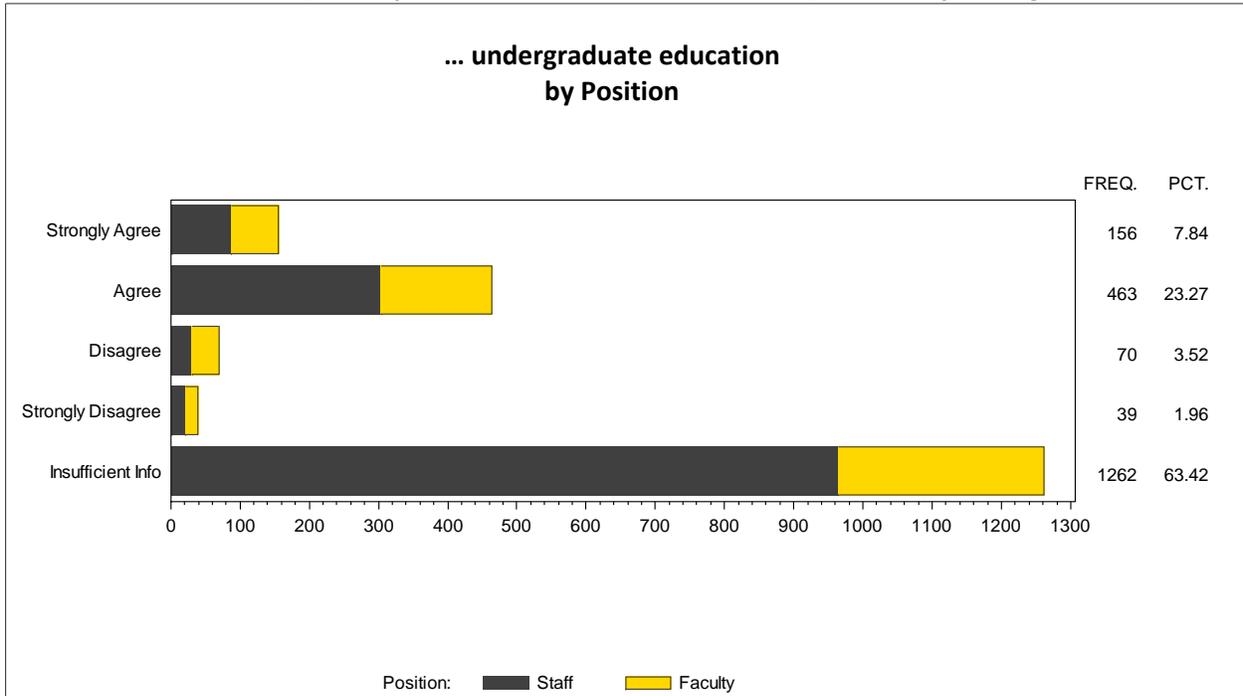
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



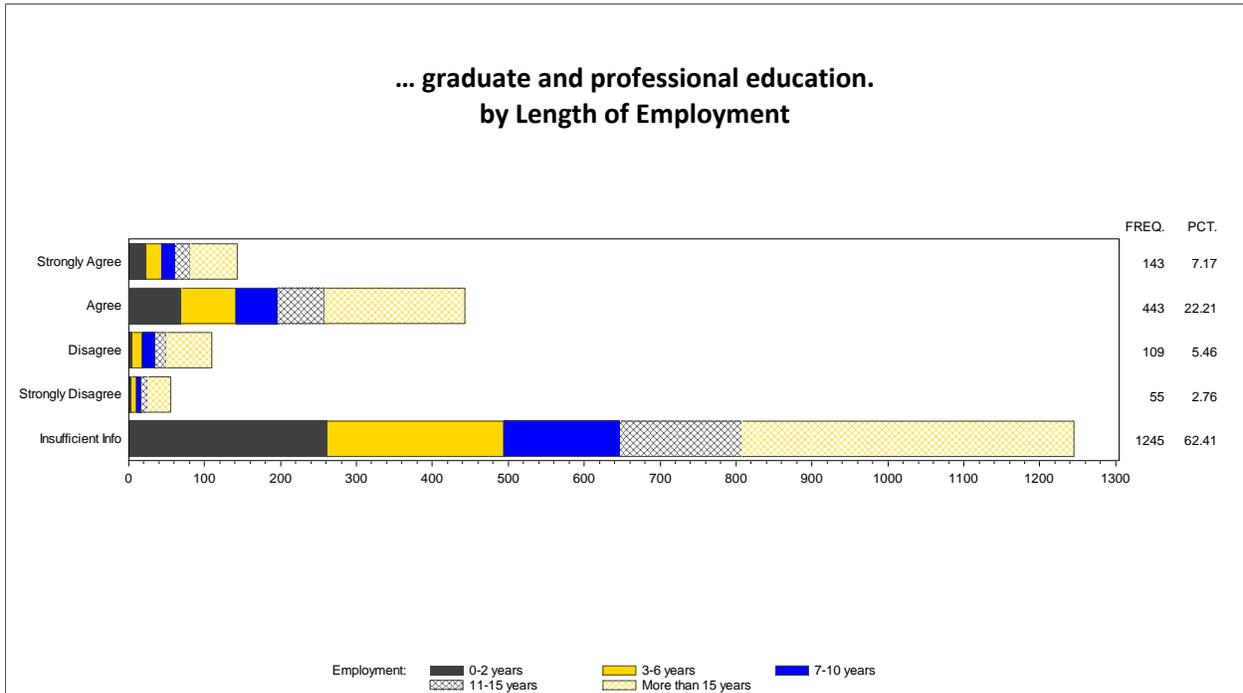
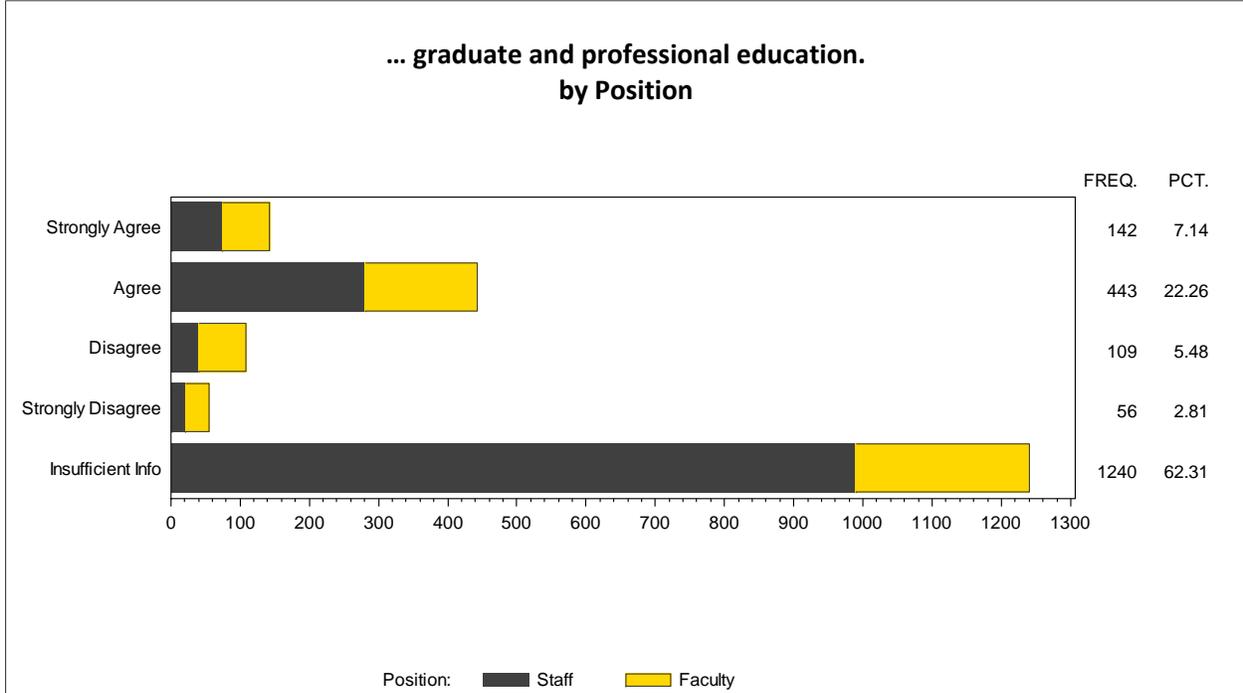
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



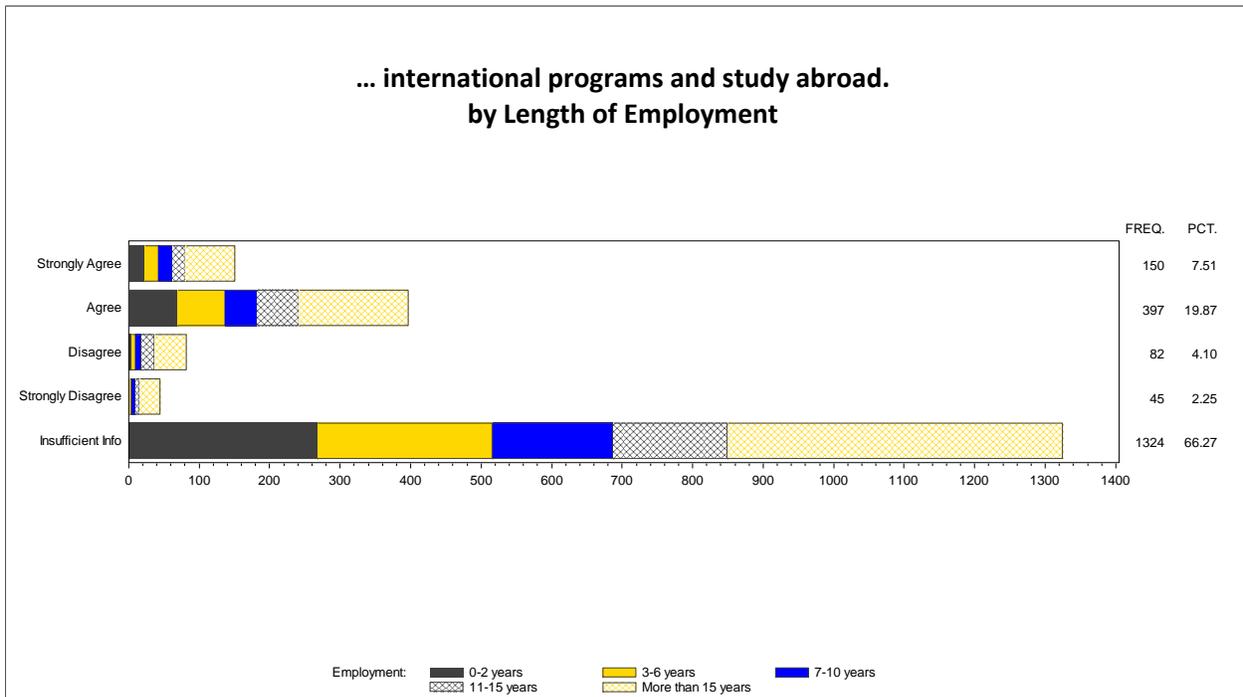
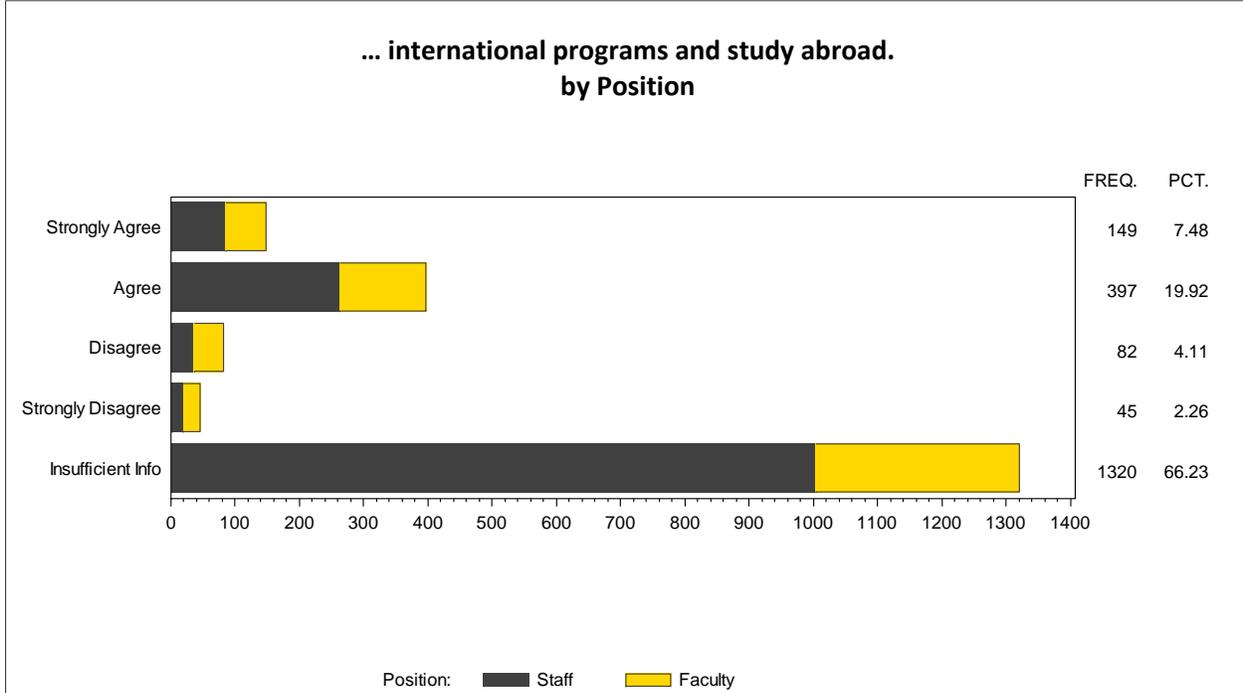
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



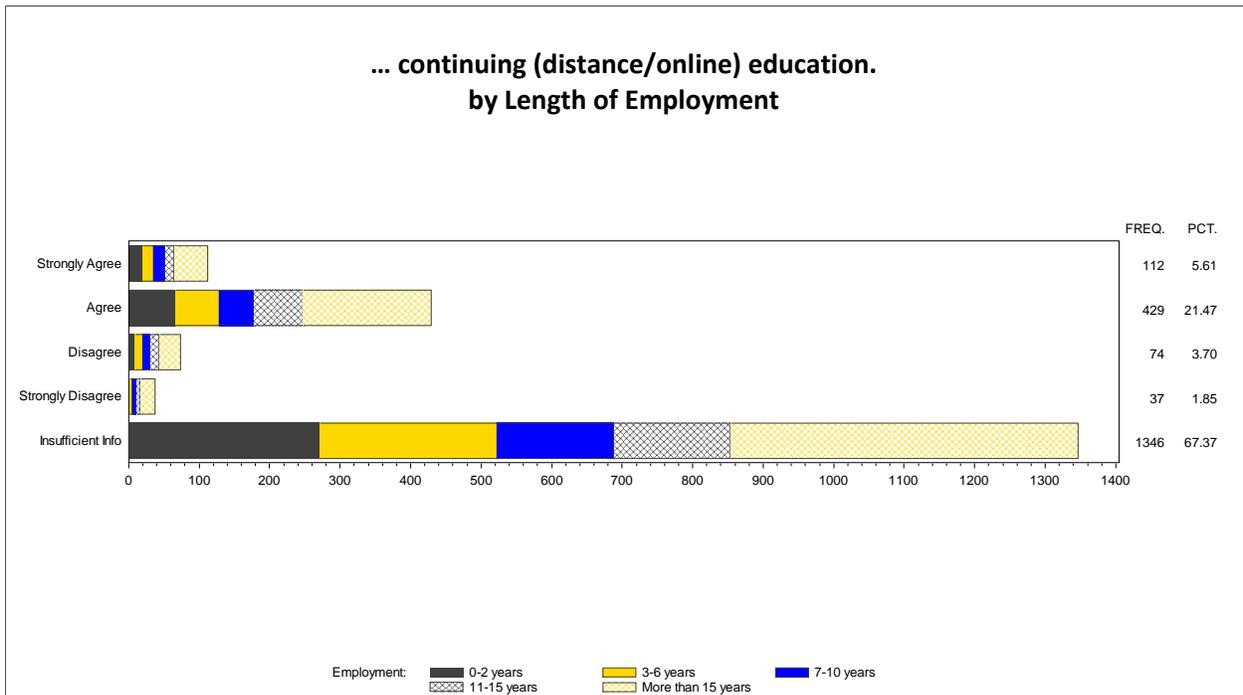
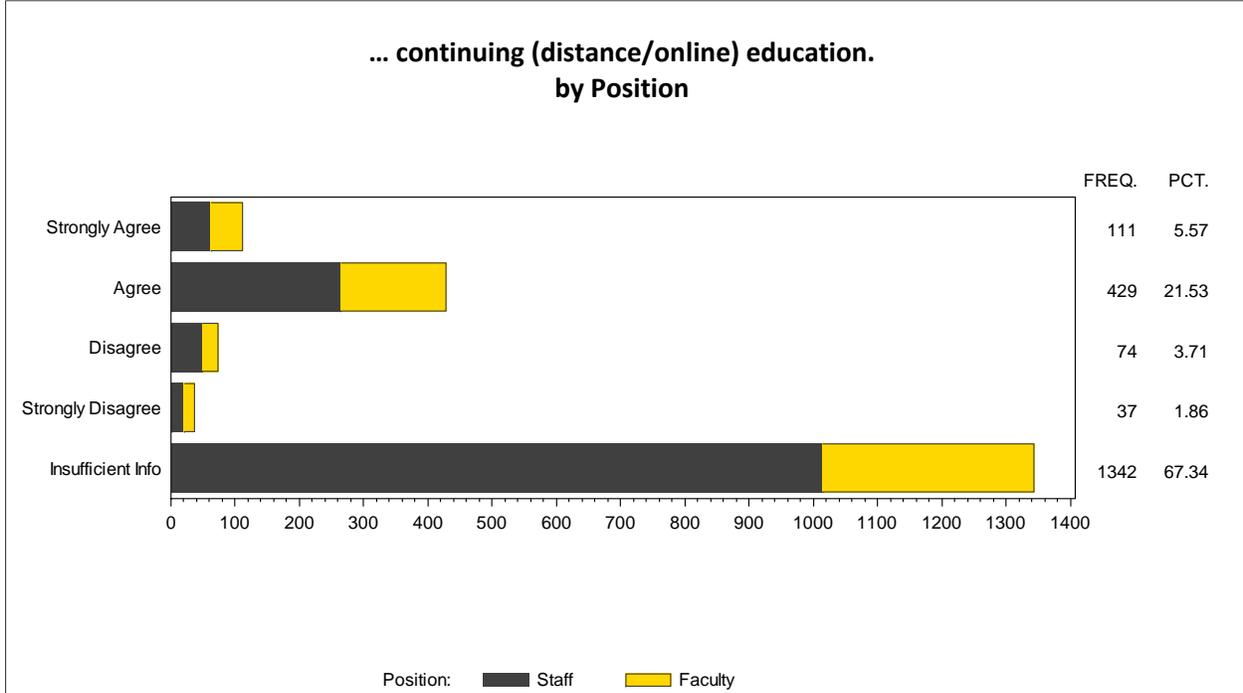
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



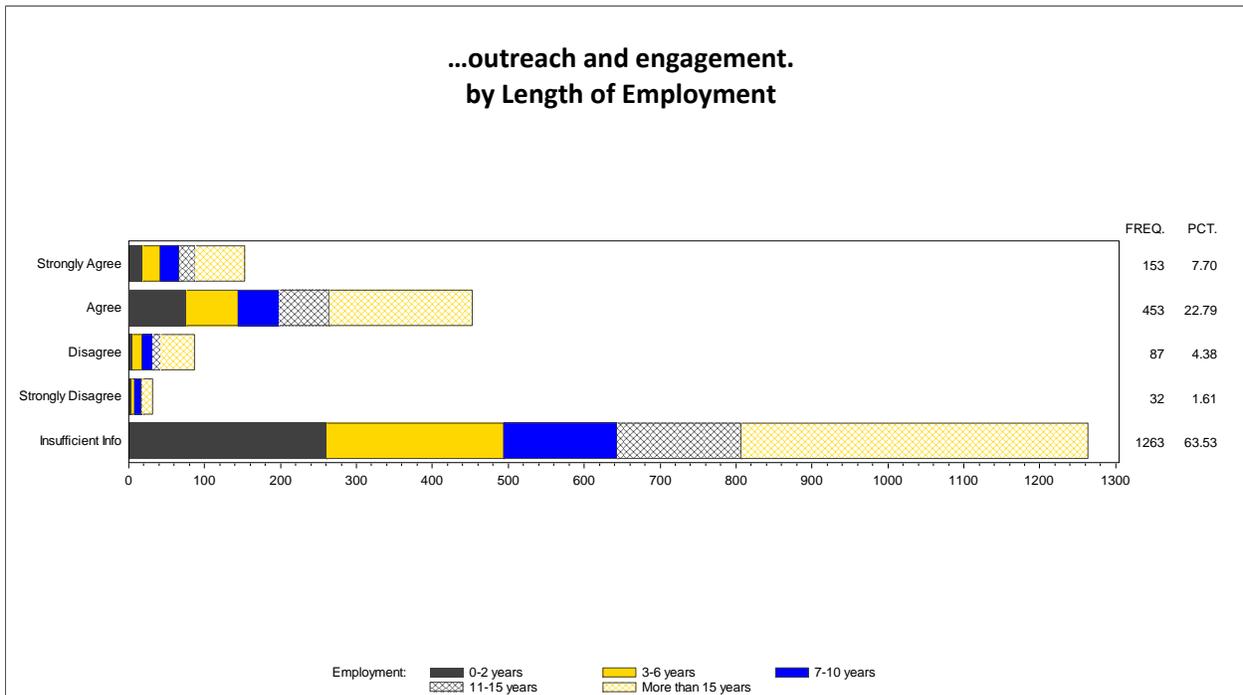
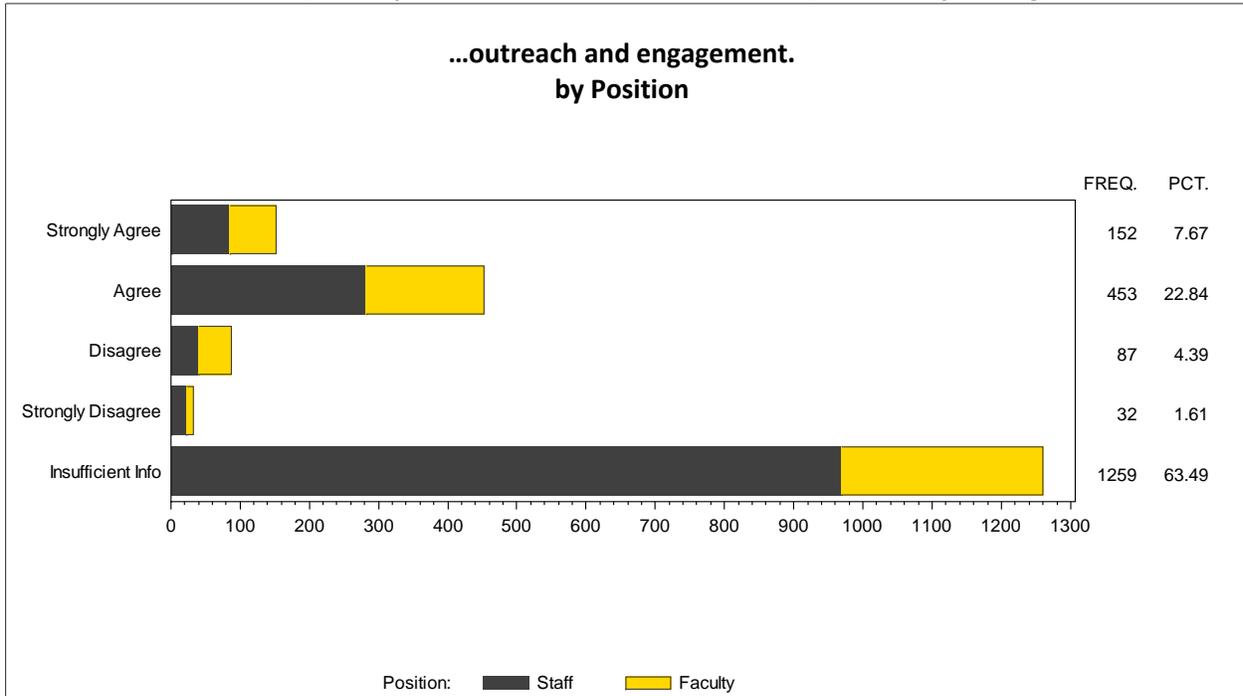
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



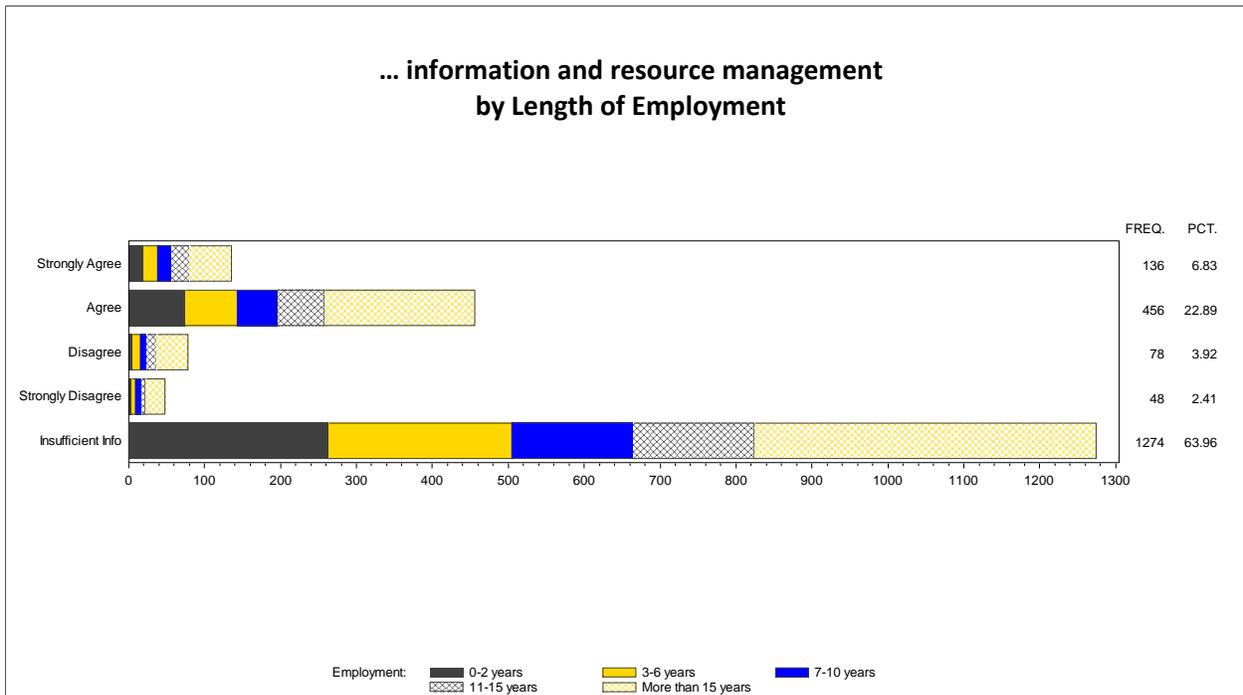
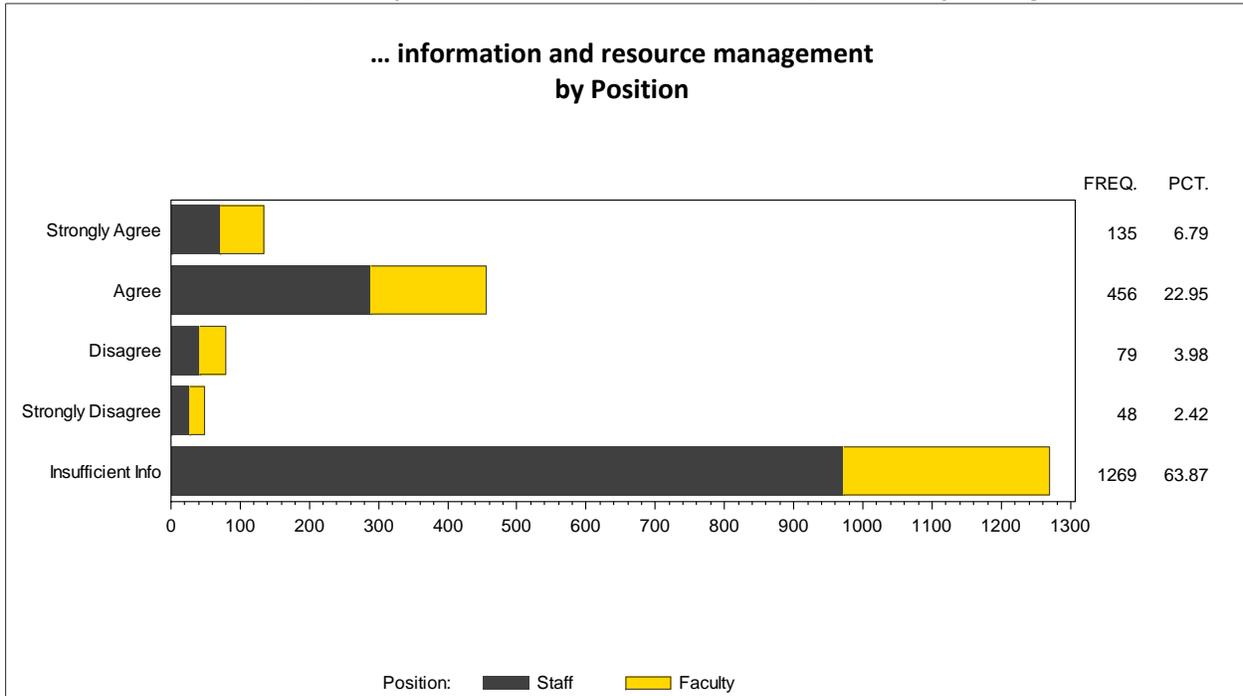
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



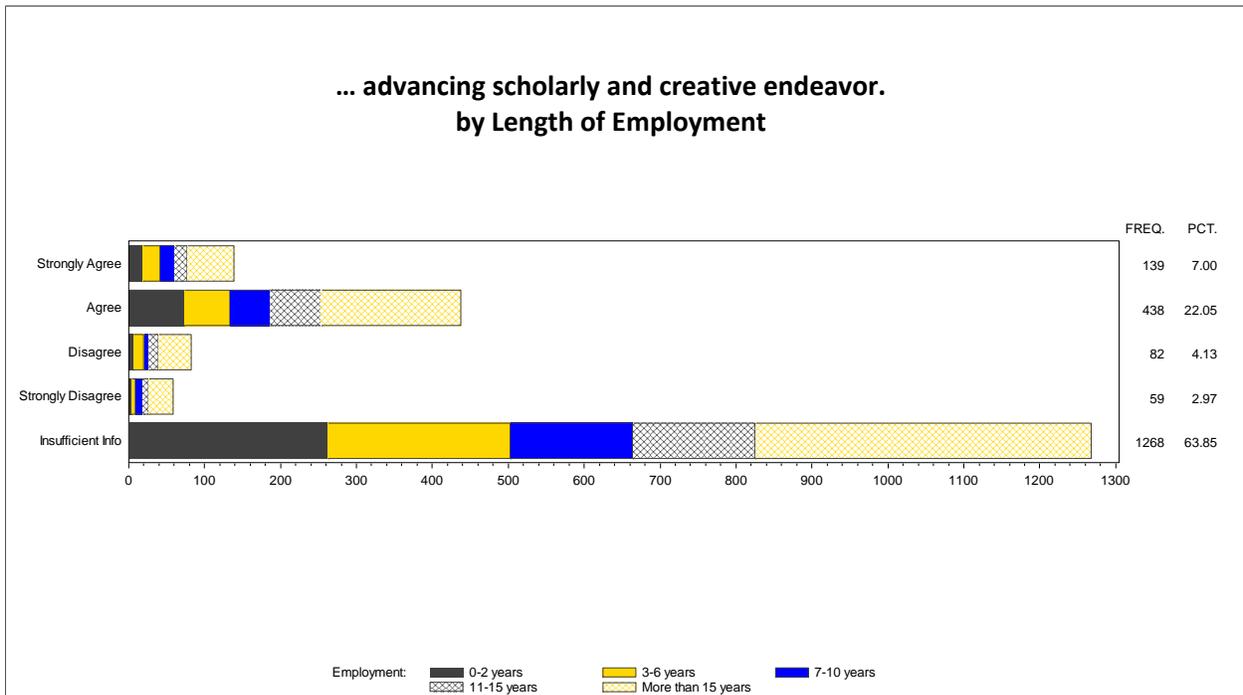
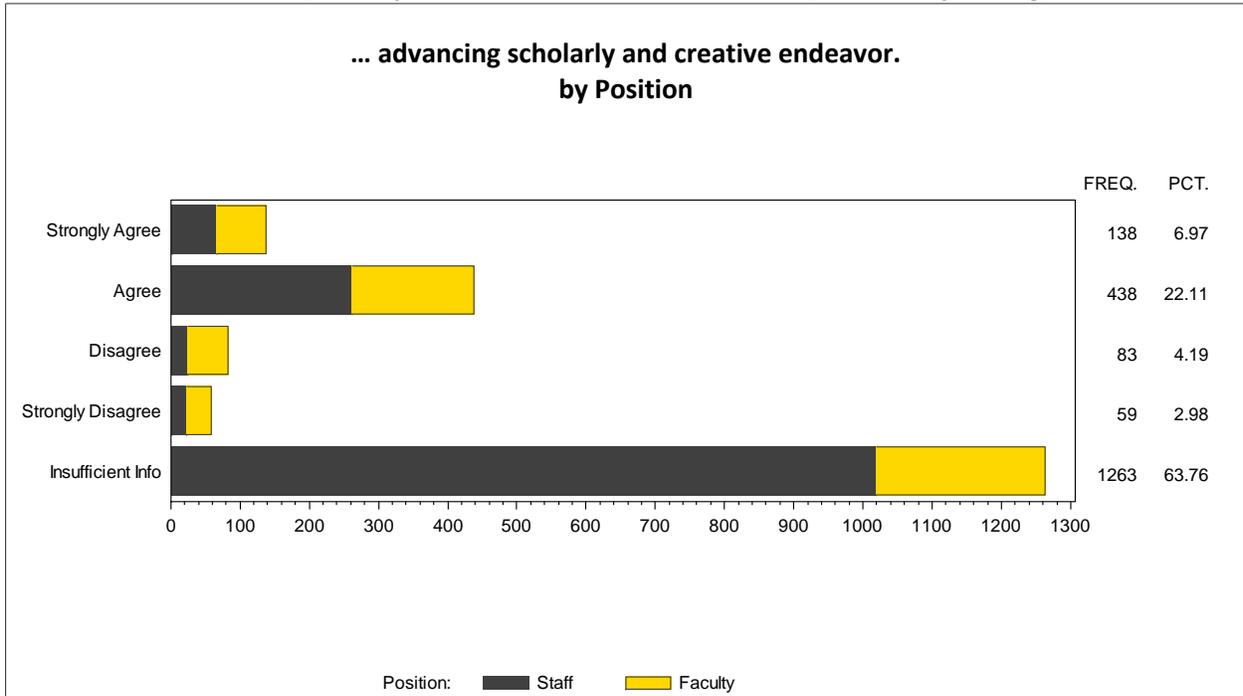
Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



Appendix B: Management

The Office of the Provost, in cooperation with other related offices, effectively manages...



Appendix III: Summary of Individual Responses through E-mail or Conversation:

As we noted in the body of the report, when it surveyed the faculty and staff, the Committee invited survey respondents to provide more elaborate comments to Committee members if they so desired. A few individuals responded to this request by contacting Committee members to raise particular concerns they had with the operation of the Provost's Office. Again, we recognize that it is always difficult to determine how representative suggestions or concerns might be when expressed by individuals initiating discussion. With that caveat in mind, the following issues were raised by comments we received or conversations we had with individuals:

- Some expressed the view that the Provost did not have a sufficiently strong campus presence and that there should be a renewed effort to create as much communication as practically possible between the Provost's Office and other groups (e.g. faculty in individual units) directly affected by Provost Office's decisions. In that connection some strongly encourage the Provost to visit with faculty in their different colleges and departments.
- At least one faculty member expressed frustration with a perceived unwillingness by the Provost's Office (and the central administration generally) to defend vigorously and publicly various aspects of the academic and nonacademic missions of the university (e.g. controversial research by faculty; the operation of internal misconduct policies) when those activities are unfairly attacked in the press or by individuals away from campus. The worry was also expressed that some decisions about controversial subjects are made in response to external political or media pressure and not always according to what is in the best interests of the University.
- There is ongoing concern (from opposite perspectives) about the Provost Office's implementation of University policies concerning faculty misconduct. At least one individual worried that when accused of inappropriate behavior, faculty sometimes don't have an adequate opportunity to clear their reputation through the current procedures that exist. From a different perspective, at least one other feels that when faculty or staff believe that they should report inappropriate behavior, they are discouraged by their conviction that their efforts would be ineffective, and that they would later be left with the need to work in an environment that has become even more difficult.
- Some respondents to the survey expressed concern that central administration's student success initiatives define student success too narrowly in terms of minimal levels of achievement (retention and timely graduation) and did not leave room for sufficient focus on efforts to attract the very best students possible and to create an environment in which students will excel. In this context, one person thought that more of the money currently held for this purpose by the central administration would be better used if given to the various colleges to develop their own student initiatives.
- One person thought that it was time for the Provost's office to engage in a thorough review of the International Program's structure and staffing.

Appendix IV: Operations Manual Instructions on Review of the Office and the Provost

28.4 REVIEWS OF CENTRAL ADMINISTRATION.

a. Purpose. The primary purposes of this academic review program are twofold: 1) to provide an occasion for central administration officers to evaluate their programs and sub-units and, in return, to explain the roles, functions, procedures, and activities of their offices and officers to the faculty; and 2) to permit a systematic faculty evaluation of these offices and officers aimed at making recommendations for improvements in administrative structure and/or performance.

The review procedure is intended to improve the capacity of administrative offices and officers to support and enhance the teaching, research, and service goals of the University. Moreover, the academic review is intended to facilitate communication between administrative officials and the faculty, and to make it possible for the faculty to participate actively in the governance of the University.

b. Timing. The Office of the President and the offices of each vice president and the Executive Vice President and Provost of the University should be reviewed at least once every seven years. The University President shall consult with the Faculty Council in establishing a schedule of reviews.

c. Responsibility. The President of the Faculty Senate and a central academic officer shall be jointly responsible for the conduct of each review. For reviews of the offices of the vice presidents and the Executive Vice President and Provost, the responsible central academic officer shall be the University President. For reviews of the Office of the President, the responsible central academic officer shall be the Executive Vice President and Provost.

d. Scope. The reviews of central academic offices and the coordinated reviews under II-28.5 of central academic officers will focus upon operations that are clearly related to academic affairs or to the welfare of the faculty. In consultation with the administrator of the office under review, the Faculty Senate President and the responsible central academic official may include within the review other operations of that office. The review should represent a comprehensive evaluation of all aspects of the office on which it focuses, with recognition of the mutual dependency of programs and activities.

e. Review Committee.

(1) Membership. The ad hoc review committee for each central administrative office and officer will be appointed by the President of the University Faculty Senate and the central academic officer responsible for

the review, with the advice and consent of the Faculty Senate. Normally, the review committee will consist of seven persons as follows:

(a) Chairperson: Appointed by the Faculty Senate President and the central academic officer responsible for the review with the approval of the Senate.

(b) External reviewer: Appointed as indicated above from among off-campus persons nominated in consultation with the central administrator whose office is to be reviewed.

(c) Two members from the Faculty Senate's Committee on the Selection of Central Academic Officials: Two appointed as indicated above from among the members of this Committee, in consultation with its Chair.

(d) Three additional faculty members: Appointed as indicated above. In the selection of these members, due consideration will be given to the representation of various faculty concerns, including Faculty Senate membership, and to the needs of the review committee for particular kinds of expertise, depending upon the office to be reviewed.

Selection of committee members will be made in accord with general University policies and practices regarding affirmative action.

(2) Budget. In establishing a review committee, the Faculty Senate President and the central academic officer responsible for the review will provide an appropriate budget to make it possible for the committee to perform its duties effectively.

f. Self-Study. In preparation for a review, an office will prepare a self-study for the review committee. This Evaluation and Analysis Report will include, but not be limited to, the office's goals, rationale, programs, services, staffing, resources, internal evaluation processes, relations with other offices, and program strategies for improvement. The office is also encouraged to provide the review committee with the names of faculty members who through frequent interaction with the office may be able to provide the committee with helpful information for evaluating its performance. Within the general categories indicated, the following issues and questions should be addressed:

(1) Goals. What are the various purposes, aims, or goals of the office? How are these goals established and what is the faculty's role in this process? What priorities are given to the principal goals of the office? How have these priorities changed, or what plans for changes in priorities are envisioned? What are the goals of the sub-units of the office? How well do the subordinate administrative units perform?

(2) Rationale. In what ways are the goals of the office compatible with the role of the University and its mission statement? How are the programs administered by the office responding to the needs of the faculty, staff, and students, the people of the State of Iowa, and the nation? How are the office's goals and purposes coordinated with those of other University offices and agencies, and with the Regents of the University? Where appropriate, what are the relationships between the office and the Governor's office, the Iowa General Assembly, and other sources of University support and funding?

(3) Programs. What are the program activities of the office? What subordinate administrative units are involved in these programs? How effective are these programs? What are their strengths and weaknesses? Exactly how is the program effectiveness of the office determined and evaluated?

(4) Services. What are the services provided by the office and its sub-units? What support and facilities are provided to the faculty? How effective are the services provided for or supervised by the office? What plans and undertakings are being considered to upgrade teaching, research, and service facilities? What priorities are attached to present services, or to the logistical support services embedded in future plans?

(5) Staffing. What is the table of staff organization for the office? What are the salaries of staff persons? What are the strengths and weaknesses of the staff? How are staff persons recruited? How is their performance evaluated? Is the present staff adequate to provide the programs and services of the office? What are future staffing plans?

(6) Resources. What is the budget for the office? What priorities govern the allocation of budget resources administered by the office? What proportion of the office budget is allocated for activities or functions directly related to faculty teaching and research? What have been the changes in budgetary support for the office in recent years? How does the office evaluate its budget success? Are administrative costs too high, or too low? What facilities does the office have at its disposal? Are the facilities adequate? If inadequate, what changes need to be made, or are being planned? In general, what new resources are needed to improve the quality of education, research, and service provided by the University?

(7) Internal Evaluation. What are the procedures used by the office for the review and evaluation of that office and its subordinate administrative units? What is the timetable for such reviews? Have there been external reviews of sub-units? Are there plans for such external reviews?

(8) Relations With Other Offices. How does the office and its sub-units interact with other University offices? Does it maintain effective communications, cooperation, and coordination with other offices as needed? Is there duplication or overlap in functions and responsibilities with other offices?

(9) Strategies for Improvement. What areas in the office's performance are most in need of improvement? How does the office intend to improve its performance? What are its development plans? What specific lines of development are being pursued? How is this being accomplished?

These guidelines are intended to aid the office being reviewed in developing an Evaluation and Analysis Report. The report should, to the extent possible, emphasize academically related as opposed to purely housekeeping activities. Foremost in the report should be evaluation and analysis of activities directly associated with faculty teaching, research, and service.

g. Post Self-Study Procedures.

(1) Committee Authority. Specific procedures for conducting the review of central administrative offices and officers will be worked out by each review committee commensurate with the needs for information and assessments particular to the office involved.

(2) Consultation and Access to Information. The committee, in conducting the review, will confer with all persons (including the University President) having responsibility for framing policies, directing the office, or approving procedures that affect the relationship between the office and the faculty. The committee will examine all pertinent documents, and have access to all appropriate and necessary information. Opinions concerning the performance of the academic office and officer under review shall be solicited from members of the University community by at least the following means (as well as by any others deemed by the committee to be appropriate):

(a) publication in *fyi* of a call for such opinions;

(b) notification of the request for such opinions through the channels of administrative organization: deans to notify DEOs, DEOs to notify departmental faculty; a parallel method is to be used to bring the review to the attention of staff;

(c) the committee will attempt to identify faculty and others who because of their interaction with the office being reviewed may have especially useful information to provide to the review

process, and the committee will solicit the comments of such persons.

(3) Meetings. The committee will meet as often as necessary to prepare their reports and recommendations.

(4) Committee Report. The review committee will prepare an Office Report, which will become a public document and will not contain confidential information related to the evaluation of the performance of the administrative officer. The report will summarize the findings of the review committee, and will include any recommendations it deems appropriate. This report will address the issues required to be discussed in the office self-study. A draft of this report will be submitted to the administrator of the office under review, primarily to allow for an opportunity to correct assertions of fact. The committee will meet and confer with the administrator under review and with the University President (or, if the University President is under review, with the President of the Board of Regents) to explain and discuss the principal recommendations in the draft report.

Once these processes have been completed, the final report will be forwarded to the President of the Faculty Senate and to the central academic officer responsible for the review. Copies of the final report will also be submitted to the administrator of the office under review (who may make copies for subordinates in or reporting to that office); if the President's office is under review, to the Board of Regents; and to the Chair of the Senate's Committee on the Selection of Central Academic Officials.

Appropriate provision will be made to have copies of the office's Evaluation and Analysis Report and the review committee's Office Report available to all University faculty members.

(5) Follow-up. The Chair shall reconvene the review committee approximately one year after its report is submitted to determine to what extent the recommendations contained in its report have been or are being implemented. At least three weeks in advance of this meeting, through *fyi*, the committee will solicit from the University community, perceptions of the effectiveness with which the recommendations of the Office Report have been implemented.

When the review was of a vice president's office, this meeting will include the President of the University, the vice president whose office had been reviewed, and the President of the Faculty Senate.

When the review was of the President's Office, this meeting will include the President of the Board of Regents, the President of the University, and the President of the Faculty Senate.

h. Procedural Variations. The central administrator responsible for a review and the Faculty Senate President shall consider and may jointly approve departures from these procedures in the case of particular reviews, where the responsible administrator and the Faculty Senate President, in consultation with the officer being reviewed and with the Faculty Council, agree that variations from these procedures are appropriate and would be consistent with the purposes of the review.

28.5 MULTI-YEAR ACADEMIC REVIEW OF ADMINISTRATORS.

(Amended 2/07)

The procedures described in this section pertain to periodic reviews of central academic officers (President, Executive Vice President and Provost, vice presidents) and deans. These procedures do not pertain to the review of other academic officers reporting to central academic officers or to deans, which fall under II-28.6 below. Procedures for the review of departmental executive officers and program heads and directors are described above in II-28.3(2).

a. Purpose. A periodic review of an academic administrator should have the following objectives:

- (1) to develop a meaningful basis for the decision about whether or not to reappoint an administrator who is on a term appointment,
- (2) to provide support for the continued appointment of of an administrator who is appointed at will,
- (3) to enhance administrative performance of the administrator,
- (4) to increase professional development for the administrator, and
- (5) to improve accountability of the administrator to appropriate constituencies.

b. Timing. Periodic reviews of collegiate deans shall occur every five years without regard to the timing of the review of the college. Reviews of central academic officers shall coincide with the periodic review of the officer's office or academic unit. Ad hoc reviews of deans may be conducted outside the five-year cycle according to the provisions of II-28.5i below.

c. Responsibilities:

- (1) The individuals with responsibility for initiating periodic reviews of academic offices and academic units, as specified above in II-28.2

Collegiate Review and II-28.4 Reviews of Central Administration, also have the responsibility for initiating periodic reviews of the respective academic officers. These individuals (hereinafter "initiators") shall receive the report of the review committee and shall be responsible for determining whether or not to offer the administrator a reappointment for an additional term.

(2) The administrator shall be responsible for preparing for the initiator and the review committee a self-assessment of his or her performance during the period under review. The self-assessment shall take into account recommendations of prior reviews, the goals and mission, and, if applicable, the most recent strategic plan of the office or academic unit. The administrator's self-assessment shall be delivered to the initiator before the review committee is appointed.

(3) The review committee shall work with the initiator to prepare an assessment tool (e.g., web survey) for the review.

(4) The review committee shall be responsible for gathering any additional information that it thinks necessary to prepare an assessment of the administrator's performance.

d. Review Committee Membership. For each periodic and ad hoc review, a review committee (hereinafter the "committee") shall be organized to compile information and make recommendations to aid in the overall assessment of the administrator. For reviews of central academic officers, the composition of the committee shall be as described above in II-28.4. For the review of deans, the composition of the committee will be determined by the Executive Vice President and Provost. The size of the committee may vary, but, at a minimum, each committee shall include:

(1) One faculty member from outside the college.

(2) Two faculty members from the college, selected in consultation with the faculty of the college.

(3) One staff member from the college selected in consultation with Staff Council.

For the purposes of this subsection, the definition of "faculty members" is equivalent to the definition of faculty members who may vote in collegiate elections of representatives to the Faculty Council and Faculty Senate.

e. Scope. The committee shall evaluate the administrator's performance within each of the following areas, taking into account the degree to which each area relates to the administrator's responsibilities. The committee should consult with

the initiator in identifying those aspects of the following areas that are most pertinent to assessing the administrator's performance:

(1) Goal formation and attainment. Has the administrator taken a leadership role in formulating appropriate goals for the office or unit, reflecting awareness of educational and professional trends, and has he or she consulted with faculty of the office/unit in the process of doing so? If goals were agreed upon at the beginning of the period under review, to what degree have those goals been attained?

(2) Scholarship. Does the administrator encourage scholarship among the faculty and does he/she create an environment that fosters and encourages scholarly pursuits? Does he or she recognize excellence in scholarship?

(3) Educational leadership. How well does the office/unit fulfill its educational mission? How effective is the administrator in stimulating discussion of new ideas about teaching and in encouraging and guiding promising developments through to implementation? Has the administrator helped to provide an environment within the office/unit and between the office/unit and other parts of the University that enhances the educational efforts of faculty and students? Does the administrator establish a congenial educational environment?

(4) Personnel management. Does the administrator show concern for and zeal in recruiting or encouraging the recruiting of the highest quality new appointments available? How well does the administrator do in choosing, evaluating, and supervising subordinates reporting directly to him or her? How well does the administrator's office perform in general?

(5) Resource management. Does the administrator seek to obtain resources that are adequate to enable the office/unit to achieve its full academic potential, and does he or she arrange for appropriate support services for the office/unit?

(6) Relationships among constituencies. Does the administrator establish and enhance good working relationships with faculty, staff, students, external constituencies, and those other administrators with whom the administrator regularly interacts?

(7) Planning and policy making. Does the administrator: 1) involve the faculty and other relevant constituencies in planning and policy making; 2) provide opportunities for consultation through individual and group meetings; and 3) provide information (with the exception of information to which access is restricted by other policies) in a timely, full, and open manner to facilitate effective participation in planning and policy making?

(8) Human rights and diversity. Does the administrator provide effective leadership in the implementation of University policies relating to human rights and diversity, including policies on affirmative action?

(9) Promoting constructive innovation. Does the administrator encourage constructive suggestions for new goals or programs, or new ways for accomplishing ongoing goals more effectively?

(10) Scope of leadership. Has the administrator demonstrated knowledge of developments and educational leadership beyond his or her office/unit, including campus-wide leadership and leadership at the state or national level, as appropriate to his or her responsibilities?

f. Procedures.

(1) The committee shall devise mechanisms for obtaining information and evaluations from relevant faculty, staff, and students with regard to the relevant performance areas identified in section e. The chair of the committee will consult with the initiator concerning the mechanisms to be used, and the identity of any other constituencies from which information or evaluative statements should be solicited.

(2) Central Academic Officers. The review committee evaluating a central academic officer will be responsible for soliciting from all members of the University community written and/or oral evaluations of the performance of the officer and the office under review. The committee will meet as often as necessary to review, discuss, and summarize in writing the results of this evaluation process, and to prepare any recommendations they deem appropriate.

(3) Reviews of deans. In partial fulfillment of their duties under the preceding paragraph, committees reviewing deans shall collect, through a questionnaire, anonymous faculty evaluations of the administrator. The questions will be informed by the categories of administrative performance listed in section e to the extent that they are relevant. The faculty questions will conform to the requirements of paragraphs (a)-(c) below, while the form and content of the questions directed at staff and students will be within the committee's discretion.

(a) Faculty respondents will be instructed to circle their responses for a single category/number on the following scale: *No Chance to Observe / 1 Strongly Disagree / 2 Disagree / 3 Agree / 4 Strongly Agree*. Each question will also provide an opportunity for a qualitative narrative response.

(b) At a minimum, the faculty questionnaire shall ask respondents to indicate the degree to which they agree or disagree with the following five statements (the "core questions"):

(i) The dean has my trust and respect. [1 / 2 / 3 / 4]

(ii) The dean does a good job in discharging the teaching mission of the unit. [*No chance to observe* / 1 / 2 / 3 / 4]

(iii) The dean does a good job in promoting the quantity and quality of faculty scholarship. [*No chance to observe* / 1 / 2 / 3 / 4]

(iv) Overall, the dean is effective. [*No chance to observe* / 1 / 2 / 3 / 4]

(v) The dean should be re-appointed for another term. [*Yes / No*]

g. Review Report.

(1) Preparation. The committee is responsible for assembling the information obtained from faculty, staff, and students; formulating conclusions; and making a recommendation concerning the retention of the administrator. It shall compile a report containing this information, and those conclusions and recommendations shall be confidential.

(2) Opportunity for Response. Upon completing its report, the committee shall transmit the report to the initiator who shall provide the administrator with a complete copy and permit the administrator to prepare a written response within 30 days.

(3) After receiving the administrator's response, if any, the committee will finalize the report.

(4) Informing faculty in the case of reviews of deans. In the case of such reviews, the Executive Vice President and Provost shall, after receiving the final report assembled under this section and in consultation with the review committee, transmit the recommendations and the substance of the committee's evaluation to the constituent faculty. Transmission to the faculty shall be within two months of the Executive Vice President and Provost's receipt of the committee's report, but not in the summer. In transmitting the results of the faculty questionnaire, the Executive Vice President and Provost shall report the response rate (the number and the proportion of the constituent faculty completing the questionnaire) and the aggregate responses (mean, standard deviation, median, and specific distribution) to each question posed to the faculty in the questionnaire, subject to the following limitations:

(a) If the Executive Vice President and Provost decides not to reappoint the administrator, or the administrator elects not to seek reappointment, it will be solely within the Executive Vice

President and Provost's discretion which of the aggregate responses, if any, are reported to the faculty.

(b) Responses to the five core questions as defined in paragraph f(3)(b) above must be reported to the constituent faculty. The Executive Vice President and Provost has discretion to share or not share the specific responses to the other questions provided the Executive Vice President and Provost gives the faculty a summary of the strengths and weaknesses identified in the evaluation.

(c) In every case, the Executive Vice President and Provost shall consult with the review committee concerning the transmission of the substance of the review committee's report to appropriate constituencies other than faculty, such as students and staff.

(5) Informing Relevant Constituencies in the Case of Reviews of Central Academic Officers. The final report shall be distributed in the manner provided in paragraph g(4) above.

h. Initiator's Assessment of the Administrator's Performance.

(1) Initiator Assessment. An additional step is required in the review of every administrator who is eligible for and willing to provide continued administrative service. This final step shall be an explicit written affirmation by the initiator that continued service by the administrator would be in the best interests of the University. Such an affirmation may be unconditional, or may be conditioned on changes in subsequent performance or on the receipt of a positive assessment of the administrator under a future ad hoc review. Administrators should consult with the initiator regarding guidelines for the handling of instances in which no affirmation is possible, or in which the initiator believes some significant improvement in performance is necessary, even if the administrator's performance is not so weak as to warrant a change in administrative leadership.

(2) Reporting. In addition to the communication called for by paragraph g(4) above, each constituency consulted in connection with a periodic review of an administrator shall receive appropriate and timely feedback as to the initiator's decision regarding the administrator. This shall include express notification of the faculty that the initiator has affirmed that continued service by the administrator would be in the best interests of the University. In the event that the initiator makes a determination that is at odds with the retention recommendation of the review committee based on its overall assessment of the administrator, the initiator shall discuss with the faculty the reasons for reaching a contrary determination.

i. Ad Hoc Reviews.

(1) Constituent faculty may conduct ad hoc reviews of their administrator. Such reviews shall occur when ordered by the initiator: 1) on his or her own motion, 2) upon the request of the administrator, or 3) upon the request of the faculty pursuant to paragraph i(2) below.

(2) The faculty, as defined in paragraph d(1)(c) above may request an ad hoc review of the administrator by petitioning the initiator. If 50 percent or more of the faculty petition the initiator, he or she shall order an ad hoc review. If 25 percent to 50 percent of the faculty petition the initiator, he or she shall meet with the petitioning faculty and discuss the request. Thereafter, the initiator shall decide whether to order an ad hoc review.

(3) Ad hoc reviews will be conducted in the same manner as periodic reviews subject to modifications jointly agreed upon by the initiator and the committee pursuant to paragraph j below.

j. Procedural Variations. The initiator may consider and approve, for good cause shown, departures from these procedures in the case of particular reviews, if the initiator and the review committee agree that variations from these procedures are appropriate and would be consistent with the purposes of the review.

* P. Barry Butler, Executive VP and Provost of the University of Iowa, consents to the use of this personnel information in the Review of the Office of the Provost dated May 2014.