

**FIVE-YEAR SENIOR LEADERSHIP DEVELOPMENT ASSESSMENT
PROCESS SENIOR MANAGEMENT GROUP (SMG) MEMBERS
ADMINISTRATIVE GUIDELINES**

Background

Pursuant to [Regents Policy 7702 – Performance Management Review Process](#), a five-year senior leadership development assessment of all Senior Management Group (SMG) members will be conducted once every five years. At the discretion of the Chancellor, reviews may be conducted earlier. SMG members include the Provost/Executive Vice Chancellor, Vice Chancellors, University Librarian, University Extension Dean, Campus Counsel, Vice Chancellor/Dean of the School of Medicine, and Chief Executive Officer of UCR Health.

This process is intended to provide broader feedback than is usual with an annual performance evaluation, including assessment of administrative effectiveness, identification of accomplishments and challenges, and discussion of progress toward campus and unit goals, as well as a managerial coaching and development exercise. Throughout the review process, the utmost confidentiality shall be maintained.

For the University Librarian, University Extension Dean, Vice Chancellor/Dean of the School of Medicine, and the CEO for UCR Health, the Provost/Executive Vice Chancellor will inform the SMG member, appoint the confidential review committee, and conduct the five-year senior leadership development assessment, in consultation with the Chancellor. The Chancellor will conduct the assessments for all other SMG members.

Composition of Confidential Review Committees

For each five-year review conducted, a confidential review committee will be appointed to review the performance and accomplishments of the SMG member under consideration and to report its findings to the Chancellor. The confidential review committee will be composed of at least three and not more than five members of the campus community who have a clear understanding of the role of the SMG member and knowledge of the unit for which they are responsible. No committee member shall have a direct or line reporting relationship to the SMG member under review. Committee members will be appointed by the Chancellor, who will designate one committee member as chair. The SMG member under evaluation will have the opportunity to provide a list of individuals who would not be appropriate to serve on the confidential review committee, along with a rationale for the exclusion.

Charge to Review Committees

1. To review and evaluate the performance of the SMG member during the previous five-year period based on the defined criteria for evaluation.
2. To solicit and review input from a spectrum of persons knowledgeable about the quality and effectiveness of the SMG member's performance (including faculty, staff, and, if appropriate, selected students), and to assess and summarize the information in a balanced, thoughtful, and fair manner, while maintaining strict confidentiality.
3. To provide the Chancellor with a confidential written report of the findings and conclusions of the committee.
4. To conduct all activities of the review committee in a timely and confidential manner.

Criteria for Evaluation

While specific responsibilities vary widely, SMG members share a number of general responsibilities regardless of the functional areas overseen. Based on these general responsibilities, the following evaluation criteria will be considered for all SMG members:

1. Contributions toward the overall goals and vision for the University of California Riverside.
2. Establishment of clearly defined goals and vision for the unit, in support of the broader campus and university mission, and communication of those goals to both members of the unit and the campus community at large.
3. Leadership to program heads and/or department chairs to achieve the goals of the unit.
4. Recruitment, retention, and development of diverse and high-quality staff, administrators, and faculty (as appropriate).
5. Stimulation and facilitation of innovative approaches for the achievement of unit goals and objectives, and the development of creative solutions to challenges.
6. Efficient management of unit operations, including budget administration, personnel reviews, and other administrative responsibilities.
7. Maintenance of effective communications with the unit, campus community, Office of the President, and external constituencies as appropriate.
8. Promotion of diversity, inclusiveness, and equity.
9. Service as a collegial, collaborative, and contributing member of the campus senior leadership team.
10. Leadership in the long-range planning and development for the unit.
11. Support of UCR's Principles of Community and a positive campus climate.
12. Representation of the campus with the Office of the President and related senior UCOP officers.
13. Representation of the unit and UCR at community, state, and national levels.
14. Facilitation of productive partnerships on behalf of the campus.

Procedures

1. The review shall be conducted under the general direction of the Chancellor, who will attend the first meeting of the confidential review committee to discuss the charge and process, as well as expectations for conducting a serious, meaningful, and confidential review.
2. The committee will work under the direction of its chair.
3. All committee members will sign a statement of confidentiality ([Appendix A](#)) and are responsible for maintaining confidentiality during and after the process.

4. All communications to and from the committee will be handled through the Chancellor's designate. They will be responsible for coordination and oversight of the process and for taking measures to maintain strict confidentiality throughout. The Chancellor's designate will assist in arranging meetings, providing space to review confidential letters, gathering additional information as necessary, and assisting with the report, if requested.

5. Prior to the onset of each review, the SMG member will be asked to provide a list of potential references, both internal and external, who should be solicited for comment. They will also provide a self-assessment statement on achievements and challenges during the period under consideration, which will be made available to the public. Further information from the administrator may be solicited through the Chancellor's designate, should the committee deem it necessary.

6. At the beginning of each review, confidential feedback will be solicited from internal and external references. Names will be drawn from lists generated by the SMG member, members of the review committee, and the Chancellor. See [Appendix B](#) for a sample solicitation letter.. The feedback (electronic responses/letters of evaluation) will be considered in development of the committee's report to the Chancellor.

7. The review process shall be conducted in a timely manner, normally within 12 weeks from the time letters are solicited.

8. The report of the committee, along with the electronic feedback/letters of evaluation, will be submitted to the Chancellor. The review committee may ask to meet with the Chancellor at any point in the process.

9. The confidential report informs a discussion between the Chancellor and the SMG member under review. At their request, and subject to applicable university policies, state and federal law, the SMG member may be provided with a redacted copy of the committee report.

Consultation Process

The confidential review committee will ensure broad consultation. Constituencies may include members of relevant Academic Senate Committees, faculty, deans, vice provosts, chairs, staff, and students of UC Riverside; appropriate administrators within the UC system; and other pertinent groups, both internal and external.

Reviewers shall be asked to respond specifically to the criteria for evaluation, using illustrative examples whenever possible. Solicitation letters must permit a reasonable time for response. If desired, the confidential review committee may provide suggested questions to reviewers. The Chancellor's designate will record the number of letters solicited and responses received.

All feedback is confidential and will only be seen by the appointed confidential review committee, the Chancellor, and as may be required by university policy and/or state and federal law. In some cases in which departments request the opportunity to contribute anonymous input collected via an online survey, the results will be shared solely with the Chancellor and will not be considered in the committee review process.

Confidentiality of Evaluative Responses

Contributors are highly encouraged to provide their name and institutional affiliation with the feedback to provide context, and the University of California will strive to keep your name and institutional affiliation confidential to the extent permitted by university policy and/or applicable state and federal law. In order to keep their identity confidential, contributors may want to avoid putting information in the body of their responses that would identify them.

If contributors choose to remain anonymous when providing feedback, it may not be possible to follow up or take action on specific concerns. Anonymous responses will be shared with the supervisor, but not the review committee.

Appendix A

STATEMENT OF CONFIDENTIALITY 5-YEAR SENIOR LEADERSHIP DEVELOPMENT ASSESSMENT (SLDA)

I understand and respect the need to maintain confidentiality in personnel procedures, including my participation in this 5-year Senior Leadership Development Assessment process. I agree that I will not breach established rules governing confidentiality by disclosing to those without a legally authorized need to know, information that I have provided or have been provided pursuant to the rules governing confidentiality in personnel procedures. <https://chancellor.ucr.edu/senior-leadership-development-assessments>

Signed

Date

Appendix B

SMG REFERENCE SOLICITATION LETTER 5-YEAR SENIOR LEADERSHIP DEVELOPMENT ASSESSMENT (SLDA)

Dear _____:

Pursuant to [Regents Policy 7702 – Performance Management Review Process](#), a senior leadership development assessment of all Senior Management Group (SMG) members, is required every five years. I am writing to review the accomplishments of **SMG name**, who has served as **position** since **year**.

I would appreciate your thoughts and comments about **SMG member**'s leadership and management of **their unit**, via [this confidential online form](#). Your comments about their performance will form an important part of the assessment. Your response will be shared with the confidential review committee, and be held in strict confidence, in conformity with the Statement Concerning Confidentiality (please see the [Senior Leadership Development Assessment Procedures](#)).

The form will prompt you to address the following areas in your comments:

1. What strengths and areas for development have you observed over the last five years? Please comment on their leadership, vision, and skills.

2. What suggestions do you have for improvement, and what advice would you give for addressing the challenges facing the unit?
3. What are your views on new directions the *unit* should take in the next five years? How do you think **SMG name** might most effectively lead the unit in these new directions?

For further information on the criteria for evaluation for this review, I encourage you to review the brief document available here: <https://hr.ucr.edu/document/five-year-senior-leadership-development-assessment-smg-administrative-guidelines>. This is also an important time to remind the campus community of the regular avenues to report concerns or to provide feedback, including the annual review process and <https://help.ucr.edu/>.

If you have any questions about this request, please contact **Coordinator**. I hope to receive your response by **date**. Thank you in advance for your response. We look forward to hearing from you.