



**COLORADO STATE
UNIVERSITY**

New Faculty Annual Evaluation Ratings, spring 2024

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COLORADO STATE UNIVERSITY

Rethinking Faculty Annual Review Ratings

Council of Chairs and Heads discussion since 2021-22

Consulted with HR experts, CSU HR and Office of General Counsel

Surveyed all chairs/heads/directors summer 2022 with 50% response rate

Table 1. Respondent agreement with statements about the annual evaluation process.			
Question	Agree	Disagree	Neutral/No Response
Annual review should be converted to full electronic format	14	6	4
As much info as possible should be autopopulated	34	0	0
Text fields should be limited by word count	22	3	9
Review categories should be mandatory and held constant	11	13	10
Note: n = 34			
Table 2. Respondent agreement with statements about the current faculty rating system.			
Question	Agree	Disagree	Neutral/No Response
The current rating systems is useful for evaluating faculty	12	15	7
The current rating system is useful for determining faculty merit raises	14	13	7
Would you support a new rating system like the one detailed in the survey?	23 (yes)	10 (no)	1
Note: n = 34			

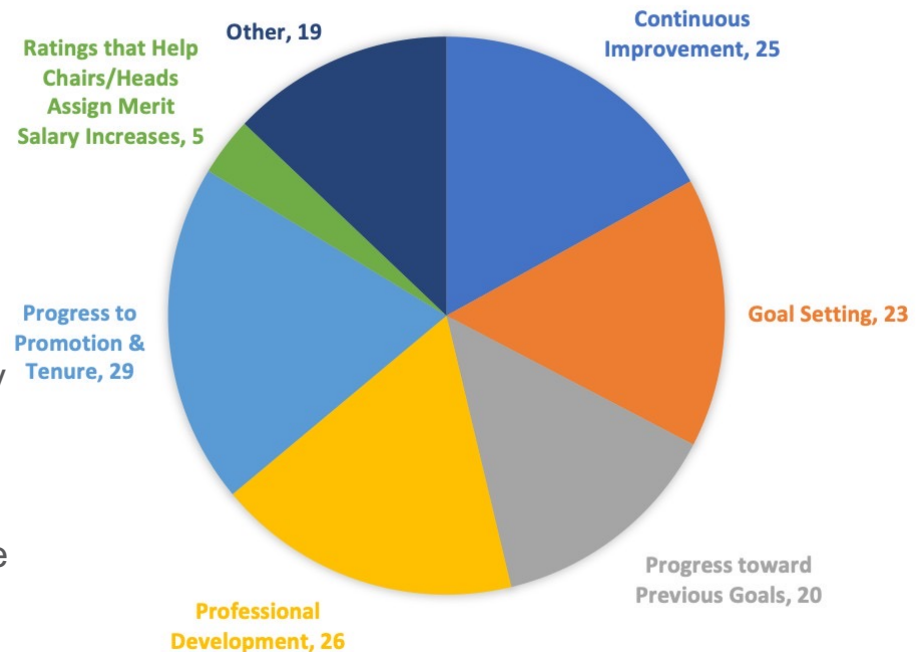


Rethinking Faculty Annual Review Ratings

$\frac{3}{4}$ of the survey respondents favored changing the faculty manual description of the annual review process to read: **“Annual reviews are intended to promote communication and provide useful feedback about job performance, to facilitate better working relationships, to provide an historical record of performance, and to contribute to professional development.”**

E.14.1 Annual Reviews (current): Annual reviews are typically for the purpose of evaluation for merit salary increases, for providing assistance to faculty members to improve their performance when needed, and for the early identification and correction of perceived weaknesses and deficiencies in performance. When appropriate, the academic supervisor shall work with the faculty member to develop specific actions to improve performance. Requirements for annual performance reviews are found in Section C.2.5.

GOALS FOR ANNUAL EVALUATION



Rethinking Faculty Annual Review Ratings

- **The annual evaluation process should be based on the academic year rather than the calendar year.** An academic-year-based annual evaluation process was favored by 80% of the respondents. Evaluations would occur in the fall for the prior academic year (including the summer) while raises could still be started on July 1 the following year. **NOT POSSIBLE AT THIS TIME**
- **Text fields filled in by chairs and heads (and directors) should be limited in word count.** Through the new software and auto-population of fields and an increased expectation that faculty are responsible for submitting complete, accurate, and timely annual review data chairs and heads (and directors) should be able reduce their comments as compared to the present system – provided qualitative assessments rather than restating and summarizing data. **There is a 4,000 character limit for all text answers.**
- **Allow for comments on “department citizenship” as part of the evaluation:** Providing the ability to comment on both positive and negative contributions to the unit mission that aren’t captured in the other categories is important and there should be a mechanism to do so. **D.9 Code of Ethical Behavior**



Old Rating System (5 levels)

Rating (Select one rating for each category)	Instruction, Advising, & Mentoring Effort Distribution: % (Next year expected: %)	Research, Scholarship, & Creative Activity Effort Distribution: _____% (Next year expected: %)	University/ Professional/ Public Service & Outreach Effort Distribution: _____% (Next year expected: %)	Overall Evaluation (100% of Effort)
Superior Exceeds Expectations Meets Expectations Below Expectations Unsatisfactory				

Summary Comments (include comments for each category):



New Rating System (4 levels)

Exceptional Performance - 4th Level	Effective Performance - 3rd Level	Inconsistent Performance - 2nd Level	Unacceptable Performance - 1st Level
<p>Performance consistently exceeds expectations. Exceptional performance is assessed when it is exemplary and far surpasses identified goals and adds tremendous and positive value to the department and university. Work leads the department with demonstrated expertise in the position. This performance assessment is reserved for work that is exceptional and is achieved in alignment with department mission (if applicable), and the Code of Ethical Behavior (D.9).</p>	<p>Performance consistently meets expectations. Effective performance is reflective of the reliable achievement of identified goals and deadlines. Effective performance is assessed when performance is done well. Expectations are being met in all areas with reasonable supervision and are achieved in alignment with department mission (if applicable), and the Code of Ethical Behavior (D.9).</p>	<p>Work performance does not consistently meet expectations or requires significant supervision to achieve identified goals. Inconsistent performance is assessed when there is demonstrated behavior working toward improvement. Engagement with resources including coaching and training is in progress to more consistently gain proficiency and independence regarding what is expected and that it is being achieved in alignment with department mission (if applicable), and the Code of Ethical Behavior (D.9).</p>	<p>Performance is inadequate and does not meet expectations. Unacceptable performance is assessed when there has been a documented history during the evaluation year of performance concerns and there is little to no demonstration of improving performance or performance correction. Expectations are not being met regarding identified goals or goals are not being achieved in alignment with department mission (if applicable), and the Code of Ethical Behavior (D.9).</p>



DEIJ, Departmental Citizenship, Useful Links Reappointment, P&T Review Discussion

Annual Faculty Evaluations - Note these will be entered into Interfolio via prompts and drop down menus. This spreadsheet just to show contents. FACULTY MANUAL C.2.5 Evaluation of Performance of Faculty			
Category	Instruction, Advising, & Mentoring FACULTY MANUAL E.12.1 Teaching, Advising, and Mentoring	Research, Scholarship, & Creative Activity FACULTY MANUAL E.12.2 Research and Other Creative Activity	University/ Professional/ Public Service & Outreach E.12.3 FACULTY MANUAL Service
Effort Distribution % FACULTY MANUAL E.9.1 Individual Faculty Effort Distribution			
Next year expected %			
Performance Ratings (Select one rating for each category, no split ratings and no numbers)	Exceptional Performance - 4th Level Effective Performance - 3rd Level Inconsistent Performance - 2nd Level Unacceptable Performance - 1st Level	Exceptional Performance - 4th Level Effective Performance - 3rd Level Inconsistent Performance - 2nd Level Unacceptable Performance - 1st Level	Exceptional Performance - 4th Level Effective Performance - 3rd Level Inconsistent Performance - 2nd Level Unacceptable Performance - 1st Level
Describe 3 smart goals and accomplishments from the previous year - separate pagewas uploaded by faculty member with smart goals last year that will be available in current year in Interfolio (see next tab for examples)			
Instruction, Advising, & Mentoring			
Research, Scholarship, & Creative Activity			
University/ Professional/ Public Service & Outreach			
Smart goal setting for the upcoming year - separate page will be uploaded by faculty member with smart goals (see next tab for examples)			
Instruction, Advising, & Mentoring			
Research, Scholarship, & Creative Activity			
University/ Professional/ Public Service & Outreach			
Opportunity to further describe diversity, equity, inclusivity efforts in each category as in alignment with department code and job description. No additional performance rating.			
Instruction, Advising, & Mentoring			
Research, Scholarship, & Creative Activity			
University/ Professional/ Public Service & Outreach			
Has the faculty member demonstrated behavior and department citizenship reflective of the Faculty Manual Section D.9 Code of Ethical Behavior (pick one choice below)?			
<input type="checkbox"/> Yes			
<input type="checkbox"/> There are concerns			
Explain concerns:			
Reappointment for probationary faculty in 2nd year or later. FACULTY MANUAL E.6 General Policies Relating to Appointment and Employment of Faculty			
<input type="checkbox"/> Reappoint faculty member to Year XX			
<input type="checkbox"/> Do not reappoint.			
<input type="checkbox"/> P&T Annual Review or Midpoint Review Memo was discussed and is attached			
Additional/Miscellaneous comments:			
OVERALL PERFORMANCE RATING (pick one Level from drop down menu, no split ratings):			
FACULTY RESPONSE:			



D.9 Code of Ethical Behavior *(last revised August 12, 2009)*

Faculty members and administrative professionals at Colorado State University should be aware that their personal conduct reflects on the integrity of the University and should take care that their actions have no detrimental effect on the institution. Therefore, each faculty member is expected to:

a. Perform teaching, advising, and service assignments in a manner consistent with standards established for all faculty members and detailed in the *Manual*.

b. Use University funds, facilities, equipment, supplies, and staff only in the conduct of University duties, exceptions to be made only under specific University policies or when established commercial rates are paid.

c. Maintain a high level of discretion and respect in personal and professional relations with students, faculty members, staff, and the public.

d. Compensate University personnel (including students) fairly for work performed which is related to professional activities beyond one's University assignment.

e. Recognize fairly and accurately the extent of the contribution of others to one's professional work.

f. Avoid non university activities that could significantly interfere with carrying out assigned University responsibilities.

g. Refrain from disclosing confidential information that was acquired by nature of one's activities as a faculty member or administrative professional (for example, see C.R.S., 1973, 18-8-402, Misuse of Public Information).

h. Abide by University policies pertaining to patents, publication, copyrights, consulting, off-campus employment, and conflict of interest as detailed in the *Manual*.

i. Refrain from selling complimentary textbooks.

j. Eschew academic misconduct such as fabrication, falsification, and plagiarism, in proposing, conducting, or reporting research, or in scholarly or creative endeavors, or in identifying one's professional qualifications (see Appendix 7).



Graduate Center for Inclusive Mentoring

Recommendations to Department Heads/Chairs on Evaluating Graduate Student Mentoring

Evaluation of mentoring activities is part of "Performance Expectations for Tenure, Promotion, and Merit Salary Increases", set forth in the current [Faculty Manual](#). The purpose of this document is to identify criteria that could be used in this process. The recommendations are based on (1) effective practices that provide high-quality advising and mentoring for graduate students, as well as (2) recognition that the success of the mentor and the mentee

[are inherently coupled throughout and beyond graduate training.](#)

1. Has the faculty member cultivated individual professional development skills to advance his/her abilities to improve educational culture and environments on behalf of students?

2. Has the faculty member reviewed and/or modified curricula, dissertation requirements, or capstone projects to ensure timeliness and alignment with the ways relevant work is conducted and to provide students with opportunities to work in teams that promote multidisciplinary learning?

3. Many resources are available to support graduate students in their research and scholarly activities as well as psychosocial support, but not all resources are relevant to each student or graduate program. Has the faculty member curated and added value to these resources in order to create individualized experiences for graduate students?

4. [Does the faculty member bring CSU's Principles of Community to their mentoring practice? Has the faculty member developed, adopted, and/or regularly evaluated a suite of strategies to accelerate increasing diversity and improving equity and inclusion, including comprehensive recruitment, holistic review in admissions, and interventions to prevent attrition in the late stages of progress toward a degree?](#)

5. There is a recognized mental health crisis among college students. Has the faculty member incorporated awareness of mental health issues into the training experience for students? Has the faculty member informed students requiring or seeking mental health services about available resources?

6. Did students mentored by the faculty member received professional recognition (e.g. award, scholarship, travel grant, presentation award)?

7. Does the faculty member exhibit leadership within the area of mentoring? (e.g. participates in the Graduate Center for Inclusive Mentoring, works with their professional organization on mentoring, advocates for mentoring policies within their unit, facilitates mentor education, submits grants with a strong mentoring component, hosts speakers focusing on mentoring)

Departments/Institutions may also use these criteria addressing mentoring efforts to nominate faculty for internal and external awards (such as those from technical societies) that reward mentoring/advising excellence.



Setting SMART goals

BiteSize Learning



Specific

The goal is concrete and tangible - everyone knows what it looks like.



Measurable

The goal has an objective measure of success that everyone can understand.



Attainable

The goal is challenging, but should be achievable with the resources available.



Relevant

The goal meaningfully contributes to larger objectives like the overall mission.



Timely

This goal has a deadline or, better yet, a timeline of progress milestones.



Why Use SMART Goals?

- Alignment: SMART goals align individual efforts with the organization's mission, vision, and strategic priorities.
- Clarity: They provide direction, ensuring employees and supervisors understand what is expected and how success will be measured.
- Accountability: SMART goals promote accountability by assigning specific tasks and deadlines that allow leaders to more objectively assess progress, making informed decisions based on data.
- Focus: They help prioritize initiatives, focusing efforts on what matters most for individual and organizational success.

Smart Goals Best Practices

- Clearly communicate the purpose and benefits of SMART goals.
- To get buy-in and commitment, collaborate to develop SMART goals that align with individual strengths, interests, and developmental opportunities. Set goals that are meaningful and relevant to individual and organizational success.
- Offer support through resources, training, and/or tools to help your team accomplish their SMART goals.
- Regularly review progress, reinforce the commitment to goal attainment, address barriers and challenges, and be willing to make adjustments, as needed.
- Provide constructive feedback to support continuous improvement.
- Recognize and celebrate achievements.

Instruction, Advising, and Mentoring:

Specific: With the aim of supporting an environment of continuous improvement and a focus on enhancing student engagement and learning outcomes, Dr. Garcia will develop or redesign an under/graduate course in [specific field of study]

Measurable: Upon completion of the course re/design, Dr. Garcia will work with [TILT or others as needed] to administer pre-and post-assessments to measure students' understanding of key concepts and their ability to apply them in practical scenarios.

Achievable: Dr. Garcia possesses the necessary expertise in [specific field of study] and pedagogical methods to re/design the course effectively, and with the help of [TILT or others] to assess the outcomes.

Relevant: Enhancing teaching effectiveness and student learning is a core responsibility of all faculty and contributes to the university's academic and student success initiatives.

Time-frame: Dr. Garcia will complete the course re/design by the start of the next AY, allowing time for course preparation and adjustment. They will implement the re/design during the fall semester and assess its impact on student learning outcomes beginning at the end of the next AY. If a new course they may choose to offer it as an experimental course once or twice before submitting for permanent approval through CIM.

Research, Scholarship, and Creative Activity:

Specific: Dr. Gupta will advance their research agenda by completing and submitting a grant proposal to NIH for funding to support [specific research topic] within the next AY.

Measurable: Dr. Gupta will receive proposal mentoring, writing and budget support from [mentor(s), OVPR (depending on size of proposal), etc.]. Dr. Gupta will track their progress by maintaining a detailed timeline and milestone chart for proposal development and submission.

Achievable: Dr. Gupta has already conducted preliminary research on [specific topic] and has established collaborations with other researchers in the field.

Relevant: Securing additional funding is a key criterion for tenure advancement and is essential for sustaining Dr. Gupta's research program and contributing to the advancement of expertise in their field.

Time-frame: Dr. Gupta will complete the proposal writing process and submit it in advance of the pre-award deadline of XYX to ensure sufficient time for review and approval.



University/Professional/Public Service & Outreach:

Specific: Dr. Jones will contribute to the college's commitment to diversity, equity, inclusion, and access by serving as the chair of the DEIJ committee during the upcoming AY.

Measurable: Dr. Jones is expected to plan/communicate monthly meeting agendas and lead meeting discussions and decision-making processes.

Achievable: Dr. Jones's expertise in [specific area], commitment to DEIJ, their leadership skills, and previous service as a DEIJ committee member will ensure they have the capacity to effectively chair this committee while fulfilling their other duties.

Relevant: Service to the college and university is an essential component of Dr. Jones's tenure responsibilities.

Time-frame: Dr. Jones will host their first DEIJ committee meeting at the start of the AY, hosting monthly committee meetings through the end of the AY.



Performance Management - Why?

- Performance Management seeks to align employee performance with organizational goals and is designed to help employees achieve performance excellence, encouraging consistent collaboration between supervisors and employees.

Plus!

- Builds relationships
- Builds Trust
- Connects work and people to the larger purpose
- Learn about job satisfaction, projects, and priorities
- Supports success and reduces barriers and challenges



Delivering Evaluations

- Understand and properly use the terminology and ratings of the performance program
- Compare data collected to goals
- Provide specific examples
- Set the stage for the next cycle's goals
- Utilize guides and resources

Additional Resources

- Associate Deans/Dean
- College HR leader
- Vice Provost James
- CSU Sr. Human Resources Business Partners
- CSU Talent Development
- LinkedIn Learning

Behavior Commentary

- E. 14: These reviews must be conducted in such a way that they are consistent with academic freedom, due process, the tenure system, and other protected rights. It is also appropriate for performance reviews to document problems with behavior (see Section D.9 and also Section E.15).
- Summarize coaching conversations, LOE, LOR, E.15 related to behavior . Like other aspects of the annual review, behavioral observations should reflect issues that have been addressed with the faculty member.
- Respect due process; avoid certain characterizations of behaviors. Accurately describe the behaviors, and use existing processes when applicable (e.g., OEO for discrimination/harassment).
- Does not receive an independent rating. But behaviors may impact teaching, research, and service categories.

Further Description of DEI Efforts

- How efforts align with Department Code and Job Description: Highly variable based on discipline, department, position, SMART goals
- Note: Different prompt vs. Behavior Commentary: Not a binary question; Efforts may have already been described under Teaching, Research, or Service; Can describe positive contributions.
- Align comments with Department Code and/or Job description; avoid certain characterizations of efforts. Accurately describe the efforts or areas for improvement; avoid speculating about beliefs or intentions.
- Consider whether the description is a “behavior” or an “effort”
- Does not receive an independent rating. But efforts may impact teaching, research, and service categories.





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Discussion, Q&A

