

**Spring 2022 – Faculty Evaluation Overview**  
**For Faculty, Chairs and Directors, PRAs**  
Effective FY2023 (AY22-23)  
Prepared March 1, 2022

**Performance evaluation documents are subject to, upon proper request, disclosure under the Colorado Open Records Act.**

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***Timelines/Due Dates***

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- March 30<sup>th</sup>: All Faculty Evaluation Forms are due A&S Personnel which includes:
  - Tenure track faculty, and rostered instructors in job codes 11xx, and 12xx
    - Research faculty in job codes 13xx such as Professional Research Assistant (PRA), Sr. Professional Research Assistant (Sr. PRA), Research Associate, Sr. Research Associate, Assistant Research Professor, Associate Research Professor, and Research Professor (only those paid from the continuing general fund budget). Otherwise, they will receive their annual evaluation and merit increases in the October merit cycle
- April 15<sup>th</sup>:
  - Chair and Director evaluations are due to A&S Personnel

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***Quick Links to Information***

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**Chair and Directors**

- Chair and Director Evaluation Criteria, and Annual Merit Evaluation Methodology:  
<https://www.colorado.edu/asfacultystaff/personnel-administration/policies-procedures/faculty-regular-tenure-tenure-track/annual-merit-2>

**Faculty and Research Faculty**

- Policy information on the Faculty Merit Evaluation Processes in the College of Arts and Sciences  
<https://www.colorado.edu/asfacultystaff/personnel-administration/policies-procedures/faculty-regular-tenure-tenure-track/annual-merit>

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## *Tips for Completing Faculty Evaluations*

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### **Who to Contact?**

- If you have any questions about faculty performance evaluations, please contact your Associate Dean.
- If you have questions about the process for submitting faculty performance evaluations, please contact Shelly Hammonds, Director of Personnel.

### **Chairs and Directors**

- The Chair/Director shall be evaluated by the department based on the same criteria as all other faculty in their unit
- Chairs and Directors should follow the 50/50 rule
  - If the individual became a chair/director during the middle of 2021, then that implies there was both an “outgoing” and “incoming” chair/director performing service during 2021.
  - This means that both the “outgoing” or former chair/director and the current chair/director need to submit a department evaluation for that period along with a personal narrative such that the deans have appropriate materials on which to evaluate both individuals’ performance during 2021.
- If unsure about an appointment and who completes the evaluation, please check the offer letter and/or check with the unit who has a copy of the offer letter on file

### **Faculty**

- Advice and Comment Form – this is an internal document that can be kept within the department, it justifies the rating if questions arise later on
- The Faculty Performance Rating form must be completed and submitted, please ensure the following:
  - The top section of the form must be fully completed with Faculty Name, Employee ID, etc.
  - Be sure the overall evaluation rating is selected
  - The Faculty and the Rater/Supervisor will need to sign the evaluation form
  - As a best practice, we recommend that feedback is still provided for faculty using one of the following options:
    - Abbreviate the feedback so it fits in the “Comments” section provided on the front page of the form AND/OR
    - Use the optional second page included in the updated word document evaluation form for feedback in the areas of teaching, research and creative work, and service to the university, profession, and community.
- The actual evaluation for each faculty member shall be completed by the department’s annual merit committee, and not by the chair; however, the chair may give a recommendation to the committee.
  - By requiring the committee to make the decision, it allows the department faculty to share in the evaluation process and also guards the chair against claims of biased or unfair evaluations.
  - Performance evaluations are to be based on FRPAs and are the basis for merit increases.

### **Research Faculty**

- Research faculty included in the Spring merit roster and evaluation process are only those faculty paid from continuing general fund budget; otherwise, they receive their annual evaluation and merit increase in the October cycle

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## ***Step by Step Guide for Submitting Faculty Evaluations***

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Note: There have been changes to the way faculty evaluations will be submitted, please read through all of the following.

1. All faculty evaluations must be completed and signed by the faculty and chair prior to submitting to the Dean's Office
2. Save all faculty evaluation files electronically with the following nomenclature
  - Faculty\_Eval\_DEPT\_LastName\_FirstName\_EID\_Title\_AY20\_Rating Level in Numerical Value  
*Example: Faculty\_Eval\_AAC\_Doe\_Jane\_123456\_Associate\_Professor\_AY20\_5*
  - The highlighted numerical value can be found by the following rating scale:
    - 5-Outstanding
    - 4-Exceeds Expectations
    - 3-Meets Expectations
    - 2-Below Expectations
    - 1-Unsatisfactory
3. Log in to MyCUinfo and navigate to the tile for DocuSign



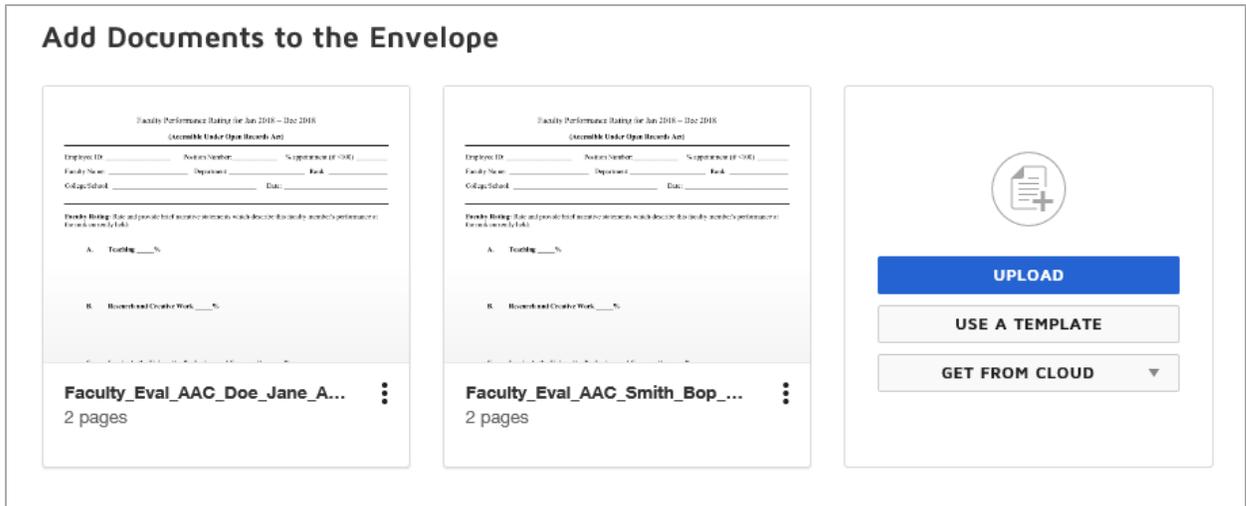
4. When a new tab opens, select, "New" and then, "Send an Envelope"



- The goal with submitting evaluations is for a unit to submit most, if not all, evaluation documents in one DocuSign Envelope for processing.

Each faculty evaluation must be uploaded as a separate document by selecting “Upload” each time, when all the faculty evaluations are uploaded for the unit, then proceed to the next step

As another option, if faculty evaluations are saved electronically in a folder  Faculty Evals 2018 select the evaluation files, then drag and drop the files into the open DocuSign envelope – this will upload the files separately.



- Add CAS HR ([aspa@colorado.edu](mailto:aspa@colorado.edu)) to receive the envelope from DocuSign.

In addition, please add a subject to the email and in the title, please reference the department and faculty evaluations in the subject line.

- Lastly, press “Send”



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## ***Frequently Asked Questions***

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***Q: What if my faculty member is away from campus on leave and is unavailable to sign the form?***

A: **Do not sign the form with the faculty members' signature or on their behalf.** Although the individual may not be on campus, if the individual is part of the merit exercise the department MUST complete a performance evaluation to support the corresponding merit raise—regardless of the amount. Make a copy of the original with a written note directly on the copy of the performance evaluation form about the faculty member's unavailability to sign. Include comments about the faculty member's expected return. Indicate a date as to when an original signature will be obtained such that the original form with the original signatures can be forwarded to A&S.

***Q: Do I need to complete a form for my instructors?***

A: Yes, if they are rostered instructors, they are rated on the same performance evaluation form as regular tenure and tenure-track faculty.

***Q: What is the form Annual Merit Evaluation: Advice and Comments used for?***

A: This is a supplemental form to assist departments in assessing faculty performance. This form should be kept on file in the department. **DO NOT SEND THIS FORM TO A&S.**

***Q: Why is the original document with original faculty signatures required?***

A: **The original document with original faculty signatures** is required and kept on file in Faculty Affairs and becomes the official document of record. This document can be requested by anyone under the Open Records Act. It can also be used in legal proceedings. Digital signatures are acceptable including DocuSign. Please send completed documents to [aspa@colorado.edu](mailto:aspa@colorado.edu) **when all evaluations are complete.**

***Q: What if the chair is unavailable to sign a faculty member's evaluation form?***

A: If the chair/director is unavailable to sign, then a representative of the unit's annual merit evaluation committee (also known as a salary committee) should sign on the chair's behalf.

***Q: Since the Deans are making the decision about the Chair's merit raise, shouldn't the Deans complete the performance evaluation?***

A: The deans evaluate chairs/directors on their service to the dean's office, which is only one component of their overall evaluation. Departments must forward an evaluation of the faculty member in the areas of teaching, research, and service to the department. The department's evaluation is combined with the dean's evaluation to determine a final evaluation rating.

***Q: What if a faculty is serving as an Associate Dean – how is the evaluation completed?***

A: Similar to chairs/directors, the Dean will evaluate the Associate Dean on their service within the dean's office, which is only one component of their evaluation. Departments must complete an evaluation of the faculty member in areas of teaching, research, and service to the department. The department's evaluation is combined with the Dean's evaluation to determine the final overall evaluation rating.

***Q: Who signs on the 'Rater/Supervisor Signature' line of the performance rating form for the Chairs/Directors evaluations?***

A: A representative from the unit's salary committee, preferably the Chair of the committee should sign on the 'Rater/Supervisor Signature' line.

**Q: If the faculty member is terminating at the end of the current academic year, why do we need to complete a performance evaluation?**

A: If the individual is on your department's merit roster such that you received a merit allocation for that line, you need to do a performance evaluation. Individuals that are expected to terminate at the end of the academic year are not supposed to be on the merit roster.

**Q: The faculty member was hired January 1 or later. Do I need to do an evaluation for this person?**

A: No, you do not. Since the employee did not work during the timeframe of evaluations, January 1, 2020 through December 31, 2020, we are not required to submit a rating score to the campus.

**Q: Where do I send these forms?**

A: Send the original forms to [aspa@colorado.edu](mailto:aspa@colorado.edu).

**Q: What if my faculty member falls between two performance ratings?**

A: **You must select one rating.** These ratings are used by both the campus and A&S to correlate raises and performance. If you submit a rating that straddles two categories, we will record a rating at the higher level. For example, a form with a check mark between "Meeting Expectations" and "Exceeding Expectations" will be recorded as "Exceeding Expectations."

**Q: What is the process when a faculty member disagrees with their evaluation?**

A: It depends on the situation and the department's processes. Each department should have a process in its bylaws or grievance procedures for dealing with disputes. Possibilities regarding the Performance Rating form include 1) returning the rating form unsigned by the faculty member with a notation that the faculty member refused to sign and/or 2) returning the rating form with a statement from the faculty member attached.

**Q: What if the faculty was out on leave or sabbatical during the evaluation year?**

A: If the faculty was on leave or sabbatical for the entire year, please submit an evaluation form on behalf of the faculty with a rating of Level 3 – Meeting Expectations. The comments section can be used to add the following, "Faculty was out on sabbatical or on leave."

If the faculty was out on leave or sabbatical for half of the year, an evaluation can be completed based on the timeframe the faculty was working. A note can be added to the comments section to explain the faculty was on leave or sabbatical for half of the evaluation year.