

Annual Evaluation Criteria for Faculty
Kraemer Family Library
University of Colorado Colorado Springs

I. Purpose

- a. Consistent with University of Colorado APS 5008 (*Performance Rating for Faculty*), the performance of faculty members will be evaluated annually. The performance rating is the overall summary rating of the individual's performance and constitutes the public record of rating, in accordance with the Colorado Open Records Act. The purpose of this policy is to specify the criteria used to evaluate and assign performance ratings for all Kraemer Family Library faculty.
 - i. The annual performance rating provides the basis for merit-based salary adjustments.
 - ii. For Instructional, Research, and Clinical (IRC) faculty, UCCS Campus Policy 200-027 (*Instructional, Research, and Clinical Faculty Appointment, Reappointment, Promotion, and Termination*) requires annual performance ratings serve as the basis for promotion eligibility.
 - iii. For tenured faculty, UCCS Campus Policy 200-016 (*Post-tenure Review*) requires examination of annual performance evaluation reports during the regular post-tenure review. Any tenured faculty member who receives a performance rating below *meeting expectations* during their five-year PTR cycle shall undergo a triggered review.
 - iv. As stated in CU Regent law, the awarding of tenure is a separate and distinct process from annual merit evaluation. Annual performance evaluation reports and ratings shall not serve as evidence in reappointment and tenure reviews. It is possible for a tenure track faculty member to consistently receive annual performance ratings of *outstanding, exceeding expectations, or meeting expectations* and not be awarded tenure.

II. Annual Review Period

- a. Faculty are evaluated on their performance over the course of the fiscal year (July 1 – June 30).

III. Computing the Annual Performance Rating

- a. All Kraemer Family Library faculty develop a Faculty Responsibility Statement (FRS) that distributes their workload in up to three performance areas: *Teaching/Librarianship, Scholarly/Creative Work, and Leadership and Service*.
- b. Based upon the criteria outlined in this document, faculty are assigned a rating from *Fails to Meet Expectations* (1) to *Outstanding* (5) in each performance area outlined in their FRS.
- c. The overall numeric performance rating is computed using the following formula:

$$\begin{array}{rclclcl} \text{(Teaching/Librarianship} & & \text{(Leadership} & & \text{(Scholarly/Creative} & & \text{Overall} \\ \text{Rating) x (Percent} & + & \text{and Service} & + & \text{Work Rating) x} & = & \text{Numeric} \\ \text{Effort)} & & \text{Rating) x} & & \text{(Percent Effort)*} & & \text{Rating} \end{array}$$

**(Percent
Effort)**

**when applicable*

- d. The overall performance rating is assigned based on the overall numeric rating as follows:
 - i. Outstanding: 4.5 – 5
 - ii. Exceeding Expectations: 3.5 – 4.49
 - iii. Meeting Expectations: 2.5 – 3.49
 - iv. Below Expectations: 1.5 – 2.49
 - v. Fails to Meet Expectations: 0 – 1.49

IV. Annual Evaluation Process

- a. Each year the faculty member submits a narrative of their accomplishments in all performance areas under review. Failure to submit this narrative shall result in an overall rating of *Fails to Meet Expectations*.
 - i. Due to the overlapping nature of performance areas, faculty are allowed some discretion in deciding where to document a specific accomplishment so long as they do not document it in multiple performance areas.
- b. Based on the narrative, the faculty member's supervisor shall assign a rating in each performance area using the criteria in this document.
- c. Two additional faculty members shall serve as peer reviewers, independently reviewing the narrative and assigning a rating in each performance area.
 - i. Peer reviewers shall not be the direct supervisor of or be directly supervised by the faculty member they are reviewing.
- d. To prepare the written annual performance evaluation the supervisor shall calculate a rating in each performance area by using the formula $[.5(\text{Supervisor Rating}) + .25(\text{Peer Reviewer 1 Rating}) + .25(\text{Peer Reviewer 2 Rating})]$ and correlating it to the ranges defined in section 3.d.
 - i. All supervisor and peer reviewer ratings and justifications shall be included in the written annual performance evaluation prepared by the supervisor.
- e. The supervisor will prepare a written annual performance evaluation that includes:
 - i. The faculty member's annual narrative
 - ii. The faculty member's ratings (overall and in each performance area)
 - iii. All ratings provided by the supervisor and peer reviewers
 - iv. Justification of assigned ratings based on these criteria
 - v. A brief description of the faculty member's current strengths and areas for improvement in the coming year
 - vi. For IRC faculty, a statement of when they will be eligible for promotion and what ratings they must achieve in the coming years to maintain that eligibility
 - vii. For tenure track faculty, suggestions of activities to focus on in the coming year as they progress towards reappointment and tenure review

description and examples of SMART goals.) Progress towards these goals will serve as a significant component of achieving ratings of *Exceeding Expectations* or *Outstanding*.

- i. SMART goals may pertain to personal professional development or to developing library services or processes.
 - ii. Supervisors must work with faculty to ensure their goals are attainable and relevant to their position and to the current needs of the Library.
 - iii. While working towards SMART goals faculty members may discover that the original goal is no longer realistic or beneficial to themselves or the library. In such cases they should work with their supervisor to amend or replace the goal for the year under review.
- c. To assist supervisors and reviewers in assessing progress towards completing SMART goals, the faculty member shall include a brief summary of concrete steps taken over the course of the year in their annual narrative and briefly describe any external factors that impacted the execution of their planned goals (when applicable).
 - d. When a faculty member must take on additional work beyond their normal job duties due to staffing shortages or assignment of time sensitive projects by their supervisor or library administration, or other unforeseen circumstances impact their ability to complete their planned goals, they shall document this in their annual narrative and the evaluators shall use the criteria to account for this work in assigning ratings.
 - e. Due to limited time in their position, it is expected and appropriate that faculty who begin their employment at the Kraemer Family Library on or after April 1 shall work with their supervisor to develop SMART goals related to attaining the skills needed to assume their core job duties.
 - f. The table below describes the minimum criteria needed to achieve each rating.

<p>Fails to Meet Expectations (1)</p>	<p>The faculty member consistently refuses to perform the documented responsibilities of their position. The characteristics of <i>Fails to Meet Expectations</i> include but are not limited to:</p> <ul style="list-style-type: none"> • Refusing to fulfill the duties in their job description • Not improving or maintaining skills required to fulfill the duties in their job description after their supervisor has documented these tasks are not being satisfactorily performed and has provided suggestions for correction • Failing to work towards improving documented unsatisfactory performance of job duties • Knowingly and repeatedly violating library policies or procedures <p>It is the responsibility of the supervisor to provide a record of such unsatisfactory performance.</p>
<p>Below Expectations (2)</p>	<p>The faculty member's performance of the documented responsibilities of their position is consistently inadequate. The characteristics of <i>Below Expectations</i> include but are not limited to:</p> <ul style="list-style-type: none"> • Requiring regular corrections when performing the duties in their job description • Requiring regular reminders of proper policies and procedures well after initial training and orientation

	<ul style="list-style-type: none"> Consistently deprioritizing job duties that directly impact other library staff's ability to perform their own duties <p>It is the responsibility of the supervisor to provide a record of such unsatisfactory performance.</p>
Meeting Expectations (3)	<p>The faculty member consistently and competently performs core duties listed in job description. They do not seek out additional opportunities to contribute to projects that improve library services or operations; And does not otherwise meet the criteria for <i>Exceeding Expectations</i>.</p>
Exceeding Expectations (4)	<p>In addition to documenting concrete progress on all SMART goals the faculty member:</p> <p>Completes at least three (3) SMART goals related to their personal professional development, which include goals that expand their skills and knowledge or improve their ability to perform individual job duties OR;</p> <p>Completes at least one (1) SMART goal related to their personal professional development and (1) SMART goal related to developing or improving library services or work practices/procedures OR;</p> <p>Articulates their contributions to additional projects that advance library services or current work practices/procedures and the impacts (observable or intended) of that work OR;</p> <p>Articulates the work they have done in assuming additional job duties due to an open position or a colleague's sabbatical/leave over a period of less than 6 months;</p> <p>And does not otherwise meet the criteria for <i>Outstanding</i>.</p>
Outstanding (5)	<p>In addition to documenting concrete progress on all SMART goals the faculty member:</p> <p>Completes at least four (4) SMART goals related to personal professional development OR;</p> <p>Completes at least two (2) SMART goals related to developing or improving library services or work practices/procedures OR;</p> <p>Articulates their work in leading an additional project that advances library services or current work practices/procedures and the impacts (observable or intended) of that project OR;</p> <p>Articulates the work they have done in taking on additional job duties due to an open position or a colleague's sabbatical/leave over a period of 6 months or more.</p>

VII. Rating Criteria for Scholarly/Creative Work

- a. Scholarly/Creative Work can encompass either the production and sharing of new knowledge on the part of the faculty member under review *or* facilitating the production and sharing of other librarians' scholarly work through activities such as peer reviewing or organizing conferences.
- b. To guide supervisors and peer reviewers in assigning ratings, Appendix B contains a non-exhaustive list of how various scholarly/creative work activities have been rated in the past to serve as reference points.
- c. These criteria require supervisors and peer reviewers to evaluate the nature of a faculty member's Scholarly/Creative Works activities. It is not the purview of the evaluators to

judge the value of a publication, presentation, or exhibition venue nor to assess the contents of a documented work.

- d. Due to limited time in their position, if a faculty member who begins their employment at the Kraemer Family Library on or after April 1 articulates the steps they have taken to prepare for conducting research they should be assigned a rating of at least *Meeting Expectations* even if they do not achieve the normal benchmarks for this rating. If the faculty member does meet the criteria for a higher rating, they shall be assigned that rating.
- e. The table below describes the minimum criteria needed to achieve each rating:

	IRC Faculty with FRS Workload ≤ 10%	IRC Faculty with FRS Workload >10%, Tenure Track Faculty, and Tenured Faculty
Fails to Meet Expectations (1)	The faculty member documents no activities in Scholarly/Creative Work.	
Below Expectations (2)	The faculty member documents planning to conduct scholarly/creative work but does not describe concrete steps they have taken on a project or articulate how it will lead to a finished (published/presented/exhibited) product; And does not otherwise meet the criteria for <i>Meeting Expectations</i> .	
Meeting Expectations (3)	The faculty member documents: Concrete effort on a scholarly/creative project OR; Informal support to a colleagues' scholarly/creative project through activities such as reviewing drafts; And does not otherwise meet the criteria for <i>Exceeding Expectations</i> .	The faculty member documents: Concrete effort to conduct a scholarly/creative project OR; Informal support to a colleagues' scholarly/creative project through activities such as reviewing drafts OR; Informal publications which may or may not be related to their research agenda (e.g., book reviews); And does not otherwise meet the criteria for <i>Exceeding Expectations</i> .
Exceeding Expectations (4)	The faculty member documents: Internal or campus-level presentation/exhibition of scholarly/creative work OR; Informal publications/presentations which may or may not be related to their research agenda (e.g., book reviews) OR; Formal support to the publication/presentation of others' scholarly work through activities such as peer reviewing journal articles OR; At least 3 <i>Meeting Expectations</i> level activities; And does not otherwise meet the criteria for <i>Outstanding</i> .	The faculty member documents: Presenting the results of a research based scholarly/creative project in non-peer reviewed setting OR; Publishing or presenting projects based solely in practice (e.g, case studies not contextualized in theory) OR; Converting a scholarly/creative project into a viable written or publishable finished product (e.g., submitting drafts to journals) OR; Formal support to the publication/presentation of others' scholarly work through activities such as peer reviewing journal articles OR; At least 3 <i>Meeting Expectations</i> level activities;

		And does not otherwise meet the criteria for <i>Outstanding</i> .
Outstanding (5)	The faculty member documents: The publication, presentation, or exhibition of a scholarly/creative work OR; Converting a scholarly/creative project into a viable written or publishable finished product (e.g., submitting drafts to journals) OR; Sustained formal support of others' scholarly work through activities such as serving on a journal's editorial board OR; Documents at least 3 <i>Meeting Expectations</i> and <i>Exceeding Expectations</i> activities with at least one of those activities being <i>Exceeding</i> .	The faculty member documents: The publication, presentation, or exhibition of research-based, scholarly, or creative work OR; Sustained formal support of others' scholarly work through activities such as serving on a journal's editorial board OR; Documents at least 3 <i>Meeting Expectations</i> and <i>Exceeding Expectations</i> activities with at least one of those activities being <i>Exceeding</i> .

VIII. Rating Criteria for Leadership and Service

- a. Leadership and Service activities take varied forms including but not limited to participation in committees or task forces, participation in library, university or system governance groups, sponsorship/mentorship of student organizations, or using expertise gained through librarianship activities to provide service to community organizations.
- b. Leadership and Service activities may be at the library, university, system, community, state, national, or international level. No service environment is to be weighed more heavily than any other in determining ratings.
- c. Due to the financial burden of participating in service to many state, national, and international professional organizations, choosing not to perform service for such organizations shall not be construed negatively against the faculty member under evaluation. It is just an option to diversify the service portfolio.
- d. Community service, if related to library job duties, is an approved Leadership and Service activity. Choosing not to perform community service shall not be construed negatively against the faculty member under evaluation. It is just an option to diversify the service portfolio.
- e. These criteria require supervisors and peer reviewers to evaluate the nature of the faculty member's contributions to their documented Leadership and Service activities. It is not the purview of the evaluators to judge the value of a committee, organization, or activity.
- f. Due to limited time in their position and the slowing of much campus service in the late spring/early summer, if a faculty member who begins their employment at the Kraemer Family Library on or after April 1 articulates the opportunities they and their supervisor are pursuing for future service work they should be assigned a rating of at least *Meeting Expectations* even if they do not achieve the normal benchmarks for this rating. If the

faculty member does meet the criteria for a higher rating, they shall be assigned that rating.

g. The table below describes the minimum criteria needed to achieve each rating:

Fails to Meet Expectations (1)	The faculty member documents no activities in Leadership and Service.
Below Expectations (2)	<p>The faculty member documents membership in Leadership and Service activities but does not attend or meet the group/organization’s standards for satisfactory participation OR does not otherwise meet the criteria for <i>Meeting Expectations</i>.</p> <p>If it has come to the supervisor’s attention that a faculty member is not contributing to or attending commitments listed on their CV/annual eval narrative (notified by the committee chair, etc.), it is the responsibility of the supervisor to determine whether this is a pattern and to document this unsatisfactory performance.</p>
Meeting Expectations (3)	<p>The faculty member documents participation in at least five (5) Leadership and Service activities through meeting attendance only;</p> <p>And does not otherwise meet the criteria for <i>Exceeding Expectations</i>.</p>
Exceeding Expectations (4)	<p>The faculty member documents participation in at least three (3) Leadership and Service activities and articulates how they made active contributions beyond attendance over the course of the year (for ongoing activities) or through their term of service (for limited term activities) OR;</p> <p>Documents at least two (2) activities at this level and two (2) at the <i>Meeting Expectations</i> level;</p> <p>And does not otherwise meet the criteria for <i>Outstanding</i>.</p>
Outstanding (5)	<p>The faculty member documents and articulates an <i>active</i> leadership role in or substantial contributions to at least two (2) Leadership and Service activities over the course of the year or through their term of service OR;</p> <p>Documents at least one (1) activity at this level and two (2) activities at the <i>Exceeding Expectations</i> level OR;</p> <p>Documents at least one (1) activity at this level with at least three (3) at the <i>Meeting Expectations</i> level.</p> <p>Receiving credit for an active leadership role requires a faculty member to articulate contributions beyond convening and chairing a regularly occurring meeting.</p> <p>A contribution may be considered substantial if it has impact beyond the normal functioning of a standing committee (e.g., preparing a report for campus-wide distribution, developing a new policy that will affect multiple campus stakeholders, etc.).</p>

**APPENDIX B:
SCHOLARLY/CREATIVE WORK EXAMPLE RATINGS**

IRC Faculty with FRS Workload ≤ 10%		
Meeting Expectations (3)	Exceeding Expectations (4)	Outstanding (5)
Concrete effort on a scholarly/creative project <ul style="list-style-type: none"> • Receiving IRB approval • Data gathering • Literature review Informal support to a colleagues' scholarly/creative project <ul style="list-style-type: none"> • Assisting with data gathering • Providing feedback on an article draft • Providing feedback on a conference proposal 	Informal publications or presentations which may or may not be related to research agenda <ul style="list-style-type: none"> • Book reviews • Professional Blogs • Newsletters • Conference guest speaker/presenter • Conference poster session • Conference lightening talk • Mountain Lion Teaching and Learning Day breakout or roundtable Formal support to the publication/presentation of others' scholarly work <ul style="list-style-type: none"> • Conference proposal reviewer • Journal peer reviewer • Grant review committee 	Publication, presentation, or exhibition of a scholarly/creative work <ul style="list-style-type: none"> • Conference presentation (peer reviewed or non-peer reviewed) • Chapter in edited volume (scholarly or creative non-fiction) • Journal article (peer reviewed or non-peer reviewed) • Conference proceeding • Book (author or editor) Converting a scholarly/creative project into a viable finished product <ul style="list-style-type: none"> • Submission of article draft to peer-reviewed journal • Conference proposal submission Sustained formal support of others' scholarly work <ul style="list-style-type: none"> • Journal editorial board • Conference organizer Submitting a grant proposal as principal or co-investigator Receiving a grant
IRC Faculty with FRS Workload >10%, Tenure Track Faculty, and Tenured Faculty		
Meeting Expectations (3)	Exceeding Expectations (4)	Outstanding (5)
Concrete effort on a scholarly/creative project <ul style="list-style-type: none"> • Receiving IRB approval • Data gathering 	Converting a scholarly/creative project into a viable finished product	Formal publication, presentation, or exhibition of a scholarly/creative work <ul style="list-style-type: none"> • Peer reviewed article

<ul style="list-style-type: none"> • Literature review <p>Informal support to a colleagues' scholarly/creative project</p> <ul style="list-style-type: none"> • Assisting with data gathering • Providing feedback on an article draft • Providing feedback on a conference proposal <p>Informal publications or presentations which may or may not be related to research agenda</p> <ul style="list-style-type: none"> • Book reviews • Professional Blogs • Newsletters • Conference lightening talk • Mountain Lion Teaching and Learning Day breakout or roundtable • Conference guest speaker/presenter <p>Submitting a grant proposal as co-investigator</p>	<ul style="list-style-type: none"> • Submission of article draft to peer-reviewed journal <p>Informally presents the results of a scholarly/creative project</p> <ul style="list-style-type: none"> • Non-peer reviewed conference presentation • Creative work featured in non-refereed/juried exhibition or festival <p>Submitting a grant proposal as principal investigator</p> <p>Non-competitive grant awarded as principal or co-investigator</p> <p>Formal support to the publication/presentation of others' scholarly work</p> <ul style="list-style-type: none"> • Conference proposal reviewer • Journal peer reviewer • Grant review committee 	<ul style="list-style-type: none"> • Peer reviewed conference presentation • Peer reviewed conference proceeding • Chapter in edited volume (scholarly or creative non-fiction) • Book (author or editor) • Creative work featured in refereed/juried exhibition or festival <p>Sustained formal support of others' scholarly work</p> <ul style="list-style-type: none"> • Journal editorial board • Conference organizer <p>Competitive grant awarded as principal investigator</p>
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