UCCS ANNUAL REVIEW CRITERIA AND PROCESS

TOOLKIT

2021-2022

ADVANCE
PROJECT
CREST

Changing **R**esearch **E**xperiences **S**tructures and (in)**T**olerance through the Adaptation of Promising Equity Practices

ADVANCE

PROJECT **CREST**

Our Goal: Inclusive and Equitable Annual Reviews

Because we must. Because we should. Because it matters.

The purpose of this toolkit is to provide quick and easy access to ideas and tools for implementing engaging and inclusive discussions as departments undertake the task of separating annual review criteria from their RPT criteria. Departments should review the CU regent mandates regarding annual review criteria (as different from RPT criteria) as well as the relevant regent policy and CU Administrative statements. We link to those mandates in this toolkit.

The ADVANCE Project CREST Team developed this toolkit in consultation with the West Virginia University Dialogues program to assist you in the important work of creating new or revising existing annual merit review criteria and processes. The Dialogues process is also a useful tool for engaging in other departmental business; from IRC reviews, graduate student enrollments, RPT, pedagogical conversations, and other shared policies and processes.

We hope you are inspired to bring your best self to this work and to engage with each other to forge a new vision of evaluation.

Sincerely,

The Project CREST Team

Jessi L. Smith
Sylvia Mendez
Heather Song
Elizabeth Daniels
Emily Skop
Jennifer Poe

ADVANCE PROJECT CREST

ADVANCE Project CREST, University of Colorado Colorado Springs

Jessi L. Smith
ADVANCE Project CREST Principal Investigator
Associate Vice Chancellor of Research

Sylvia Mendez
Director ADVANCE Project CREST, Co-PI
Professor, Leadership, Research, and Foundations

Heather Song
Co-Director ADVANCE Project CREST, Co-PI
Professor, Electrical and Computer Engineering

Emily Skop
ADVANCE Project CREST Co-PI
Professor, Geography

Elizabeth Daniels
ADVANCE Project CREST Co-PI
Professor, Psychology

Jennifer Poe
ADVANCE Project CREST Project Manager

Suggested citation: Smith, J. L., Poe, J., Mendez, S., Skop, E., Song, H., & Daniels, E. A. (2021). UCCS Annual Review Criteria and Processes Co-Creation Toolkit. *University of Colorado Colorado Springs.*

ADVANCE Project CREST
Location: University of Colorado Colorado Springs
Email: advance@uccs.edu
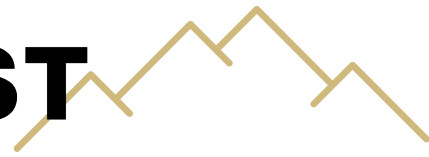**Website**: www.research.uccs.edu/advanceprojectcrest

ADVANCE
PROJECT **CREST**

Contents

ADVANCE
PROJECT **CREST**

About this Toolkit

Background: The CU Regents mandated that annual review criteria be separated out from Reappointment, Promotion, and Tenure criteria. Departments are individually tasked with generating their own annual review criteria and processes to be in accord with this mandate. While we've designed this toolkit to be specific to revising the annual review criteria for tenured/tenure- track faculty, the same practices described here also apply to other processes, including annual reviews for instructional, research, and clinical (IRC) faculty.

Objective: Inclusive engagement – Project CREST is committed to ensuring that those with marginalized identities and with different access to power are proactively included in the development of the annual review documents and the Dialogues process helps all of our unit leaders to meet this goal. Good ideas come from diverse experiences!

You can review the relevant Regent Policies and the Administrative Policy statements (see also Appendix A for a shortcut summary). We also offer broad recommendations for criteria in Appendix B. We also suggest you take time to review the policy language directly. For example, did you know annual review processes must now include ***peer review***? And no, a department chair is not considered a peer!

Policy Resources:

[Current UCCS RPT criteria](#)	[UCCS Policy 200-001](#)	[Regent Article V (new)](#)
[APS 1006 Differentiated Work Loads for Faculty](#)	[APS 1009: Multiple Means of Teaching Evaluation](#)	[APS 5008 Performance Ratings for Faculty](#)

WVU ADVANCE Dialogues©

This toolkit draws on and articulates the evidence-based practices designed, tested, and adapted to UCCS by the NSF funded ADVANCE team at West Virginia University. Based on the assumption of the interdependent scholar, the "Dialogues" technique leads to:

1) building relations and generating trust in work groups,
2) coming to a consensus, and
3) catalyzing groups to act.

Dialogues is a process designed to improve unit level climate, culture, and effectiveness by building member capacity to communicate, collaborate and institutionalize behaviors that increase overall job satisfaction and improve professional and organizational outcomes. This strategy can lead to productive unit discussions and facilitate inclusive and meaningful engagement in the important work of creating and/or revising your department's annual review criteria (e.g., Holmes, Jackson, and Stoiko, 2015; Latimer, Jackson, Dilks, Nolan, and Tower, 2014; Nolan, Jackson, Latimer, Borres, and Tower, 2012).

CONNECT. COMMUNICATE. COLLABORATE. TRANSFORM.

The WVU ADVANCE Team is available for all institutions and can provide the following services for improving climate, culture, and collaboration in working teams:

- Facilitation services and training
- Mentorship opportunities for faculty and graduate students
- Change agent training
- Customized department, unit, or group support
- Research on inclusivity among colleagues

Contact them at advance.wvu.edu

Proof of Concept at UCCS

In the Fall of 2021, 14 department leaders engaged in 9 hours of training in the Dialogues® Process and interacted with other campus leaders to facilitate a conversation about the value of annual reviews at UCCS and how to improve the meaningfulness of these reviews.
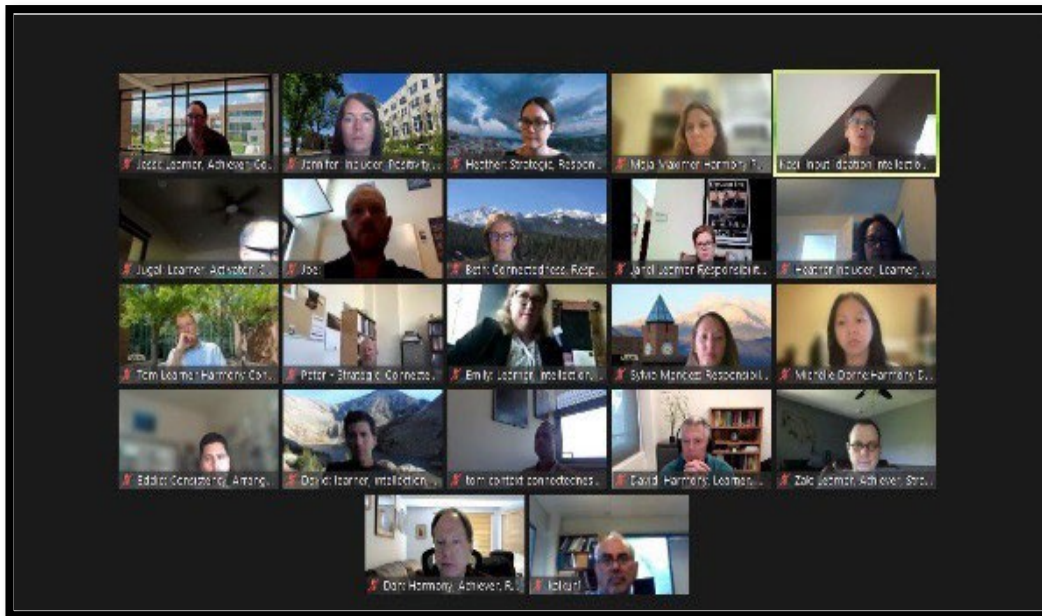
The trained department leaders then practiced their new skillset; all told, a total of 37 stakeholders on campus (additional department chairs, associate deans, deans, AVCs, the provost) engaged in a **Value of Annual Review Dialogues**. After that experience, here is a sample of what people had to say:

In what ways have you felt heard during this Dialogues process?

"Always feel appreciated and heard."

"Very open and inclusive process allowing anonymous and visible contributions."

"All can participate."

"Desire to see annual review process to be more separated from the RPT, for those units that have conflated the two processes."

What did you take away from this Dialogues exercise?

"These are great ideas for brainstorming in an inclusive manner in the future."

"Anonymous input"

"Need for systematic change in processes and support for annual review as a developmental process. Need to focus on using annual review for development, mentoring, and celebrating."

"The timeframe doesn't allow for in-depth discussion of each sticky's point – deeper engagement would be helpful and let more perspectives be fully explored."

How can you use this network of colleagues to support you moving forward in revising annual review criteria?

"I'll bring insights and process from this effort back to my department as we move towards annual reviews this Spring."

"I appreciate knowing that others on campus are struggling with the development of new criteria but finding this opportunity to change this review to an inclusive process that has a LOT of potential. I might even ask for peer review a la the Mural board comments :o)"

"In my role, need to encourage people to get this finished and help provide accountability."

"Work with both chairs and deans to make it more collaborative and transparent."

PROJECT CREST

How to use this toolkit

Included in this kit are three possible designs you can employ in your departments to facilitate an inclusive working session with your colleagues. We know not all units are ready or able to do a high-level engagement on annual review criteria development and refinement. Pick the level that makes the most sense for you but do give something a try. The status quo is maintained when we get stuck in a rut!

Three levels 1) Full Dialogues process 2) Asynchronous feedback/input and 3) Base-level information exchange
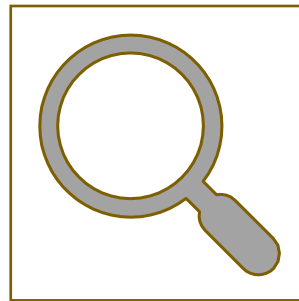
Full Dialogues Process	**Asynchronous Input**	**Information Exchange**
High Level Engagement	Mid Level Engagement	Base Level Engagement
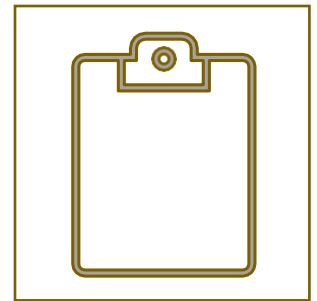
For each level of engagement, we include detailed instructions for how to leverage different tools and technologies. To make it easy, we also include sample agendas you can use to efficiently manage your department meetings as you discuss annual review criteria across teaching, research, and service. Anyone can facilitate this discussion; it does not have to be only from a department chair. You know your department best, so we want to make sure you have the flexibility and support to implement the best strategy for you.

> ***Anyone can facilitate this discussion!***

High-Level Engagement

Essential Steps

This process has specific steps to maximize efficiency and inclusion of *all* voices in your unit.

- **Step 1 Orient:** Establish ground rules and communicate the agenda.
- **Step 2 Connect:** Establish connections between members participating in the discussion.
- **Step 3 Warm-up:** Practice brainstorming idea generation with an interactive activity.
- **Step 4 Individual Brainstorm:** Focus on the specific agenda topic (annual review criteria in this case) and allow everyone to individually and anonymously brainstorm responses to key questions. The idea is to allow a free exchange of ideas and prompt creativity without worry about backlash.
- **Step 5 Collaborate:** In small groups, organize ideas by themes that emerge in the brainstorm. Allowing smaller groups to discuss and organize allows more collective voices to be heard and unique ideas to emerge.
- **Step 6 Report:** Based upon the themes, determine as a group what elements are most relevant and important to include in the annual review criteria.
- **Step 7 Commit to Action:** Have each member take ownership of at least one action item they will address to ensure the session produces tangible results. This could be writing up a section, collecting more information, or organizing the meeting notes.

In-person Engagement

If your faculty are regularly meeting (safely!) in person, provide people with sticky notes, markers, and a white board or large poster board to put and organize the stickies. Put people in random small groups, assign a timekeeper, and let the Dialogues begin! All of the levels of engagement are easily adaptable (and indeed were originally designed) for in-person engagement.

Want tips and tricks for in-person meetings? Need resources to purchase supplies? Email Project CREST.

Anywhere Engagement via MURAL

The ongoing pandemic has necessitated – and made easier – opportunities to collaborate virtually. For those who prefer a virtual platform, we want to introduce you to MURAL which is an interactive digital canvas that allows collaboration in real-time in a virtual workspace.

This platform also offers the ability to **remain anonymous** when sharing ideas with the larger groups which can help encourage more of your faculty members to share their thoughts.

How to use MURAL: Anyone in education has free access to an Education MURAL Account which allows for unlimited mural workspaces (for different topics, including classes) and up to 100 members who can have editing privileges. To access you free Education MURAL follow this link here.

> *Note*: It can take 3-4 days for your free educational MURAL account to be approved
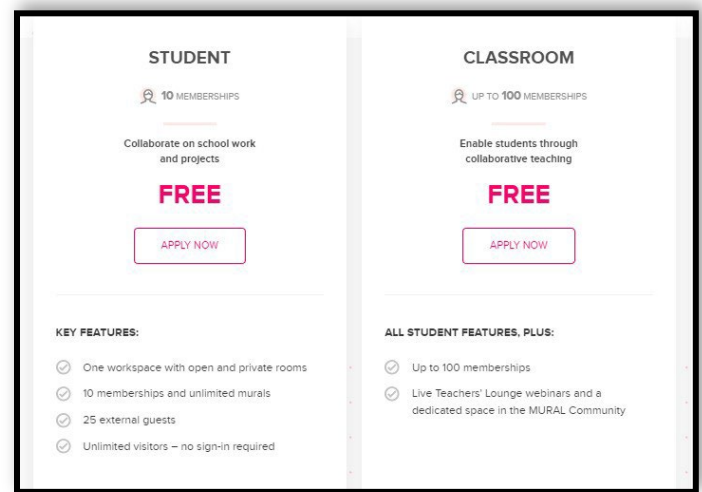
As with any new technology, there is a learning curve and the MURAL platform has a number of helpful tutorials to make it as easy as possible for you and your department to get started:

1. MURAL Learning
2. MURAL Webinars and Events
3. MURAL Blog

Additional Help: The ADVANCE Project CREST Team has also complied a variety of resources to help support you in developing your Murals for your Dialogues session(s) in your department. Below you will find links to sample MURAL boards that we can share with you once you create an account. We also include a Sample Agenda for a 90-minute meeting you can hold for each of the review criteria: teaching, leadership and service, and research.

Sample MURALS:

1. Stick to the agenda and trust the process
2. Be present and participate
3. Challenge the ideas not people
4. Communicate by getting to the point (land the plane!)
5. Expect a learning curve with technology

- Orient Activities – Ground Rules, Short Agenda, and Welcoming Activity
- Warm-up Brainstorm Activities – Pencil Activity
- Individual Brainstorm Activity (for the value of annual reviews)
- Individual Brainstorm Activity (for research criteria)
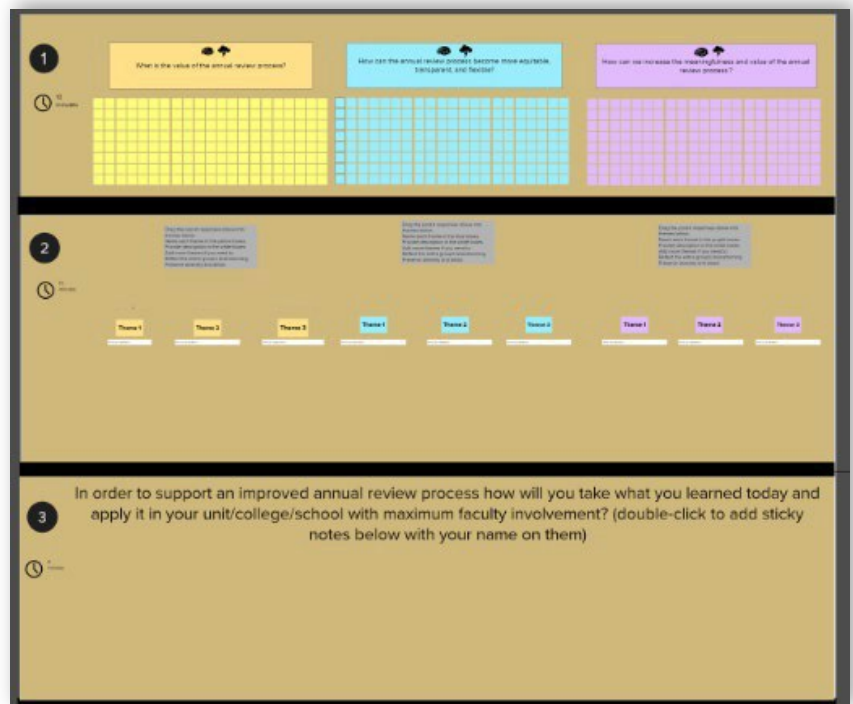
Click any of the links above to access the sample Murals in full. Want us to create your Mural? Just ask! Email ADVANCE@UCCS.EDU

For each step in the process, we outline the implementation guidelines, but feel free to adapt them as you see fit to your department.

- **Step 1 Orient:** Establish ground rules and communicate agenda.
  - The goal of this step is to get everyone on the same page about the purpose and align expectations for what you will be doing.
  - We encourage departments to generate their own ground rules but it is important that they communicate open dialogue among department members. See the sample ground rules above.
  - Providing a short agenda gives everyone a sense of time commitment for the upcoming tasks and lays a roadmap of where/what they will discuss.

- **Step 2 Connect:** Establish connections between members participating in the discussion. Even if your team knows each other well, it's a good idea at least during the first session to spend a few minutes to connect.
  - The goal of this step is to help open up lines of communication and increase comfort sharing with one another. Plus, you might learn something new about your colleagues! It also serves the purpose of allowing your faculty to practice using a new platform like MURAL.
  - The Welcome Table asks faculty to select a digital button or sticker (like the one on the right) or a real button if you are in person, with an image or slogan that they relate to in some way and create a sticky note caption for how they relate to it or why they picked it.

- **Step 3 Warm-up:** Practice brainstorm idea generation with an interactive activity in small groups which is later reported to the larger group. This is to get your team in the creative spirit. You will not need it for every session, but it is a good idea to kick off the first meeting.
  - This step allows for further practice using MURAL and enhances creative idea generation.
  - The example warm-up activity in the MURAL link above is a Pencil Use Activity where you ask participants to generate as many (100+) different uses for a pencil by creating a new sticky-note for each use.

- This activity works well in small breakout groups which allows for a little friendly competition between groups on who can generate the greatest number of uses. Alternatively, you can have the full group work together.

- **Step 4 Individual Brainstorm:** Now it's time to focus in on the main agenda item (annual review criteria in this case) and brainstorm responses to questions about what should be considered when revising these criteria.
  - You will ask your faculty to individually brainstorm ideas and responses to questions you pose related to annual review criteria again using sticky notes to anonymously provide input. This allows maximum participation from faculty.
  - For this step, it is important to develop questions that can lead to many different ideas (yes/no or leading questions will not work well, see *Humble Inquiry* from Schein and Schein, 2021 as a resource). Additionally, as you will see in the sample agenda further down, we recommend holding an individual session for the three main review areas: teaching, leadership and service, and research.
  - Regarding annual review criteria, The CREST team developed a few questions you may consider tailoring to your needs.
    - **Sample Research Brainstorm Questions**:
      - "How have research practices changed in your subfield over the last 25 years?"
      - "What scholarly outcomes or products would you like to see rewarded in the annual review process?"
      - "How is authorship order considered in the annual review, especially when someone publishes in an interdisciplinary outlet?"
    - **Sample Teaching Brainstorm Questions**:
      - "How might different teaching workloads (class size, format) be considered?"
      - "How do we want to use FCQ's when evaluating teaching?"
      - "How might professional development around teaching be recognized?"
    - **Sample Leadership and Service/Engagement Brainstorm Questions:**
      - "How do we define successful student mentoring?"
      - "How is service and mentoring related to equity, diversity, and inclusion recognized?"
      - "How is service to the discipline recognized?"
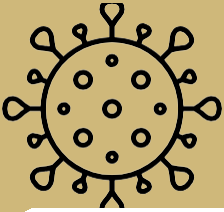
It is also crucial to consider how the COVID-19 pandemic has impacted faculty in different ways. When considering evaluations, consider the following:

How does the annual review take into account the *long-term* impacts of the pandemic, and its corresponding restrictions and disruptions on faculty work?

How has the COVID pandemic affected the research pipeline in your discipline? Are there some groups of people more affected than others? Have you considered this from an intersectional perspective?

Teaching transformed during the pandemic to remote formats. Did some faculty have considerably heavier loads in a remote format (e.g., large sections, intensive mentoring)?

Did service demands increase for some faculty members related to the pandemic (e.g., providing tech support to colleagues, serving on department or campus-wide pandemic mitigation committees)?

Were faculty engaged in activities (e.g., extra student support/mentoring) driven by the pandemic that should be accounted for in review processes?

Caregiving demands amplified considerably during the pandemic both personally and professionally in terms of emotional labor and meeting student and staff and colleague needs. How is this extra toll considered?

- **Step 5 Collaborate:** Organize ideas by themes that emerge in the responses.
  - Once the individual brainstorming is complete, the next step is to break into small groups and begin organizing faculty responses into themes. Are there common ideas or sentiments that come up? Are there similar strategies that faculty seem to be pointing to? Each small group will work on gathering the (virtual or actual) sticky notes into themes for one given question.

- **Step 6 Report:** Based upon the themes that emerge, determine as a group what elements are most relevant and important to include in the revised annual review criteria.
  - The small groups will rejoin the full group and report out on the different themes that emerged for their specific question. Discuss how these themes can inform the revision/co-creation of the new annual review criteria.

- **Step 7 Commit to Action:** Have each member take ownership of at least one action item they will address to ensure the session produces tangible results.
  - As a final activity, ask each person to create one (or more) sticky notes. On this note they will include their name and one action item they will be responsible for to move forward the development of the new annual review criteria (e.g. compile ideas into a document; revise the document for clarity; create a summary of themes to share with department; research what other departments are doing for their annual review; create a prioritized list of documents; etc.).

! **Wait! Before you finish the process, reflect on the criteria and process you've generated. Ask yourself and each other:**

Does our criteria sound like the same criteria used 25 years ago? How can we refresh it and grow it to meet the world of tomorrow?

Are annual review criteria welcoming and open to a variety of ways of knowing (knowledge construction)?

What type of research products are most valued and why? What is left out and how might we include it?

Are the scope and impact of service and teaching workloads understood in light of how much time these activities take away from research time?

Are the review criteria broad and embrace the interests and talents of faculty from multiple, intersectional social groups and backgrounds?

Does one group benefit more than another because of informal processes or practices that reward certain types of activities in the department?

How can we avoid being subjective in the annual review process and be more transparent and objective (how can we set more concrete criteria)?

How did your own type of accomplishments factor into what you wanted to see in the annual review criteria?

Sample Agenda – Creating a Meaningful Annual Review Process: 90 minutes

Below is a sample agenda for one 90-minute session you might hold in your department. Again, we recommend you hold separate sessions, for teaching, leadership and service, and research. Though, you may find that the discussion of one topic informs another. Finally, consider either starting with or ending with a session to brainstorm the actual process by which your department will implement the new co-created review criteria.

Annual Review Process Criteria Co-Creation

Sample Meeting Agenda

Date: October 15th Time: 1:05pm Zoom Link: XXXX

Current Time Allotted: 80 minutes (leaves 10 minutes for flexibility and a buffer for start time)

1. **Welcome** (1:05-1:07pm) (2 minutes)
    a. Welcome and explanation of meeting purpose of co-creating annual review documents in an inclusive way regarding the research criteria component of the annual review. If needed, provide context and review new CU Regent Rules.
2. **Sharing Agenda and Ground Rules** (1:07-1:09pm) (2 minutes)
    a. Introduction to MURAL as the platform (zoom settings, turning off other's cursors, etc.)
    b. Review Ground Rules – Trust the Process!
3. **Connect Activity** (1:09-1:17pm) (8 minutes)
    a. Welcome Table with prompt question "Find a button that you identify with in some way. Double-click anywhere around the table to create a new sticky note and describe why you chose your button. Drag the sticky note to your button to "claim" it."
    b. Choose four participants to share their Button.
4. **Warm up Activity** (1:17-1:32pm) (up to 15 minutes)
    a. Instructions for Pencil Activity
    b. Breakout rooms
        i. In groups you will: 1) do an individual brainstorm on pencil uses (3min); 2) find duplicate uses (1min); 3) count unique items (3min); 4) identify favorites! (1min); 5) Choose person from each group to share how many their group generated and their favorite pencil uses.
5. **Revisit where we are in the agenda and transition to using this process to think creatively and critically about what we want in the annual review.** (1:32-1:33pm) (1 minute)

6. **Annual Review Individual Brainstorm Activity** (1:33-1:43pm) (10 minutes)
   a. Orientation to the new Mural Board (share link).
   b. Give directions for the individual brainstorming – write as many as you can in 8 minutes.
7. **Annual Review Group Theme Activity** (1:43-1:59pm) (16 minutes)
   a. Explain the breakout rooms, their task to make themes, keep creative ideas (1min).
      i. Group post-its by themes and write a general description of the themes that arise.
   b. Groups - 15 minutes to work on this
      i. **Sample Group 1 Question**: What do you see as the potential value of the annual review process?
      ii. **Sample Group 2 Question:** How can the annual review process become more equitable, transparent, and flexible?
      iii. **Sample Group 3 Question:** How can we increase the meaningfulness and value of the annual review process?
8. **Report out of the themes and any unique ideas to larger group** (2:00-2:12pm) (12 minutes)
9. **Action Item Activity** (2:12-2:20pm) **(8 minutes)**
   a. Sample Question: "Based on the ideas and tools that were shared today, what will you do next to help us create/revise our annual review process to ensure it has value?"
   b. Give directions for the new task (1 minute)
      i. Put a sticky with name on it with answer to the question. You can post more than one.
   c. People complete the task (2 minutes) and call on 3 people to talk about what they posted (5 minutes)
10. **Wrap up**
   a. Final thoughts, next steps, thank you and goodbye (2:20-2:26pm) (6 minutes)

Mid-Level Engagement – Asynchronous Input

We know that no two departments are alike and perhaps you are not in a position to utilize the full Dialogues process. Again, you know your department best, but we encourage you to consider implementing at least one Dialogues session as you discuss your annual review criteria and the CREST team will be here to support you in any way possible to make it successful. For those units looking for a mid-level form of engagement, we suggest an asynchronous survey or form to kick start discussion. Anyone can collect the (anonymous!) input and share it out with the faculty/chair.

Qualtrics Survey Platform

As an alternative to the interactive engagement garnered through the synchronous Dialogues, a substitute option would be to collect **anonymous** asynchronous feedback from your faculty via a survey or series of surveys. UCCS provides a free account for Qualtrics for every person. As an example, the CREST Team has created a brief Qualtrics survey that can be tailored to your department about the criteria people want to see included in the annual review. We can create one that is specific to research/creative work criteria for example that suits your unit. The goal is to hear a diverse range of ideas from your faculty in an anonymous way.

> *The Project CREST team can compile the results to share with you or you can create your own Qualtrics survey that only you access.*

It will be most beneficial for your faculty to provide them with context for the survey beyond an email with summary and instructions. We recommend holding a department meeting to discuss the regent mandates and the current state of your annual review criteria if possible.

A sample agenda follows with how you might introduce this important topic and share available resources with your faculty.

Sample Agenda Initial Meeting – Creating a Meaningful Annual Review Process
15 minutes

Annual Review RESEARCH Criteria Co-Creation SAMPLE Agenda

Date: October 15ᵗʰ Zoom Link: XXXX

Current Time Allotted: 15 minutes

1. **Welcome** (1 minute)
   a. Welcome and explanation of meeting purpose of co-creating annual review documents in an inclusive way regarding the research/teaching/service criteria component of the annual review.
2. **Explain Regent Mandates** (5 minutes)
   a. Relevant links:
      i. Current UCCS RPT criteria: https://provost.uccs.edu/tenure-promotion-annual-performance-criteria-and-resources
      ii. UCCS Policy 200-001: https://vcaf.uccs.edu/sites/default/files/inline-files/200-001%20Reappointment%2C%20Promotion%2C%20and%20Tenure_APPROVED_%282.27.2024%29.pdf
      iii. Regent Article V (new): https://www.cu.edu/doc/article-5-policy-5-finalpdf
      iv. APS 1006 : Differentiated Work Loads for Faculty: https://www.cu.edu/ope/aps/1006
      v. APS 1009: Multiple Means of Teaching Evaluation: https://www.cu.edu/ope/aps/1009
      vi. APS 5008 Performance Ratings for Faculty: https://www.cu.edu/ope/aps/5008
   b. Explain Timeline
3. **Introduce Questions to Consider** (9 minutes)
   a. Let faculty know the questions you will pose to them in the survey: are you collecting feedback all at once for research, teaching, service criteria and the process? Or are you going to get that feedback one at a time? Do faculty have ideas for different/additional questions they want to include in the survey?
4. **Meeting Adjourned**
5. **Follow-up Action Item**: Send out Qualtrics survey(s) and give faculty a timeline to complete. Need help creating them? Project CREST will set them up for you, compile results, and whatever else you need - just ask!

ADVANCE
PROJECT **CREST**

Sample Agenda Follow up Meeting – Creating a Meaningful Annual Review Process 30 minutes

---

Annual Review RESEARCH Criteria Co-Creation SAMPLE Agenda

Date: October 21st Zoom Link: XXXX

Current Time Allotted: 30 minutes

1. Welcome and orientation (2 minutes)
2. Share individual survey results (anonymous) with the entire group before the meeting.
3. **Discuss themes of the data in Small Groups** (up to 12 minutes)
   a. Split your faculty into three small groups and discuss themes that emerged (one group can focus on the results from just one of the questions or you can have each small group identify themes across all the questions you posed).
4. **Report out and discuss the themes to the larger group (16 minutes)**

Is your department using a **subcommittee** to create or revise the annual review criteria and process documents?

The CREST Team can support these committees with the same tools and support we would offer the full department to help ensure your unit documents capture the diverse ways in which your faculty demonstrate their strengths in teaching, research, and leadership and service.

Stop/Start/Keep – Padlet Platform

As an alternative to a Qualtrics survey, you can invite faculty to respond to three simple prompts: **What should we start doing in annual reviews, stop doing, and keep doing**. Faculty can complete this as a hardcopy form, or you can use the platform called "Padlet" which Project CREST can set up for you. This platform allows users to post anonymous ideas, "rate" other ideas, and comment. Think of it like a social media platform! Users can access the link at any time to add their ideas about annual review criteria and processes, though we suggest doing it as a group with a 16-minute time frame for the greatest possible impact. We've set up a sample Padlet and can easily modify and create one just for your department.
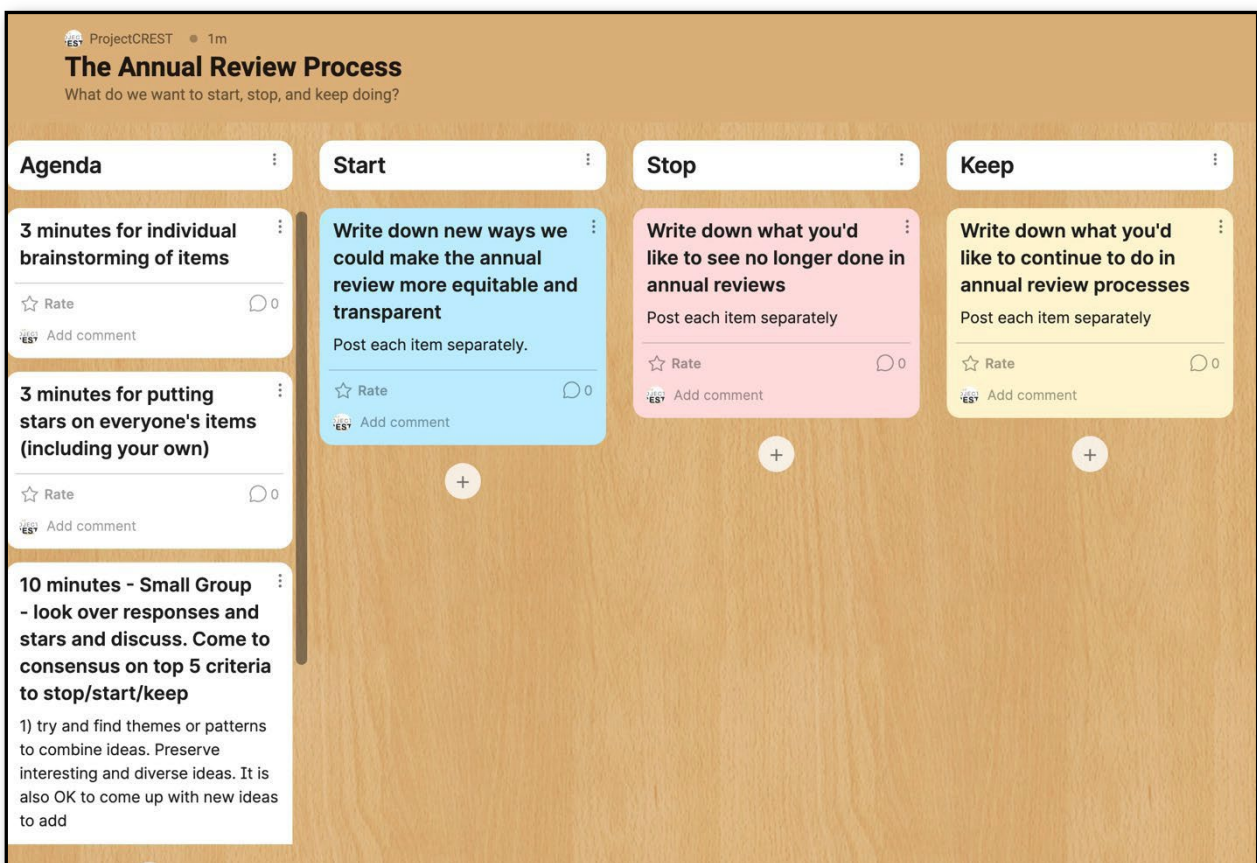
Base-level Engagement

A final option for departments to consider is sharing and exchanging written information that each person can review and consider on their own time. We've provided such a document in Appendix A. The ***Considerations when Creating/Revising UCCS Annual Review Documents for Tenure/Tenure Track Faculty*** document provides background, links, and ten common questions and issues to consider. Sharing the document provides a baseline level of information that faculty can use to inform their ideas and opinions about the process that they can then choose to share with others, their chair, or the subcommittee charged with the annual review document development.

Facilitation Help and Tech Support

- Do you like some of the activities but want them tailored to your specific needs? Just let the CREST Team know and we are happy to design a MURAL or Qualtrics survey that meets your needs!
- Need facilitation help? One of the CREST Team members can join your department meetings to help facilitate activity instructions, tech troubleshooting, run breakout rooms, and guide discussions. We know you have a lot on your plate as the department chair or the lead on your subcommittee and we are here to help lighten the load!
- We also don't want you to feel constrained by the technology we outline above. There are many great collaboration tools available now and our team can help you facilitate engaging meetings using a number of different tools. Some examples include:
  - Padlet
  - Jam Board
  - TEAMS Whiteboard
  - MentiMeter
  - Google Forms

If you would like help building a MURAL board, Qualtrics Survey, or Padlet… or facilitating your trainings… or another set of eyes on your review criteria… anything really. Just send an email to ADVANCE@UCCS.EDU!

Onward:

Congratulations on co-creating the annual review documents! We know this work at times may feel thankless, so let us be the first to say THANK YOU. It can feel like high stakes to navigate the different ideas, the tensions, and the time it takes to co-create documents as a unit. It's so much easier to just do what's been done before! But our fields change, our faculty change, our strengths and vulnerabilities change, and our mission evolves in ways that require vigilance, reflection, and trust. We don't want any voices left out.

Building an inclusive, fair, and transparent annual review process that accurately acknowledges the many talents and accomplishments of your faculty is an on-going process. Once you have your new annual review criteria and process on paper, we encourage you to refer to the thought questions beginning on Page 16 of this toolkit. These questions are intended to help you take a "big picture" look at the new document your department has collectively made. Perhaps you do this today, perhaps you do it once a year, but be ready to re-engage with the evaluation criteria and process. This is not a one and done task. There is always room to improve, revise, and resubmit!

Collaborations, even among our colleagues, can feel difficult, stressful, and time consuming. But we get such value out of collaborations, especially when we embrace and enact an "ethos of care."

An Ethos of Care

Excerpt from Skop, E., Martina A. C., Faria, C., and Smith, J. L. (forthcoming)

Establishing and maintaining collaborations depends on the ability and willingness of scholars to work together and create mutually agreed upon goals and responsibilities. We argue that collaborations benefit from honestly discussing each of the ten points offered in the "Ethos of Care Pledge" at the beginning of any collaboration. Collaborators should be invited to untangle and revise any of the ten points and append the pledge to suit the needs of both individuals and the team. We also contend that collaborators must have regular and frequent communication throughout the collaboration, particularly regarding their respective expectations and obligations. Revisiting and revising the pledge according to the interests of both individuals and the team are critical to accomplishing agreed upon goals. This pledge can also serve as a prompt for navigating difficult conversations around the inherent imbalances of power, the vulnerability of individual collaborators, and the potential consequences for all involved. With that in mind, we offer the "Ethos of Care Pledge":

In our work together we promise to:

1. Center our academic pursuits around a feminist ethic of knowledge production—one that recognizes the long-standing inequities and injustices of academia.

2. Embrace an explicitly antiracist feminist approach that highlights the compounded academic pressures and hypervisibility/invisibility of BIPOC scholars.

3. Develop, promote, and reward strategies to do academic work that centers social justice imperatives.

4. Make space to hear and learn from uncomfortable, innovative and transgressive ideas.

5. Create transparency and fairness by setting, communicating, and respecting clear boundaries. Take time to reflect and revise these boundaries in recognition that over the course of our personal and professional lives these boundaries adapt and change.

6. Protect our mental, emotional and physical well-being and growth in the research process by supporting each other's professional and personal aspirations.

7. Share and rotate the labor of intellectually joyful and tedious tasks.

8. Mentor up, down and across professional and personal life-course stages to unsettle hierarchical relationships and promote an ethos of care.

9. Disrupt perfection: Share insights and experiences overcoming challenges, failures, and rejections as well as motivations, successes, and ambitions.

10. Humanize our work by valuing the intellectual and ethical centrality of friendship, connection, and responsibility.

Citations and Further Readings

Dialogues Facilitation Process

Jackson, K., Meija, A., Stoiko, R., & Holmes, M. H. (June 22-26, 2016). Dialogues Toward Gender Equity: Engaging engineering faculty to promote inclusive department climate. Published proceedings from the 2016 ASEE Annual Conference & Exposition, New Orleans. Dialogues Engaging Engineering ASEE

Holmes, M., Jackson, K., & Stoiko, R. (2015). Departmental Dialogues: Facilitating positive academic climates to improve equity. *Innovative Higher Education*. DOI 10.1007/s10755-016-9358-7

Departmental Dialogues: Facilitating Positive Academic Climates to Improve Equity in STEM Disciplines

Maja Husar Holmes[1] · J. Kasi Jackson[2] · Rachel Stoiko[3]

Published online: 8 February 2016
© Springer Science+Business Media New York 2016

Abstract This exploratory qualitative study examined faculty responses to a collegiality-building process called Dialogues. The process used a series of discussions and activities to guide faculty members toward a common, mutually beneficial goal, while changing patterns of interaction. The responses revealed how faculty members experienced collegiality-building practices, including individual reflection, small group discussions, idea generation and prioritization, and consensus-building. The study examined faculty responses within STEM departments. We conclude with recommendations for encouraging inclusive and participatory departmental norms and behaviors in order to promote a positive departmental climate, which is crucial to achieving equity in all disciplines of the academia.

Keywords Departmental climate · collegiality · gender equity

Latimer, M., Jackson, k., Dilks, L., Nolan, J., & Tower, L. (2014). Organizational Change and Gender Equity in Academia: Using dialogical change to promote positive departmental climates. pp. 333-353 in *Advances in Gender Research: Gender Transformation in the Academy*, vol. 19, edited by Vasilikie Demos, Catherine White Berheide, and Marcia Texler Segal, Emerald Group Publishing.

Nolan, J., Jackson, K., Latimer, M., Borres, A., & Tower, L. (June 25-27, 2012). A Dialogical Change Process for Strategic Planning to Diversify Academic Departments published in proceedings of the 23rd Annual National Conference of Women in Engineering ProActive network (WEPAN), Columbus Ohio.

Results from Our Campus

Mendez, S. L., Poe, J., Smith, J. L., Daniels, E. A., Skop, E., & Song, H. (2022*). Faculty annual review at UCCS: Fostering greater equity-minded practice*. University of Colorado Colorado Springs. https://research.uccs.edu/sites/default/files/2023-03/Faculty%20Annual%20Review%20Criteria%20at%20UCCS%20Report.pdf

Other Readings

Niemann, Y. F., Gutierrez y Muhs, G., & Gonzales,C. G. (2020). *Presumed Incompetent II: Race, Class, Power, and Resistance of Women in Academia*. Utah State University Press.

Hill Collins, P., & Bilge, S. (2020). *Intersectionality*. Polity Press. Second edition.
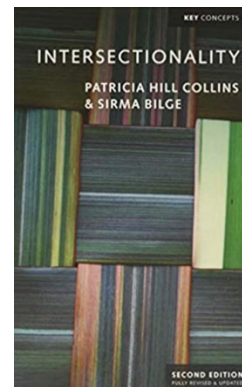
Mitchneck, B. & Smith, J. L. (August 24, 2021). *Academe should determine what specific systemic changes are needed for DEI (opinion) | Inside Higher Ed.* https://www.insidehighered.com/views/2021/08/24/academe-should-determine-what-specific-systemic-changes-are-needed-dei-opinion

Mitchneck, B., Smith, J. L., & Latimer, M. (2016). A recipe for change: Creating a more inclusive academy. *Science*, *352*(6282), 148–149. https://doi.org/10.1126/science.aad8493

Muhs, G. G. y, Niemann, Y. F., González, C. G., & Harris, A. P. (Eds.). (2012). *Presumed Incompetent: The Intersections of Race and Class for Women in Academia* (1 edition). Utah State University Press.

O'Meara, K., Templeton, L., Culpepper, D. and White-Lewis, D. (2022). *Equity-Minded Reform of Faculty Evluation Policies – Audit Resource,* American Council on Education, Washington, DC. https://www.acenet.edu/Documents/Equity-Minded-Faculty-Evaluation-Audit.pdf

Schein, E. H. & Schein, P. A. (2021). *Humble Inquiry: The gentle art of asking instead of telling* (Second, revision and expanded edition). Berrett-Koehler publishers.

Skop, E., Martina A. C., Faria, C., and Smith, J. L. October 15, 2021). An Ethos of Care: Pledging to make research collaborations more equitable. *Inside Higher Education*.

Smith, J. L., Handley, I. M., Rushing, S., Belou, R., Shanahan, E. A., Skewes, M. C., Kambich, L., Honea, J., & Intemann, K. (2018). Added benefits: How supporting women faculty in STEM improves everyone's job satisfaction. *Journal of Diversity in Higher Education*, *11*(4), 502–517.

Squazzoni, F., Bravo, G., Grimaldo, F., Garcıa-Costa, D., Farjam, M., & Mehmani, B. (2020). *No Tickets for Women in the COVID-19 Race? A Study on Manuscript Submissions and Reviews in 2347 Elsevier Journals during the Pandemic* (SSRN Scholarly Paper ID 3712813). Social Science Research Network. https://doi.org/10.2139/ssrn.3712813

Viglione, G. (2020). Are women publishing less during the pandemic? Here's what the data say. *Nature*, *581*(7809), 365–366. https://doi.org/10.1038/d41586-020-01294-9

DIVERSITY IN SCIENCE

A recipe for change: Creating a more inclusive academy

Using data, selecting leaders, and changing rules

By Beth Mitchneck,[1] Jessi L. Smith,[2] Melissa Latimer[3]

Although there has been a welcome increase in discussion about gender disparities in science, technology, engineering, and mathematics (STEM), broad participation of women from all backgrounds in academic STEM will not be achieved until institutions are transformed. A long-range view is needed to change the rules of the game, such that institutional culture and practices create work-

[1]University of Arizona, Tucson, AZ 85721, USA.
[2]Montana State University, Bozeman, MT 59717, USA.
[3]West Virginia University, Morgantown, WV 26506, USA.
E-mail: bethm@email.arizona.edu

148 8 APRIL 2016 • VOL 352 ISSUE 6282

places where all scientists and engineers want to be. We lay out a six-point plan of what needs to change, who should participate, and how actors outside of the academy should have direct involvement in the process.

We focus on gender but recognize the importance of attending to gender identity, ability, race and ethnicity, **POLICY** class, sexual orientation, and other important intersections. Changes that bring about inclusion for one group, we argue, can have far-reaching benefits for everyone.

Learn the social science research. The entire campus community must be better informed about hurdles to hiring, retaining, and promoting women, especially women of color. Decades of social science research

Published by AAAS

ADVANCE
PROJECT **CREST**

Considerations when Creating/Revising UCCS Annual Review Documents for Tenure/Tenure Track Faculty

Revised Fall 2021

OBJECTIVE: IN RESPONSE TO REGENT POLICY CHANGES, EACH UNIT SHOULD CREATE/REVISE ANNUAL REVIEW CRITERIA DOCUMENTS FOR BOTH TTF AND IRC FACULTY. THE GOAL OF THIS DOCUMENT IS TO ASSIST WITH THE ALIGNING OF TTF ANNUAL REVIEWS WITH REGENT LAW WHILE ENSURING PROACTIVE AND INCLUSIVE ENGAGEMENT OF FACULTY IN THE DEVELOPMENT OF THE REQUIRED DOCUMENTS. BY THE END OF THIS EXPERIENCE, YOUR UNIT SHOULD HAVE TWO DOCUMENTS:

1. Criteria document focused on the requirements expected of the faculty.
2. Procedures of how merit review is conducted (committee membership, timing, etc.) should be in a separate document so that they can be changed without going through the entire merit criteria change process.

Relevant Regent policy and CU Administrative Policy Statements:

- Regent policy now specifies that departments must have separate criteria for RPT processes and for annual merit review.
- **Regent Policy 5.C.2(E):** "The process leading to the award of tenure is an evaluation of a faculty member's cumulative performance and is a process that is separate and distinct from the annual performance evaluation."
- **Regent Policy 5.C.4(C)(1):** "Faculty governance leadership and service shall be considered in the annual merit evaluation as in other evaluation processes."
- **Regent Policy 5.C.4(B):** "Annual performance evaluations for all faculty members shall be conducted by each campus, using a peer evaluation process. Consistent with the faculty member's duties, their contribution to teaching, scholarly/creative work, leadership and service, and, where applicable, other activities specific to their unit (e.g., clinical activity, librarianship), shall be evaluated based on written performance standards developed by the faculty of the academic unit (primary unit annual evaluation criteria) and any additional written expectations agreed to by the faculty member and the unit. Teaching evaluations shall use multiple measures, including normed student feedback

(e.g. Faculty Course Questionnaires), as further explained in the corresponding Administrative Policy Statement. In annual merit evaluations, the assigned workload of a faculty member shall be considered.

- **APS 1009 (revised) Section II:** "A. The teaching of all faculty members shall be evaluated using normed student feedback on behaviors and practices of which students have direct knowledge using an instrument that mitigates known bias in student evaluations of teaching. See Section IV of this APS.   B. All personnel actions for tenured or tenure-track faculty shall be based, in part, on the evaluation of teaching. Faculty members shall be evaluated annually to inform decisions regarding merit-based salary adjustments and evaluated in a summative manner for comprehensive review, tenure, and promotion.   B.1. Annual evaluations shall include data from the Faculty Course Questionnaire (FCQ) or a similar, campus-approved mechanism (see Section IV of this APS) and may include other measures of teaching effectiveness."
    - (Note that Regent Policy 5.C.4(B) requires the use of multiple measures and so appears to be inconsistent with the APS.)

    "E. In conducting annual performance evaluations, primary units can consider performance over multiple years to account for activities that may not yield measurable results in a single year. Units are encouraged to use this flexibility to give appropriate consideration to pedagogical innovation, recognizing that positive impact may not be immediately evident. "

- **APS 1009 (revised) Section III:** " A. The voting faculty of each primary unit shall determine the goals and components for evaluating teaching in the unit. Primary unit components shall take into account any requirements from the campus or school/college. Individual faculty members shall be evaluated based on components selected from the list approved by the primary unit. Appendix A includes is a non-exhaustive list of components that a unit might consider.

    1. The primary unit evaluation goals and components shall be available to each faculty member.

    2. The evaluation components selected for each faculty member for both annual and summative evaluations shall be appropriate to their teaching responsibilities.

    3. Faculty members shall be advised of any elimination/revision of existing components, or addition of new components, no later than April 1 for application in the next academic year.

4. The primary unit shall gather the materials needed to evaluate an individual faculty member. The faculty member shall cooperate with this process and failure to do so may be regarded as neglect of duty.

B. The evaluation components for both annual review and reappointment, tenure, and promotion shall be reviewed when primary unit criteria are reviewed and approved by the dean and provost.

C. The provost shall facilitate effective and efficient implementation of this policy with the deans and the chairs of the primary units.

- **APS 5008 (revised):** "II.A. Faculty members will be evaluated and receive a performance rating on an annual basis. Individual performance evaluations and ratings provide the basis for annual merit and other pay adjustments, although additional information may also be used in the annual salary setting process. As stated in Regent Policy 5.C.4, a peer evaluation process shall be used at all campuses, with some exceptions at the Anschutz Medical Campus. A faculty member's performance shall be evaluated based upon performance standards developed by each academic unit and according to any written expectations agreed to between the faculty member and the unit."   "II.E. Performance ratings for annual merit or salary adjustment consideration shall be submitted to the Dean in accordance with individual campus-defined submission dates."   "II.F. The justification for the performance rating may consist of a numerical, narrative, or other evaluative processes, at the discretion of the campus. Existing evaluation processes, including the Faculty Report of Professional Activities (FRPA), may be used to arrive at the annual performance rating. A description of the evaluation process and the criteria to be used must be available, in writing, to each faculty member."
- **Regent Policy 11.B.1(B)(1)(A):** "Merit shall be the prevailing factor in all recommended salary increases. Determinations of merit shall be made by a collegial and consultative process within the primary unit using clearly articulated standards of merit and employing existing primary unit (defined in the glossary) guidelines, including peer review."

General Resources:

- Current UCCS RPT criteria: https://provost.uccs.edu/tenure-promotion-annual-performance-criteria-and-resources
- UCCS Policy 200-001: https://vcaf.uccs.edu/sites/default/files/inline-files/200-001%20Reappointment%2C%20Promotion%2C%20and%20Tenure_APPROVED_%282.27.2024%29.pdf
- Regent Article V (new): https://www.cu.edu/doc/article-5-policy-5-finalpdf

- APS 1006 : Differentiated Work Loads for Faculty: https://www.cu.edu/ope/aps/1006
- APS 1009: Multiple Means of Teaching Evaluation: https://www.cu.edu/ope/aps/1009
- APS 5008 Performance Ratings for Faculty: https://www.cu.edu/ope/aps/5008

Questions and Issues to Consider in Annual Review Criteria Development

---

The following are all POSSIBLE topics to address as we bring our annual merit review policies into compliance with the changes in Regent Laws and Policies. The question prompts and issues on this list are not mandated but are important to consider.

Begin and end by asking questions such as:

1. Does our criteria sound like the same criteria used 25 years ago? How can we refresh it and grow it to meet the world of tomorrow?
2. Are annual review criteria welcoming and open to a variety of ways of knowing (knowledge construction)?
3. What type of research products are most valued and why? What is left out and how might we include it?
4. Are the scope and impact of service and teaching workloads understood in light of how much time these activities take away from research time?
5. Are the review criteria broad and embrace the interests and talents of faculty from multiple social groups and backgrounds?
6. Does one group benefit more than another because of informal processes or practices that reward certain types of activities in the department?
7. How can we avoid being subjective in the annual review process and be more transparent and objective (how can we set more concrete criteria)?
8. How did your own type of accomplishments factor into what you wanted to see in the annual review criteria?

Pandemic Impact Questions:

1. How does the annual review take into account the *long-term* impacts of the pandemic, and its corresponding restrictions and disruptions on faculty work?
2. How has the COVID pandemic affected the research pipeline in your discipline? Are there some groups of people more affected than others? Some types of subfields in your unit more than others?

3. Teaching transformed during the pandemic to remote formats. Did some faculty have considerably heavier loads in a remote format (e.g., large sections, intensive mentoring)? How is this considered in annual review?
4. Did service demands increase for some faculty members related to the pandemic (e.g., providing tech support to colleagues and students, serving on department or campus-wide pandemic mitigation committees)? Given these additional demands take time away from research and teaching, how is this considered in annual review?
5. Were faculty engaged in activities (e.g., extra student support/mentoring) driven by the pandemic that should be accounted for in review processes?
6. Caregiving demands amplified considerably during the pandemic both personally and professionally in terms of emotional labor and meeting student and staff and colleague needs. How is that work considered in the annual review process?

Ten Common Questions and Issues to Consider

1. Different instructional modes and workload
   a. Do our merit evaluation processes and policies appropriately protect faculty engaged in different modes of instruction such as in-class, on-line, and hybrid?
   b. Will your unit evaluate differently depending on the teaching load (for example, EAS had research/teaching/service of 50-30-20, 60-20-20 etc.)
   c. How does the availability of a teaching assistant, size of the class, type of class (graduate or undergraduate) or the number of new preps in a given year impact annual review?
   d. How does effective mentoring of graduate students, if applicable, factor into annual review? What does "effective" look like?
2. FCQ changes
   a. How should departments take into account the changes in the FCQ forms since faculty will have some FCQs in the older form and some in the new form?
   b. The faculty removed the overall instructor and course questions based on research that they tend to be biased. Should departments be allowed to put them back in?
   c. How much weight should be given to FCQ questions since we are supposed to be using "multiple measures"?
   d. Resources:
      i. Faculty Assembly Women's Committee study:
         https://www.uccs.edu/women/fcqs-bias-student-evaluation
      ii. Report of Faculty Assembly Teaching Evaluation Task Force (May 2019):
         https://www.uccs.edu/facassembly/fcq-revision

3. How are sabbaticals and other professional development activities taken into account in annual merit review?
4. How is grant activity recognized in annual merit review criteria?
   a. Is submission of grants recognized and valued?
   b. How does submission of grants differ from receiving a grant in recognition?
   c. How are PI, co-PI, evaluation, and consultant roles understood and valued for annual review?
   d. Administering, carrying out, and closing out a grant takes substantial time. How is that grant work recognized?
5. How is service and mentoring related to equity, diversity, and inclusion recognized?
6. Publications
   a. With the expansion in pay-to-publish outlets, predatory journals, and other opportunities to publish work, how do we assess the quality and peer-review process of journals where faculty publish?
   b. How are interdisciplinary outlets considered?
   c. Different fields have different values for authorship placement. Senior author, first author, sole author etc. How is that considered in the annual review, especially when someone publishes in an interdisciplinary outlet?
7. New Modes of Dissemination
   a. With the expansion of new technologies and platforms (pod casts, blogs, social media, webinars, remote conferences), how do we consider the impact, reach, and quality of new and emerging types of dissemination outlets?
8. Multi-unit hires
   a. How do we handle annual merit review for faculty who have appointments in multiple primary units?
   b. Should this be specified in policy? (Current practice is to write an MOU at the time of hire that spells out how to do the reviews.)
9. Administrative service
   a. How is administrative service (chairs, program directors, …) included in annual merit review?
   b. If the person is given a separate annual review for the administrative work, should that documentation be included in their faculty annual merit review?
10. Will your unit evaluate differently depending on pre-tenure or post-tenure status? How so?

ADVANCE
PROJECT **CREST**

Appendix B – Recommendations for Greater Equity-Minded Criteria

Transparency

Eliminate ambiguity in the annual review guidelines and criteria. Additionally, clearly identify that which constitutes the ranking of meeting expectations, exceeding expectations, and outstanding, along with multiple ways to achieve these rankings.

Accountability

Along with ensuring a full appeals process is outlined within annual review documents, a commitment to applying the criteria consistently across all faculty is warranted. Also, delineating the responsible actors and the anticipated timeline for review would improve criteria. Moreover, indicating a regular review cycle for the annual review guidelines and criteria is valuable (e.g., every three years).

Holistic Assessment

Recognizing that the nature of faculty work can vary widely within a unit promotes a more holistic evaluation of faculty work (e.g. interdisciplinary work, community-based work, or DEI work). Including a goal-setting process within the annual review process promotes intentional and purposeful planning for the future.

Context

Units should provide ways to bring relevant life and work contexts into the review process, which could include significant life transitions, such as the birth of a child, or differentiated workload agreements and sabbaticals Additionally, greater consideration must be given to the realities and pressures of faculty across ranks in prioritizing teaching, research and creative works, and service and leadership demands.

Teaching

Criteria should account for faculty engaged in different modes of instruction, the availability of teaching assistants, class size, class level, and the number of new preps in a given year. Clearer articulation the peer-review process and recognition informal and formal student advising/mentoring/reference letter writing would benefit criteria documents.

Research and Creative Work

Units should define discipline-specific research and creative works and recognize pedagogy-related topics as a form of scholarship. Units should also define authorship expectations. Increasing attention to this area of research and creative works may illuminate whether and how collaborative work with faculty and students is credited.

Service and Leadership

Units should articulate that which is considered an appropriate amount of service. A few units indicate fewer service commitments are expected of pre-tenure faculty, but *fewer* is vague when no standard is set. Also, recognizing the time and effort that goes into faculty mentoring, and compensated service work should be accounted for in criteria

Grant Activity Considerations

Criteria should distiguish PI, Co-PI, evaluator, or consultant roles in weighing quality of grant activity. Units should recognize the time and effort of administering, carrying out, and closing out grants or specify the type of funding valued in the unit.