



University of Colorado

Boulder | Colorado Springs | Denver | Anschutz Medical Campus

BOARD OF REGENTS

3. OFFICERS OF THE UNIVERSITY AND ADMINISTRATION

Policy 3.F: Evaluations for Officers of the University and Officers of the Administration

3.F.1 Annual evaluations

- (A) Officers of the university shall be evaluated on an annual basis by the Board of Regents.
- (B) Officers of the administration shall be evaluated on an annual basis by their current supervisor.
- (C) Evaluations shall be based upon the position description and performance planning between supervisor and individual. Evaluations should provide constructive feedback on the officer's service.

3.F.2 Comprehensive evaluations

- (A) The president, university counsel and secretary, treasurer, associate vice president of internal audit, and chancellors shall be subject to a comprehensive evaluation at least once every five years of service. However, at the discretion of the supervising or appointing authority these officers may be evaluated comprehensively at any time.
- (B) All other officers of the administration may be subject to a comprehensive evaluation per campus or system procedure.
- (C) The supervising authority directs comprehensive evaluations. In the event that an officer has more than one supervising authority, the comprehensive evaluation process shall be jointly defined and conducted. An assessment of the officer's fulfillment of long-term responsibilities over the comprehensive evaluation period shall include consultation with appropriate individuals from inside and outside of the university and consideration of the resources and other support needed to fulfill responsibilities. The officer under review shall provide a statement of accomplishments, self-evaluation, and long-term objectives. Upon completion of the comprehensive evaluation, the supervising authority shall make any necessary changes to the officer's position description, in accordance with university policies.

Information received or created, except the summary report, as a part of an evaluation shall be placed in the officer's personnel file and shall be considered confidential. However, such information shall be available to the individual being evaluated except for letters of reference or if the individual has waived the right of

44 access. The summary report of the evaluation shall be prepared, shall be
45 available to the public and shall be placed into the officer's personnel file.
46

47 3.F.3 Presidential Annual Evaluation

48 (A) Policy

49 The Board of Regents shall evaluate the President of the University of Colorado
50 on an annual basis.
51

52 (B) Purpose

53 The purpose of this policy is to establish and communicate the Board of Regents'
54 expectations of the President of the University of Colorado and to establish
55 procedures to annually evaluate performance. This performance procedure is not
56 intended to and does not displace the comprehensive evaluation required by
57 Regent Policy 3.G.
58

59 (C) Procedures

60 (1) The annual evaluation period will be July 1 through June 30.
61

62 (2) Goals of Performance Evaluation: The performance evaluation is intended
63 to promote the following goals:
64

65 (a) To assess the president's performance in key areas.
66

67 (b) To increase the communication between the board and the president
68 and to clarify the board's expectations of the president.
69

70 (c) To ensure that the board and the president have a common
71 understanding of and commitment to addressing the priorities of the
72 University of Colorado.
73

74 (d) To allow the board and the president to have a meaningful dialogue in
75 setting the criteria against which the board will measure the
76 president's performance.
77

78 (e) The board and the president will develop a performance plan on an
79 annual basis.
80

81 (3) Recurring Criteria: The performance plan shall include a number of criteria
82 that the board shall evaluate on an annual basis. This recurring criteria are
83 meant to reflect core competencies of the office of the president, including:
84

85 (a) Communication and relationship with the board;
86

87 (b) Fiscal management of the university;
88

89 (c) Supervision of key personnel, such as chancellors and vice-
90 presidents;
91
92
93
94

95
96
97
98
99
100
101
102
103
104
105
106
107
108
109
110
111
112
113
114
115
116
117
118
119
120
121
122
123
124
125
126
127
128
129
130
131
132
133
134
135
136
137
138
139
140
141
142
143
144

- (d) Governmental and community relations;
 - (e) Promotion of academic excellence and student success at the university;
 - (f) Promotion of ethical conduct at the university;
 - (g) Promotion of the reputation of the university;
 - (h) Promotion of advantageous relationship with university-affiliated entities;
 - (i) Fundraising.
- (4) Non-recurring criteria: The performance plan shall also include a number of evaluation criteria, mutually agreed upon by the board and the president, that are designed to address the current needs and goals of the university. For example, the board and the president could identify “increasing enrollment for university campuses by 1%” or “development of a portal for online resources” as non-recurring evaluation criteria.
- (5) The board shall determine whether the president’s performance has been:
- 1 - Exceeding Expectations: Consistently superior achievement reflecting a positive contribution to the University of Colorado that significantly advances the mission of the organization.
 - 2 - Meeting Expectations: Consistent achievement demonstrating a high level of competency in the area being evaluated. Performance at this level demonstrates that the President of the University of Colorado reliably performs the duties described in the performance plan and advances the mission of the organization.
 - 3 - Below Expectations: Performance in the area being evaluated does not consistently meet the expectations described in the performance plan.
- (6) Open Records Requirement. The board overall evaluation of the president shall be available for public inspection as a “performance rating” under the Colorado Open Records Act, Section 24-72-202(4.5) C.R.S., but all other information generated or prepared during the evaluative process shall be maintained as “personnel file” records not subject to inspection or disclosure.
- (7) Annual Performance Calendar: For purposes of performance evaluation, the board shall use the following schedule as recommended target dates:
- (a) July 1 – First day of evaluation period.

- 145 (b) December 30 – Chair of board and president to meet to discuss year-
146 to-date performance.
147
148 (c) First board Meeting of Calendar Year/Mid-year Review – The board
149 and the president will discuss year-to-date performance in executive
150 session at the regularly scheduled board meeting.
151
152 (d) May 1 – Chair of board and president meet to discuss performance
153 evaluation and to discuss potential performance goal for next year's
154 evaluation.
155
156 (e) May 15 – President of university submits self-evaluation to board.
157
158 (f) June 1 or most closely scheduled board meeting – The board shall
159 meet in executive session to discuss performance evaluation and
160 performance goals for next year's evaluation. Secretary of the board
161 prepares draft of performance evaluation and draft of performance
162 goals.
163
164 (g) June 15 – president meets with chair of the board to review
165 performance evaluation and draft of performance goals for next year's
166 evaluation.
167
168 (h) June 30 – President meets with board in executive session at a
169 regularly scheduled board meeting to finalize performance evaluation
170 and performance goals for next year's evaluation.
171
172 (i) July 15 – Finalized performance evaluation and performance goals
173 transmitted to president.
174

175 3.F.4 Annual Evaluation for all other Officers of the University
176

177 All other officers of the University with reporting roles to the Board of Regents will be
178 evaluated and receive a performance rating on an annual basis. Individual
179 performance evaluations and ratings provide ~~the a~~ basis for annual merit and other
180 pay adjustments (although additional factors may be considered). The process for
181 such evaluations shall be as follows:
182

- 183 (A) The performance evaluation of the individual shall begin with the individual's self-
184 assessment of performance. This self-assessment will be based on defined goals
185 and objectives previously established and agreed by the relevant board member
186 and the individual. This relevant board member for each position is as follows:
187
- 188 • The chair of the Board of Regents for the university counsel
 - 189
 - 190 • The chair of the Board of Regents for secretary of the Board of Regents
 - 191
 - 192 • The chair of the Regent Audit Committee for the associate vice president of
193 internal audit
194

- 195 • The chair of the Regent Budget and Finance Committee for the university
196 treasurer
197
- 198 (B) The completed self-assessment will be provided to both the relevant board
199 member and to the appropriate officer as follows:
200
- 201 • The president, in consultation with the chancellors, shall review the self-
202 assessment and provide comments to the university counsel and secretary
203 of the Board of Regents.
204
- 205 • The vice president, university counsel and secretary of the Board of
206 Regents, in consultation with the president and the chancellors, shall review
207 and provide comments to the associate vice president of internal audit.
208
- 209 • The vice president and chief financial officer, in consultation with the vice
210 chancellors and campus chief financial officers, shall review and provide
211 comments to the university treasurer.
212
- 213 (C) The University of Colorado officer reviewing the self-assessment shall meet with
214 the individual to discuss the assessment and the related feedback.
215
- 216 (D) The appropriate University of Colorado officer shall prepare a confidential
217 memorandum that discusses the self-assessment, the meeting and the feedback
218 received on the individual's performance during the evaluation period, and will
219 make a preliminary recommendation of the performance rating to be assigned to
220 the individual, discuss potential goals for the upcoming evaluation period, and, if
221 appropriate, recommend any merit or other pay adjustments.
222
- 223 (E) The president shall transmit the memorandum related to the university counsel
224 and secretary of the Board of Regents to the chair of the Board of Regents.
225
- 226 (F) The vice president, university counsel and secretary of the Board of Regents
227 shall transmit the memorandum related to the associate vice president of internal
228 audit to the chair of the Regent Audit Committee.
229
- 230 (G) The vice president and chief financial officer shall transmit the memorandum
231 related to the university treasurer to the chair of the Regent Budget and Finance
232 Committee.
233
- 234 (H) The regent who receives the memorandum shall meet with the individual to
235 discuss the assessment. The assigned regent shall consult with the relevant
236 committee members and, if appropriate, the entire board, before assigning a
237 performance rating to the individual, defining goals for the upcoming evaluation
238 period, or recommending any merit or other pay adjustments.
239
- 240 (I) The assigned regent shall transmit the performance rating and any
241 recommended merit or other pay adjustments to the Board of Regents for
242 approval.
243

- 244 (J) Upon approval by the Board of Regents, the chair of the Board of Regents shall
245 document the performance rating on the University Staff¹ Annual Performance
246 Rating Form.
247
- 248 (K) The individual has the right to append a response to the rating if he or she so
249 desires.
250
- 251 (L) The chair of the Board of Regents and the individual will sign the performance
252 rating form to acknowledge that the rating has been discussed.
253
- 254 (M) The Board of Regents will retain the original signed rating form and provide the
255 rated employee a copy of the signed form.
256
- 257 (N) The performance rating form will be placed in the employee's personnel file. The
258 performance rating is subject to disclosure under the Colorado Open Records
259 Act. Any written justification for the performance rating may also be placed in the
260 personnel file but will not be disclosed to anyone other than the employee and
261 university personnel with a demonstrated business need. Human resources
262 offices are responsible for approving such access.
263
- 264 (O) The performance rating is only one of the items of information that may be used,
265 consistent with the *Laws of the Regents* and university policy, in the annual
266 salary setting process or in comprehensive administrative evaluations.
-

History:

- Sections contained in this policy were previously contained in Regent Article 3.D.1 and 3.D.2; and Regent Policy 3.G.D.1, 3.G.D.2, 3.G.F and 3K.
- Last Revised: September 7, 2017.
- Last Reviewed: September 7, 2017.

¹ The term “officer and exempt professional” was replaced with the term “university staff” effective April 17, 2015.