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## MEMORANDUM

DATE: August 24, 2020

TO: Chairs and Directors

FROM: Nancy Cox, Dean

SUBJECT: 2020 Annual Performance Review of Faculty (APR)  
For Calendar Years 2019 and 2020

Annual Performance Reviews of Faculty will be conducted in accordance with [AR 3:10](#) and Provost Blackwell's annual memo to Deans, Chairs, and Directors (forthcoming). The [CAFE Online Faculty Evaluation System](#) will be open to Faculty September 14 – October 19, 2020. Additional details are outlined in this memo.

**Those included in the review:** Since this is the first year of the biennium, all continuing Faculty, newly hired Faculty, and Faculty on phased retirement, regardless of title series will be evaluated. Two exceptions include tenured Faculty who will retire before or at the end of the current fiscal year. Faculty in this category are not included in any potential fiscal year raise pools or non-tenured Faculty whose appointments will not extend beyond the end of the current fiscal year. New Faculty hired during 2020 will likely receive a "3" rating absent unusual circumstances. Faculty should enter their data for their CV in the Digital Measures (DM) system. Faculty who decline to participate in DM will not be included in potential fiscal year raise pool.

**General Procedures:** Department Chairs shall utilize the advice of tenured Faculty and others in assessing the quality and quantity of individual Faculty performance. The performance evaluation covers the two preceding calendar years (2019 and 2020). Teaching and advising, research and scholarship, extension education, university and public service and/or other appropriate activities are evaluated based upon prior agreements pertinent to distribution of effort (DOE). It is recognized that Teacher-Course Evaluation (TCE) scores are considered indicators of effective teaching, and the teaching portfolio and narrative are opportunities to put TCE scores in context. We recognize extraordinary work achieved by faculty across the mission areas; especially in rethinking and reorganizing all that our college does to serve so many during the pandemic. For some faculty, their normal activities may have already changed and/or has necessitated reconsideration because of uncertain conditions going forward. Please include contextual information on how the pandemic has influenced your efforts as appropriate.

### Steps in Determining Merit Ratings:

- Faculty input is required and may be through an advisory committee, consultation with all tenured Faculty, or other appropriate means of Faculty consultation.
- The Chair recommends merit ratings for each area of activity to the Dean.
- The Dean and Associate Deans consider individual ratings for each faculty member.

- Final ratings, merit scores, and composite merit scores are determined after a conference between the Dean and Chair.
- If the Dean and Chair are unable to agree upon an individual's scores and ratings, the Faculty member will be informed of the scores and ratings of both the Dean and Chair and informed that the scores and ratings of the Dean are final.
- After final scores are determined, the Chair should have a conference with each Faculty member. The Chair should focus on the Faculty member's performance (strengths and challenges during the review period and pertinent to DOE) and make suggestions for improvement, if appropriate.

#### Appeal of Merit Rating:

- If a Faculty member disagrees with scores and ratings, the Faculty member may request an informal appeal conference with the Dean, Associate Deans, and Department Chair. The Faculty member is invited to present additional information relating to performance at that conference.
- A Faculty member who, after a conference with the Deans and Chair, still disagrees with scores and ratings, may formally appeal to the Dean.
- The Faculty appeal is heard by a Faculty Appeals Committee previously appointed by the Dean from nominees provided to the Dean by the CAFE Faculty Council.
- After the meeting, the committee makes a recommendation to the Dean.
- The Dean accepts or rejects the recommendation and advises the Faculty member of the decision.
- A Faculty member remaining in disagreement with the decision may appeal to the Provost in accordance with established university policies and procedures.

#### Methods of Rating:

CAFE will use the same [five-point rating scale](#) used last year. The Department Chair will assign a rating for each area of DOE. The rating may be fractional (e.g., 1.5, 2.5, 3.5 or 4.5) and will be multiplied by DOE to reach the merit score in each area of activity. The Dean Rating Scores are also formulaic and will be the sum of the discrete merit ratings x DOE for each area of activity. The Final Rating is expressed as Exceptional Accomplishments, Meets High Expectations, Satisfactory Performance, Below Expectations, or Unsatisfactory.

No pre-determined frequency distributions will be forced on Final Ratings "Unsatisfactory" through "Meets High Expectations." The Exceptional Accomplishments "5" Final Rating is unlikely to constitute more than 10–15% reviews for the college.

**Platforms Used:** APRs will be conducted in the [Online Faculty Evaluation System](#) with only the final, signed one-page form printed for the Standard Personnel File (SPF). Chairs may choose to print other materials as needed.

Other features:

1. Faculty may complete an optional self-evaluation online form.
2. Faculty members enter their activity data for the review period (calendar years 2019 and 2020) into the Digital Measures (DM) system by October 19, 2020. The Office of Faculty Resources, Planning and Assessment will generate .pdf CVs from DM and upload them to the Online Faculty Evaluation System. Faculty members will be able to review their enhanced CVs in the Online Faculty Evaluation System from October 14 – 19. Please contact the Office of Faculty Resources, Planning and Assessment (Megan Lucy, [megan.lucy@uky.edu](mailto:megan.lucy@uky.edu), 257-7249) with any issues.
3. The upper limit for teaching portfolio (excluding representative syllabus) is not expected to be more than six pages for the APR. See more information on teaching portfolios.
4. Distribution of Effort (DOE) will be loaded into the Online Faculty Evaluation System from the Faculty Effort Planning System (EPS), which is based on fiscal years. Therefore, for this two-year review, DOE is calculated by using weighted averages as follows:
  - January 1, 2019-June 30, 2019 (FY '19) x .5
  - July 1, 2019-June 30, 2020 (FY '20) x 1
  - July 1, 2020-December 31, 2020 (FY '20) x .5

Faculty members should work with their Chairs if they want to recalculate DOE data in the Online Faculty Evaluation System.

5. The signature line on the final form includes a statement about DOE.
6. Per page 3 of the Provost's memorandum, "An individual's composite merit score is calculated by multiplying the merit rating assigned to an area of activity by the DOE percentage apportioned for that area of activity. The product of a merit rating for an area of activity multiplied by its DOE percentage is the *merit score* for that area. The *composite merit score* is the sum of those discrete merit scores. A Dean may implement a college-wide practice of rounding all composite merit scores to the nearest integer." The 2020 Online Faculty Evaluation System accommodates the formulaic calculation of merit scores for scores entered by the Deans; however, the Deans reserve the right to round composite merit scores to a whole number. Please see the rating categories definitions for further explanation of scoring.

Additional information is available at <https://acsg.ca.uky.edu/FacultyAPR/> . Please contact Dr. Brian Lee, Associate Dean for Faculty Resources, Planning and Assessment for further assistance. Thank you.