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## MEMORANDUM

DATE: September 12, 2019

TO: Chairs and Directors

FROM: Nancy Cox, Dean *Nancy M. Cox*

SUBJECT: 2019 Annual Performance Review of Faculty (APR)  
for Calendar Years 2018 and 2019

Performance review of faculty will be conducted in accordance with [AR 3:10](#) and Provost Blackwell's memo to Deans, Chairs and Directors, which has not yet been released for 2019. The schedule for the [CAFE On-line Faculty Evaluation System](#) to be open to faculty is September 23-October 18 and department chairs from October 23-November 12.

This is the second year of the biennium; therefore, all continuing and newly-hired faculty members regardless of title series and including lecturers will be evaluated except (1) tenured faculty who were evaluated during the first year of the biennium and do not request a new evaluation, (2) faculty whose appointments will not extend beyond the end of the current fiscal year, (3) senior lecturers who were evaluated last year. Please note, new faculty hired during 2019 will not be given a score of NR, but will be evaluated along with other faculty. The wording under our ["3" rating](#) will likely cover most of these faculty except in the most unusual of cases.

Faculty should enter their CVs in the Digital Measures (DM) system. Faculty who decline to participate in DM will not be included in potential fiscal year raise pools.

Department chairs shall utilize the advice of tenured faculty members in assessing the quality and quantity of faculty members' performance during the two calendar years of the review period (calendar 2018 and 2019). 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). Faculty input may be through an advisory committee, consultation with all tenured faculty members, or through other appropriate means of faculty consultation. The chair recommends merit ratings for each area of activity to the dean. Final ratings, merit scores, and composite merit scores are determined after the conference with the chair and the dean. If the dean and the chair are unable to agree upon an individual's ratings and scores, the faculty member will be informed of the ratings and scores of both the chair and the dean and informed that the ratings and scores of the dean are final. After final scores are determined, there will be a

conference between the chair and each faculty member, focusing upon the faculty member's performance of his/her assignment during the period of review, strengths and weaknesses, and suggestions for improvement if appropriate.

If a faculty member disagrees with ratings and scores, he/she may request a conference with the dean and associate deans, which is considered an informal review. In such case, the faculty member will be invited to present additional information relating to performance at the conference involving the dean, the chair, and associate deans. A faculty member who, after a conference with the dean, still disagrees with ratings and scores received may initiate a formal appeal to the dean. The appeal will be heard by a CAFE Faculty Appeals Committee appointed by the dean from a list of nominees forwarded to the dean by the CAFE Faculty Council. After the hearing, the committee will make a recommendation to the dean and the dean will accept or reject the recommendation and advise the faculty member of this decision. A faculty member remaining in disagreement with the decision may appeal to the Provost for a hearing in accordance with established university policies and procedures.

We will use the same five-point rating scale used last year:

[https://administration.ca.uky.edu/sites/administration.ca.uky.edu/files/apr\\_2019\\_rating\\_categories.pdf](https://administration.ca.uky.edu/sites/administration.ca.uky.edu/files/apr_2019_rating_categories.pdf). The department chair will assign a rating for each area of DOE; this merit rating may be fractional (e.g., 1.5, 2.5, 3.5 or 4.5) if the department chooses, and will be multiplied by DOE to reach the merit score in each area of activity. The composite scores will be the sum of the discrete merit ratings x DOE for each area of activity. The Final Rating will be expressed as Exceptional Accomplishments, Meets High Expectations, Satisfactory Performance, Below Expectations, or Unsatisfactory.

No pre-determined frequency distributions will be forced on Final Ratings "1" through "4." The Exceptional Accomplishments (5) Final Rating will be unlikely to constitute more than 10-15% of the college faculty reviews.

APRs will again be conducted in the Online Faculty Evaluation System, <https://acsq.uky.edu/FacultyAPR/> 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 on-line form.
2. Faculty members enter their activities for the review period (calendar years 2018 and 2019) into the Digital Measures system by October 11. The Office of Faculty Resources, Planning, and Assessment will generate .pdf CVs from Digital Measures and upload them to the Online Faculty Evaluation System. Faculty members will be able to review their CVs in the Online Faculty Evaluation System from October 14-October 18, and contact the Office of Faculty Resources, Planning, and Assessment if there are problems.
3. See <http://administration.ca.uky.edu/facultyapr> for Teaching Portfolio Guidelines.
4. For Extension Title Series faculty members, the Office of Faculty Resources, Planning and Assessment will generate a .pdf of Statistical Contact Information and Success Stories from KERS for fiscal years 2018 and 2019 and upload this to the Online Faculty Evaluation System. Faculty members will be able to review this Extension Portfolio from October 14-October 18.
5. DOE is being loaded into the On-line Faculty Evaluation System. Therefore, for this two-year review, for departments requesting that DOE be loaded, DOE is calculated by using weighted averages as follows:

January 1, 2018-June 30, 2018 (FY '18) x .5

July 1, 2018-June 30, 2019 (FY '19) x 1

July 1, 2019-December 31, 2019 (FY '20) x .5

Faculty members should work with their chairs if they want to recalculate DOE data in the On-line Faculty Evaluation System.

6. The signature line on the final form includes a statement about DOE.

New this year:

Starting with the 2019 APRs, for faculty members who have an approved proposed sabbatical leave that begins during the evaluation period, are on sabbatical leave during the evaluation period, or have returned from sabbatical leave and submitted a final sabbatical leave report (due within 60 days from the first day returning to regular service), the relevant sabbatical information will be entered into the APR system by the Office of Faculty Resources, Planning and Assessment. This will provide information to reviewers concerning sabbatical leave professional development DOE that occurs during the review period.

Notes:

- Please note at this time the Provost has not released the 2019 memorandum regarding faculty performance evaluation. Per [page 3 of the Provost's 2018 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 whole number." The 2019 Online Faculty Evaluation System will accommodate the formulaic calculation of deans' merit scores, and the deans reserve the right to round composite merit scores to a whole number.
- The Annual Performance Review Rating Categories' definition for "Exceptional Accomplishments" requires a rating of "Meeting High Expectations" in all assigned DOE categories.

Additional information is available at <http://administration.ca.uky.edu/facultyapr>. Please let Lisa Collins, [lisa.collins@uky.edu](mailto:lisa.collins@uky.edu), know if you have questions. Thank you.