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MEMORANDUM

DATE: August 28, 2018

TO: Chairs and Directors

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

SUBJECT: 2018 Faculty Annual Performance Review (APR) for Years 2017 and 2018

Annual Performance Reviews of Faculty will be conducted in accordance with AR 3:10 and [Provost Blackwell's memo to Deans, Chairs and Directors](#). The [CAFE Online Faculty Evaluation System](#) will be open to Faculty September 24-October 19, 2018. Additional details are outlined in this memo.

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 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 2018 will likely receive a "3" rating.

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 and others in assessing the quality and quantity of individual Faculty performance. The performance evaluation covers the two preceding calendar years (2017 and 2018). 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 or 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 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.

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 will be invited to present additional information relating to performance at that conference. The Faculty member who, after a conference with the Deans and Chair, still disagrees with scores and ratings, may formally appeal to the Dean. The appeal will be heard by a 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. The Faculty member remaining in disagreement with the decision may appeal to the Provost for a hearing in accordance with established university policies and procedures.

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 will be unlikely to constitute more than 10-15% of the college Faculty reviews.

APRs will be conducted in the [On-line 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 on-line form.
2. Faculty members enter their activities for the review period (calendar years 2017 and 2018) into the Digital Measures (DM) system by October 19, 2018. 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 CVs in the Online Faculty Evaluation System from October 16-19. Please contact the Office of Faculty Resources, Planning and Assessment (Megan Lucy, megan.lucy@uky.edu, 257-7249) with any issues.
3. The maximum limit for teaching portfolios is 14 pages or less. See more information on [teaching portfolios](#).
4. DOE is being loaded into the On-line 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, 2017-June 30, 2017 (FY '17) x .5
July 1, 2017-June 30, 2018 (FY '18) x 1
July 1, 2018-December 31, 2018 (FY '18) x .5

Faculty members should work with their Chairs if they want to recalculate DOE data in the On-line 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 2018 On-line Faculty Evaluation System accommodates the formulaic calculation of merit scores for scores entered by the Deans and the Deans reserve the right to round composite merit scores to a whole number. Please see the [Annual Performance Review Rating Categories](#) definitions for further explanation of scoring.

Additional information is available at <http://administration.ca.uky.edu/Facultyapr>. Please contact Dr. Sandra Bastin, Associate Dean for Faculty Resources, Planning and Assessment for further assistance. Thank you.