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MEMORANDUM

DATE: September 26, 2011

TO: Chairs and Directors

FROM: M. Scott Smith *M. Scott Smith*
Dean and Administrative Head

SUBJECT: 2011 Annual Performance Review of Faculty (APR)
for Calendar Years 2010 and 2011

Performance review of faculty will be conducted in accordance with AR 3:10 and Associate Provost Anderson's and Provost Subbaswamy's memo to Deans dated August 18. This memo is posted at http://www2.ca.uky.edu/deanadmin-files/2011-12_Faculty_Performance_Review_Memo.pdf.

This is the second year of the biennium; therefore, all continuing and newly-hired faculty members regardless of title series and including the ranks of Senior Lecturers and 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) tenured faculty who will retire before or at the end of the current fiscal year, and (3) non-tenured faculty whose appointments will not extend beyond the end of the current fiscal year. The table on page two of the Provosts' memorandum serves as a good reference for those who will be required and those who may prepare materials for faculty performance review. Please note, new faculty hired during 2011 will not be given a rating of NR, but will be evaluated along with other faculty. The wording under our "3" rating (http://www2.ca.uky.edu/deanadmin-files/Rating_Categories_08272011.pdf) will likely cover most of these faculty except in the most unusual of cases.

Department chairs shall utilize the advice of tenured faculty members in assessing the quality and quantity of faculty members' performance during the two preceding years in teaching and advising, research and scholarship, extension education, university and public service, and/or other appropriate activities with relative weightings based upon prior agreements pertinent to distribution of effort among any or all of these activities. The faculty input may be through an advisory committee, through consultation with all tenured faculty members, or through other appropriate means of faculty consultation. The chair recommends a rating to the dean and a final rating is determined in the conference of the chair and the dean. If the dean and the chair are unable to agree upon an individual's performance rating, the faculty member will be informed of the ratings of both the chair and the dean and informed that the rating of the dean is final. After final ratings 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 the performance rating, he/she may request a conference with the dean. 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 the rating received 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 elected by faculty within individual departments and forwarded to the dean by the Agriculture 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 procedures.

We will continue to use the same five-point rating scale used last year, with one minor modification in item 1 under the Unsatisfactory category.

Overall ratings will be assigned only as whole numbers. A rating will be assigned for each area of DOE; this sub-rating may be fractional (e.g., 4.5) if the department so chooses. No pre-determined frequency distributions will be forced on ratings "1" through "4." The "5" rating will be unlikely to constitute more than 10-15% of the faculty for the biennium.

New this year: APRs will be conducted on-line in the On-line Faculty Evaluation System, <http://www.ca.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 new features:

1. Faculty may complete an optional self-evaluation on-line form.
2. Faculty members will submit their CV (for calendar years 2010 and 2011 only), teaching portfolio (for calendar years 2010 and 2011 only) by uploading these documents into the system as PDFs.
3. At the opening of the teaching portfolio, it is strongly recommended that faculty list the following information (for calendar years 2010 and 2011 only) in a concise format:
 - a. Course prefix, number, section, short title, term/year taught, enrollment, teacher/course evaluation scores (if applicable). Teacher/Course evaluation data are available at: <http://www.uky.edu/IRPE/faculty/tceresults.html>
 - b. Student advising, activities, other (e.g., number of advisees, club advising, committees)
 - c. Teaching innovation and improvement (e.g., new courses developed, pedagogical innovations, teaching improvement activities or programs)
 - d. Teaching scholarship and recognition (e.g., awards, teaching publications).

The suggested limit for teaching portfolios to 20 pages or less. For more information on teaching portfolios, see http://www2.ca.uky.edu/deanadmin-files/CV_Guidelines_09232011.pdf.

4. If faculty members had special assignments during the review period (calendar years 2010 and 2011), an explanation of the special assignment should be noted as Special Assignment in the CV.
5. DOE is being loaded into the On-line Faculty Evaluation System from the Faculty Effort System (FES), which is based on fiscal years. Therefore, for this two-year review, DOE is calculated by using weighted averages as follows:

January 1, 2010-June 30, 2010 (FY '10) x .5

July 1, 2010-June 30, 2011 (FY '11) x 1

July 1, 2011-December 31, 2011 (FY '12) 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 has been changed to include a statement about DOE.
7. The Rating Category Sheet has a change in the Unsatisfactory category, item 1.

The schedule is as follows:

Sept. 14, 2011	Chairs received preliminary list of faculty who will be evaluated
Sept. 19, 2011	DOE data are loaded into the On-Line Faculty Evaluation System using a weighted average: January 1, 2010-June 30, 2010 (FY '10) x .5 July 1, 2010-June 30, 2011 (FY '11) x 1 July 1, 2011-December 31, 2011 (FY'12) x .5
Sept. 26, 2011	Deadline for chairs to let the Assistant Dean's Office know the names of faculty members who are requesting a voluntary performance review and/or the names of faculty who decline a review because they are leaving UK.
Sept. 27-Nov.14	Using the On-line Faculty Evaluation System, http://www.ca.uky.edu/facultyapr , faculty members will <ul style="list-style-type: none">• up-load their CV (as a PDF document) that includes narrative statement(s), and explanation of special assignments (as needed)• up-load Teaching Portfolio document (as a PDF, teaching faculty only)• complete the optional self-evaluation <p>The system is open to chairs starting September 26.</p>
Nov. 15-Dec. 9	Chairs follow departmental procedures for APR reviews using the On-line Faculty Evaluation System. Chairs complete reviews and enter scores. DOE data must be finalized by Dec. 9.
Dec. 9	Deadline for chairs to identify any new faculty hired from Sept. 19-December 2011. New faculty members must have a completed APR.
Dec. 10-13	The dean and associate deans review APRs
Dec. 14 (8 am-12 pm, 1-5 pm) Dec. 15 (1-3 p.m.)	Dean and Associate Deans meet to discuss and score each evaluation
Dec. 16	Chairs receive preliminary APR forms via email that include deans' ratings and scores
Jan. 9, 10, 12, 2012 (1-5 pm)	Chairs meet with Deans to discuss final ratings
Jan. 16, 2012	Chairs receive completed one-page evaluation sheets via email for printing and discussion with faculty members

- Feb. 10, 2012 Review meetings between chairs and faculty completed. Provide each faculty member with a copy and retain a copy in the departmental file. Print and send signed, one-page final evaluation form to Brooke Stone, L-104 Ag N, 0091, by April 12.
- Feb. 20, 2012 Deadline for faculty member to request conference with the Dean if he/she disagrees with rating
- March 12, 2012 Deadline for a faculty member to request an appeal at the college level
- April 6, 2012 Appeals at the college level completed and chairs receive revised forms as needed
- April 12, 2012 Submit signed, final one-page evaluation form to Brooke Stone, L-104 Ag N, to be filed in SPFs. Chairs provide each faculty member with a copy and retain copy in departmental file.
- April 23, 2012 Deadline for a faculty member to file a letter of appeal with appropriate evidence to the Provost (contact Lisa Collins for submission information)

Format for the vita and additional information are available at <http://www2.ca.uky.edu/deanadmin/faculty/evaluations/apr>. Please let Lisa Collins, lisa.collins@uky.edu, know if you have questions. Thank you.