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MEMORANDUM

DATE: September 19, 2012

TO: Chairs and Directors

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

SUBJECT: 2012 Annual Performance Review of Faculty (APR)  
for Calendar Years 2011 and 2012

Performance review of faculty will be conducted in accordance with AR 3:10 and Associate Interim Provost Tracy's memo to Deans, Chairs and Directors dated September 10. This memo is posted at <http://www2.ca.uky.edu/deanadmin/faculty/evaluations/apr>.

This is the first year of the biennium; therefore, all continuing and newly-hired faculty members regardless of title series and including lecturers and senior lecturers will be evaluated except (1) tenured faculty who will retire before or at the end of the current fiscal year, (2) non-tenured faculty whose appointments will not extend beyond the end of the current fiscal year. Please note, new faculty hired during 2012 will not be given a score 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\\_09122012.pdf](http://www2.ca.uky.edu/deanadmin-files/Rating_Categories_09122012.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 calendar years (2011 and 2012) 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 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. 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 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 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 use the same five-point rating scale used last year:

[http://www2.ca.uky.edu/deanadmin-files/Rating\\_Categories\\_09122012.pdf](http://www2.ca.uky.edu/deanadmin-files/Rating_Categories_09122012.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 not be numeric this year, but rather 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 faculty for the biennium.

Starting September 24, APRs will again be conducted 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 features:

1. Faculty may complete an optional self-evaluation on-line form.
2. Faculty members will submit their CV (for calendar years 2011 and 2012 only), teaching portfolio (for calendar years 2011 and 2012 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 2011 and 2012 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](http://www2.ca.uky.edu/deanadmin-files/CV_Guidelines_09232011.pdf).

4. If faculty members had special assignments during the review period (calendar years 2011 and 2012), an explanation of the special assignment should be noted as Special Assignment in the CV.
5. Based on department chair request, 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, for departments requesting that DOE be loaded, DOE is calculated by using weighted averages as follows:

January 1, 2011-June 30, 2011 (FY '11) x .5

July 1, 2011-June 30, 2012 (FY '12) x 1

July 1, 2012-December 31, 2012 (FY '13) x .5

For departments that did not request a DOE load (Animal & Food Sciences, Forestry, and Plant & Soil Sciences), these departments enter the DOE information. 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

- Per page 3 of the Provost's September 10 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 2012 On-line Faculty Evaluation System will accommodate the formulaic calculation of merit scores, and the deans reserve the right to round composite merit scores to a whole number. Note also that the Annual Performance Review Rating Categories' definition for "Exceptional Accomplishments" (5) requires a rating of "Meeting High Expectations" (4) in all assigned DOE categories.
- The Final Rating will not be numeric this year, but rather expressed as Exceptional Accomplishments, Meets High Expectations, Satisfactory Performance, Below Expectations, or Unsatisfactory.
- Chairs will print the preliminary documents and final forms this year.
- Most departments have requested that DOE information be loaded, based on the formula in item 5 above, while other departments (Animal & Food Sciences, Forestry, and Plant & Soil Sciences) will enter this information based on FES records.

Sept. 12, 2012      Chairs receive preliminary list of faculty who will be evaluated

Sept. 24, 2012      For departments that requested DOE data be provided, the data will be loaded into the On-Line Faculty Evaluation System using a weighted average:

January 1, 2011-June 30, 2011 (FY '11) x .5

July 1, 2011-June 30, 2012 (FY '12) x 1

July 1, 2012-December 31, 2012 (FY '13) x .5

Sept. 21, 2012      Deadline for chairs to let the assistant dean know the names of faculty members who are leaving UK prior to June 30, 2013 and therefore do not need an APR

Oct. 1                For departments entering DOE, complete by this date

Sept. 24-Oct. 24      (Some department chairs might choose an earlier deadline.) Using the On-line Faculty Evaluation System, <http://www.ca.uky.edu/facultyapr>, faculty members will:

- 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

(The system is open to chairs starting September 24.)

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|--------------------------|---|
| Oct. 25-Nov. 26          | Chairs follow departmental procedures for APR reviews using the On-line Faculty Evaluation System. Chairs complete reviews and enter ratings. DOE data must be finalized by Dec. 10.  |
| Nov. 26                  | Deadline for chairs to identify any new faculty hired from Sept. 15-December 2012. New faculty members must have a completed APR.   |
| Nov. 27-Dec. 9           | Dean and associate deans review APRs  |
| Dec. 10-13               | The dean and associate deans meet to review APRs and rate each evaluation   |
| Dec. 19                  | Chairs print preliminary APR documents that include deans' ratings and scores   |
| Jan. 10, 11, 14, 15 2013 | Chairs meet with deans to discuss ratings and scores  |
| Jan. 16, 2013            | Chairs print completed one-page APR forms and discuss with faculty members  |
| Feb. 8, 2013             | 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, 2013            | Deadline for faculty member to request conference with the Dean if he/she disagrees with ratings  |
| March 8, 2013            | Deadline for a faculty member to request an appeal at the college level   |
| April 5, 2013            | Appeals at the college level completed and chairs receive revised forms as needed   |
| April 12, 2013           | 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 26, 2013           | Deadline for a faculty member to file a letter of appeal with appropriate evidence to the Provost (contact Lisa Collins for submission information)   |

Additional information is available at

<http://www2.ca.uky.edu/deanadmin/faculty/evaluations/apr>. Please let Lisa Collins, [lisa.collins@uky.edu](mailto:lisa.collins@uky.edu), know if you have questions. Thank you.