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MEMORANDUM

DATE: September 22, 2015

TO: Chairs and Directors

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

SUBJECT: 2015 Annual Performance Review of Faculty (APR)
for Calendar Years 2014 and 2015

Performance review of faculty will be conducted in accordance with [AR 3:10](#) and [Provost Tracy's memo](#) to Deans, Chairs and Directors dated August 26. The schedule for the CAFE On-line Faculty Evaluation System to be open for both faculty and chairs is September 23-November 11.

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, and (2) faculty whose appointments will not extend beyond the end of the current fiscal year. Please note, new faculty hired during 2015 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.

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 (2014 and 2015) in teaching and advising, research and scholarship, extension education, university and public service, administration, and/or professional development 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 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 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://administration.ca.uky.edu/files/rating_categories_2015.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 should 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, 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.

September 23- November 11, 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 2014 and 2015 only), teaching portfolio (for calendar years 2014 and 2015 only) by uploading these documents into the system as PDFs.
3. See <http://administration.ca.uky.edu/facultyapr> for Teaching Portfolio and CV guidelines.
4. If faculty members had administrative and/or professional development assignments during the review period (calendar years 2014 and 2015) an explanation should be noted in the box provided for that purpose in the On-line Faculty Evaluation System. If the assignment is explained within the faculty member's CV, they may simply note, "see CV, page x, item x."
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, 2014-June 30, 2014 (FY '14) x .5
 - July 1, 2014-June 30, 2015 (FY '15) x 1
 - July 1, 2015-December 31, 2015 (FY '15) x .5

For departments that did not request a DOE load, 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.

Notes:

- Per [page 3 of the Provost's August 26 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 2015 On-line 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" (5) requires a rating of "Meeting High Expectations" (4) in all assigned DOE categories.

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