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MEMORANDUM

DATE: September 13, 2022

TO: Unit Leaders

FROM: Senior Associate Dean Carmen Agouridis

SUBJECT: 2022 Annual Performance Review of Faculty (APR)
For Calendar Years 2021 and 2022

Annual Performance Reviews of Faculty will be conducted in accordance with [AR 3:10](#) and Provost DiPaola's annual memo to Deans, Chairs, and Directors (forthcoming). The [CAFE Online Faculty Evaluation System](#) will be open to Faculty November 1, 2022 – January 15, 2023. There are additional details outlined in this memo.

Faculty included in the review: Since this is the first year of the biennium, all continuing faculty members, newly hired faculty members, and faculty members on phased retirement, regardless of title series will be evaluated. Exceptions include tenured faculty members who will retire before or at the end of the current fiscal year, or non-tenured faculty whose appointments will not extend beyond the end of the current fiscal year. Faculty in these categories are not included in any potential fiscal year raise pools. New Faculty hired during calendar year 2022 will likely receive a "3" rating absent of unusual circumstances. There have been substantial efforts to pre-load as much data as possible to make a complete CV in order to reduce time required by faculty members doing data entry. Faculty should review the pre-loaded data, add appropriate details, and enter additional activity data in the Watermark Faculty Success system (formerly called Digital Measures). Faculty members who decline to participate in Faculty Success will not be included in potential fiscal year raise pool.

General Procedures: Department Chairs shall utilize the advice of tenured faculty members and others in assessing the quality and quantity of individual faculty members' performance. The performance evaluation covers the two preceding calendar years (2021 and 2022). Teaching and advising, research/creative activity 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). It is recognized that Teacher-Course Evaluation (TCE) scores are considered indicators of effective teaching, but not the only indicators, and the teaching portfolio and narrative are opportunities to put TCE scores in context. We recognize extraordinary work achieved by faculty across the mission areas; especially in rethinking and reorganizing all that our college does to serve so many during the pandemic. For many faculty members, their normal activities over the past two years were affected by the Covid-19 pandemic. Please include contextual information on how the pandemic has influenced your efforts as appropriate.

Steps in Determining Merit Ratings:

- Faculty input is required and may be through an advisory committee, consultation with all tenured faculty members, or other appropriate means of Faculty consultation.
- The Unit Leader recommends merit ratings for each area of activity to the Senior Associate Dean.
- The Senior Associate Dean and Associate Deans consider individual ratings for each faculty member.
- Final ratings, merit scores, and composite merit scores are determined after a conference between the Senior Associate Dean, Associate Deans, and Unit Leader.
- If the Senior Associate Dean, Associate Deans, and Unit Leader 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's and Unit leader's levels and informed that the scores and ratings of the Senior Associate Dean are final.
- After final scores are determined, the Unit Leader should have a conference with each faculty member. The Unit Leader should focus on the faculty member's performance (strengths and challenges during the review period and pertinent to DOE) and make suggestions for improvement, as appropriate.

Appeal of Merit Rating:

- If a faculty member disagrees with scores and ratings, the faculty member may request an informal conference with the Senior Associate Dean, Associate Deans, and Unit Leader. The faculty member is invited to present additional information relating to performance at that conference. When requesting an informal meeting through the unit leader, the faculty member should provide a written summary of the rationale for the informal conference.
- A faculty member who, after a conference with the Deans and Unit Leader, still disagrees with scores and ratings, may formally appeal to the Senior Associate Dean.
- The faculty appeal is heard by a Faculty Appeals Committee previously appointed by the Senior Associate Dean from nominees provided to the Senior Associate Dean by the CAFE Faculty Council.
- After the meeting, the committee makes a recommendation to the Senior Associate Dean.
- The Senior Associate Dean accepts or rejects the recommendation and advises the faculty member of the decision.
- A faculty member remaining in disagreement with the decision may appeal to the Provost in accordance with established university policies and procedures.

Methods of Rating:

CAFE will use the same [five-point rating scale](#) used last year. The Unit Leader 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 activity area. The Dean Rating Scores are also formulaic and will be the sum of the discrete merit ratings X DOE for each activity area. 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 is unlikely to constitute more than 10–15% reviews for the college.

Platforms Used: APRs will be conducted in the [Online Faculty Evaluation System](#) with only the final, signed one-page form printed for the Standard Personnel File (SPF). Unit Leaders may choose to print other materials as needed.

Other notes:

1. Faculty may complete an optional self-evaluation online form.
2. Faculty members enter their activity data for the review period (calendar years 2021 and 2022) into the Watermark Faculty Success system by December 21, 2022. 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 are able to review their enhanced CVs in the Online Faculty Evaluation System from

January 915, 2023. Please contact the Office of Faculty Resources, Planning and Assessment (cafe-frpa@uky.edu, 257-7249) with any issues.

3. The upper limit for teaching portfolio (excluding representative syllabus) is not expected to be more than six pages for the APR. See more information on teaching portfolios.
4. Distribution of Effort (DOE) will be loaded into the Online 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, 2021-June 30, 2021 (FY '21) x .5

July 1, 2021-June 30, 2022 (FY 22) x 1

July 1, 2022-December 31, 2022 (FY '23) x .5

Faculty members should work with their Unit Leader if they want to recalculate DOE data in the Online Faculty Evaluation System.

5. Typically the Provost's annual 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 2022 Online Faculty Evaluation System accommodates the formulaic calculation of merit scores for scores entered by the Deans; however, the Deans reserve the right to round composite merit scores to a whole number. Please see the rating categories definitions for further explanation of scoring.
6. Digital Measures was purchased by Watermark and is now called "Faculty Success by Watermark." All of the data previously entered remains in the system and the user interface is largely unchanged. You may see both names used throughout this transition of product naming and UK integration.
7. Training materials and instructions for completing the review materials are found in Canvas at: <https://uk.instructure.com/courses/1995783/pages/faculty-merit-review-training-materials>
8. Virtual training sessions will be held and recorded and videos will be posted on September XX, 2022. Additional one-on-one training opportunities may be scheduled using this link: [Schedule a training session.](#)

Additional information is available at <https://acsg.ca.uky.edu/FacultyAPR/> . Please contact Dr. Brian Lee, Associate Dean for Faculty Resources, Planning and Assessment for further assistance. Thank you.