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## MEMORANDUM

To: Deans

From: Kumble R. Subbaswamy  
Provost

Handwritten signature of Kumble R. Subbaswamy in black ink.

Heidi M. Anderson  
Associate Provost for Faculty Affairs

Handwritten signature of Heidi M. Anderson in black ink.

Re: 2011-2012 Faculty Performance Review: **Second Year of Biennium**

Date: August 18, 2011

The evaluation of faculty performance is one of the most important functions of educational unit administrators and other evaluators. The purpose of the Faculty Performance Review is to provide guidance for continuing and meaningful faculty development. When done properly, the evaluation process is an effective means of improving performance, motivating faculty employees to reach higher levels of achievement, communicating expectations and dealing with performance-related issues. In addition, faculty performance reviews are an important source of information for the promotion and tenure review process.

***Administrative Regulation 3:10*** (“[Policies for Faculty Performance Review](#)” formerly AR II-1.0-5) enumerates the policies and procedures for conducting performance evaluation of faculty at the University of Kentucky and is available online at [www.uky.edu/Regulations/AR.htm](http://www.uky.edu/Regulations/AR.htm). This memo provides a brief summary of those policies and procedures.

### ***General Information***

- All probationary (tenure-track) faculty are evaluated annually.
- All newly hired faculty in any title series are evaluated in their first year of service.
- All faculty in the Lecturer Series at the rank of Lecturer are evaluated annually.
- All tenure-ineligible faculty are evaluated annually (e.g., Clinical Title Series, Research Title Series).
- Any tenured faculty employee or Senior Lecturer, if evaluated on a biennial cycle, may request an “off-year” performance review.
- Faculty performance shall be evaluated across all areas of assigned activity as recorded in the Distribution of Effort (DOE) applicable to the review period.

- Each faculty employee under review is responsible for preparing a summary of professional accomplishments in each area of assigned activity; where teaching has been assigned, the faculty employee also will prepare a teaching portfolio.
- Results of the evaluation will be communicated in writing to the faculty member by the educational unit administrator, and to the dean.

***Joint Appointments***

For a faculty employee with a joint appointment, where the secondary appointment comprises less than twenty percent of the faculty employee’s effort, the educational unit administrator in which the faculty employee has a primary appointment will evaluate the performance of the faculty employee, with input from the educational unit administrator in which the individual has a secondary appointment. If the secondary appointment comprises twenty percent or more of the faculty employee’s effort, the faculty employee will be evaluated by the educational unit administrators of the primary and the secondary units on those activities assigned by the respective units.

***Schedule of Title Series for Review***

This is the second year of the biennium. The following table provides a summary of faculty to be reviewed:

Table of Which Faculty Receive Performance Review During the **Second Year of Biennium**

	Regular Title Series	Special Title Series	Extension Title Series	Librarian Title Series	Research Title Series	Clinical Title Series	Lecturer or Senior Lecturer Ranks <sup>+</sup>
Tenured <sup>+</sup>	NO	NO	NO	NO	N/A	N/A	N/A
Tenure-track	YES	YES	YES	YES	N/A	N/A	N/A
Tenure-ineligible but continuing	N/A	N/A	N/A	N/A	YES	YES	YES
On terminal contract	NO	NO	NO	NO	NO*	NO*	NO*
Retiring this fiscal year	NO	NO	NO	NO	NO	NO	NO

+ In colleges that have adopted a biennial review cycle for tenured faculty and senior lecturers, no review is required this year

\* unless agreed to by mutual consent of the faculty and dean

***Exceptions in this Biennium:***

Faculty who do not need to be evaluated include:

- Tenured faculty who have formally indicated their intention to retire on or before the end of the current fiscal year;
- Non-tenured faculty whose appointments will not be renewed (i.e., faculty on a terminal contract whose appointment will not extend beyond the end of the current fiscal year).
- A tenured faculty employee or senior lecturer who is normally reviewed on a biennial cycle may request to have an “off-cycle” evaluation this year.

Faculty employees on terminal contract in any of the tenure-ineligible title series whose faculty appointments are likely to be renewed for the 2012-13 academic year should be reviewed this year since any salary increment is linked to their performance evaluation. Faculty on out-of-state assignments in international or other programs shall be evaluated for purposes of performance review based on their performances and accomplishments in their assigned areas of activity in accord with AR 3:4.

### ***Process and Procedures***

Before beginning the evaluative process, the college dean or director shall communicate the procedures used in the performance review to all faculty employees. Please be certain that the procedures employed in the performance review of faculty comply fully with [AR 3:10](#) policies about the areas of performance, sources of evaluative material, distribution of effort, consultation with faculty, rating systems, and appeals. Please share a copy of this memorandum and the regulation with your faculty, or provide the [web locations](#) for these documents.

The performance review for each faculty employee documents his or her effectiveness and progress in the following activities during the calendar year: [1] instruction (i.e., teaching and advising); [2] research and/or other appropriate forms of creative scholarship; [3] university service, public service, outreach services, professional leadership, and/or other appropriate activities; [4] and patient care and related clinical activity. Reviews are to be based on the distribution of effort (DOE) assigned to the faculty employee. Quantitative and qualitative information will be used as the sources of information for making judgments about performance.

The evaluation instrument or forms that are used in each college are to be developed by the dean of the college in consultation with the college faculty or a representative faculty governance body. Letter, numerical, or descriptive designations may be used in the evaluation instrument, but the rankings must clearly recognize at least three designations: (1) outstanding, (2) good or satisfactory, and (3) unsatisfactory performance. Evaluators are expected to be both fair and constructive. Evaluations must contain sufficient written commentary to explain the assigned ratings, especially whenever the rating is unsatisfactory or in cases where the need for significant improvement is cited.

The educational unit administrator shall review the performance of each faculty employee (as noted on page 2 in the review schedule table) and recommend an evaluation rating to the dean of the college. Educational unit administrators are expected to consult with a suitable committee of peers within the unit in arriving at merit ratings.

### ***Appeal Process for Performance Review (Revised Section)***

All faculty employees must be provided opportunities for an appeal at the college and/or provost level. These processes are described below.

*College Level Appeal.* If a faculty employee wishes to appeal his or her evaluation, he/she should attempt to resolve these differences informally with the educational unit administrator. Should this approach not lead to a successful resolution, faculty employees may appeal their evaluation to the dean of the college.

Appeals to the dean must be lodged in writing to the Dean's Office by March 12, 2012. The letter should be substantive, but limited if possible to a full page in length. The supporting documents shall be those documents that the faculty employee submitted initially to the educational unit administrator at the onset of the performance evaluation. Deans should complete the college level appeal process by April 6, 2012.

*Provost Level Appeal.* Should the college level appeal process not lead to a successful resolution, faculty employees may file an appeal of their evaluation to the Provost. To appeal to the Provost, send a letter stating the specific reasons and provide evidence for the appeal. The Provost shall obtain from the Dean's Office the supporting documents used in college-level appeal.

The Provost will acknowledge receipt of the appeal letter and provide the complainant with the provost-level procedures. These procedures involve the Provost appointing a faculty appeals committee after seeking advice about the committee composition from the Senate Council. The appeals committee will contact the complainant, review the case, interview all parties involved in the appeal (i.e., faculty employee and educational unit administrator and dean) and make a recommendation to the Provost. The Provost will render a judgment and communicate that decision to the complainant and the college dean. The Provost decision is final. The deadline for filing an appeal to the Provost is April 23, 2012.

### ***Tenure Progress Review in 2<sup>nd</sup> and 4<sup>th</sup> Years***

Please be reminded that one element of policies on faculty performance review ([AR 3:10.B.4, page 3](#)) requires mandatory tenure progress reviews in which the educational unit administrator shall consult with the tenured members of the faculty and prepare a written progress review that the educational unit administrator shall discuss with the individual under review. These discussions and the written review that documents those discussions shall occur in the second and fourth years of the probationary period, typically in the latter half of the contract period in those years. A progress review must be completed sufficiently in advance of the last day of the appointment period to ensure that the faculty employee is notified ***no later than the last day of the current appointment period*** of the individual's appointment status in the subsequent year. Such reviews may occur more frequently. This written tenure progress review shall be sent to the dean of the college and a copy shall be given to the individual under review and placed in the individual's Standard Personnel File.

### ***Timeline for Reviews***

Fall 2011	Faculty employees prepare their materials to submit to appropriate educational unit administrators.
December 2011 - January 2012	Reviews underway in units.
February 10, 2012	Reviews completed by college and faculty employees informed of results.
March 12, 2012	Deadline for a faculty employee to file an appeal at the college level.

April 6, 2012

Appeals at the college level completed.

April 23, 2012

Deadline for faculty employees to file a letter of appeal with appropriate evidence to the Provost

Finally, if there are any aspects of the review process on which you wish additional guidance, please feel free to contact the Office of the Associate Provost for Faculty Affairs (323-6589). Please note, this memorandum is also posted online at [http://www.uky.edu/Provost/APFA/Performance\\_Review/](http://www.uky.edu/Provost/APFA/Performance_Review/)

We welcome the opportunity to work with you in the faculty performance review process. Our investments in these activities help to move programs forward, and they support individual faculty development.

Thank you for your attention to the selection, progression and evaluation of our greatest asset – the faculty.

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