MEMORANDUM

DATE: February 3, 2020
TO: CALS Faculty Council
FROM: Shane C. Burgess
SUBJECT: Faculty Annual Performance Reviews

Thank you for your questions regarding faculty annual performance reviews in the College of Agriculture and Life Sciences and Arizona’s Cooperative Extension System. Even though the questions were asked about CALS only, all answers pertain to CALS and CES faculty.

Question 1. “Whether CALS administration uses APR metrics arising from units for any purpose, and especially in cases where these purposes affect faculty careers (merit raises, promotion, etc...)?”

Response: Here, I am defining “CALS administration” as the Executive Council and me, as that is what I think you mean, though all appointed administrators in CALS (and CES) would fall into this definition. No, we do not use APR metrics when reviewing either merit raise proposals requested by the academic unit heads or requests for funding for faculty retentions. UHAP provides deans access to annual APR’s for the following uncommon situations: 1) when a faculty member appeals the outcome of their annual review to the dean (UHAP 3.2.03; 4A.2.03); or 2) when a Faculty Development Plan or Performance Improvement Plan must be implemented due to unsatisfactory APR ratings (UHAP 3.2.05; 4A.2.05) as a component of the required dean approval or concurrence. I have never referred to or even reviewed APR ratings when writing my promotion and tenure/continuing status recommendation letters to the provost, though the UHAP does allow deans to do so (UHAP 3.2.01; 4A.2.01).

CES Director Jeff Silvertooth does use the APR process and so sees the information in the document because the CES director contributes directly to the information for continuing-track faculty because it contributes to federally required administrative oversight. The CES central administrative office accesses APR data in UAVitae when compiling the annual USDA-NIFA reports required for the next cycle of core federal (Hatch and Smith-Lever) funding—but this has no personnel review function.
Question 2. “Whether CALS administration undergoes a process to recalibrate APR metrics from across all units in order to compare unit performance or for any other purpose?”

Response: No. This is not required and also, in April 2018, the CALS academic unit heads, representing their faculty, affirmed: We do not support college-wide standardized annual evaluation criteria for faculty because we believe that the units are the most appropriate level of decision-making for annual evaluations. Each unit has its own values and culture that are reflected in their annual evaluations. However, we plan to share our criteria and procedures with each other, which could facilitate voluntary adoption of some similar evaluation approaches among like-minded units. If the Faculty Council recommends this be revisited, please let me know.

Question 3. “Does CALS administration keep records of APR scores for faculty across units, and if so for how long?”

Response: UHAP 3.2.06 requires that “the dean of each college and an elected faculty committee convened by the dean will review a sufficient number of tenured cases each year to ensure that over a maximum of five years every tenured file is reviewed. This dean’s-level audit will determine the adequacy, fairness, and integrity of the process. If deemed appropriate as a result of the audit, the dean may refer files back to the unit peer committee.

The Provost will review the annual review process and the dean’s-level audit outcomes, and from that review will report on the number of satisfactory (or better) and unsatisfactory ratings of annual reviews, by unit, to the Faculty Senate each year.”

As part of this process, the provost has required deans to provide “a tabulation of the ratings of tenured faculty in teaching, scholarship and service, and overall.”

The faculty Post Tenure Review Committee uses an anonymous aggregate of all the ratings by academic unit, except for the smallest units because anonymity could be lost. The Office of the CALS Dean maintains every audit process record for the university’s required 10-year period and the CES central administrative office keeps the academic unit evaluations records as required (University of Arizona Retention Schedule Policy).

The CES director reviews 3- to 5-year periods of APRs as a part of academic unit CES Extension mission oversight responsibility.