

Faculty Annual Performance Review (APR): Guidance for Faculty

The **Annual Performance Review (APR)** is intended to promote the discussion of performance and future goals between a faculty member and their supervisor. The APR is required for all UMMS employed faculty at the University of Massachusetts Medical School and UMass Memorial Health Care. The procedure for conducting the APR is described in the Academic Personnel Policy (APP, approved 12/8/2017)—see [APP Section 5.5](#)

This guide is designed to help faculty complete their APR and prepare for the discussion with their supervisor. Information is also available on the Office of Faculty Affairs website at <http://www.umassmed.edu/ofa/academic/faculty-reviews/apr>

The goal of the APR is to provide a **retrospective evaluation** and an agreement on **shared goals for the future**. The APR process is intended to benefit both the faculty member and the department:

- to document a faculty member’s activities and achievements
- to provide feedback (both positive and areas for improvement) on a faculty member’s performance in their assigned roles and on their progress toward academic advancement
- to define the goals for a faculty member for the upcoming year
- to define a plan for academic and professional development
- to inform salary recommendations.

Steps in the Review Process

Each faculty member must record their **academic and professional activities** for the past year, conduct a **self-assessment of their goals** for that year, and set **goals and objectives** for the next year. The Department Chair or an assigned evaluator, such as a Division Chief, then reviews and evaluates the faculty member’s performance during the past year and their goals and objectives for the next year in a **written evaluation** and **face-to-face discussion**.

The APR form is completed electronically and is color coded to reflect who is responsible for completing each section.

Department/Division Administration	Faculty Member	Evaluator	Department Chair
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1. The Department completes Section I (individual information) and Section VI, Parts B, C, D (clinical performance data) for each faculty member, and sends to the faculty member.
2. The faculty member completes Sections II–XI and returns the form to the department. **New for 2018:** these Sections have been modified to match the new APP.
3. The evaluator or supervisor evaluates the faculty member’s performance in Section XII and signs the form.
4. The faculty member and evaluator meet to discuss the evaluation and the faculty member’s future goals.
5. The faculty member may provide optional comments on their evaluation in Section XIII. The faculty member signs the form.
6. The Department Chair (if they are not the evaluator) provides an evaluation in Section XIV and signs the form.
7. The form is submitted to the Office of Faculty Affairs.

Completed forms are due to the Office of Faculty Affairs by Friday, May 25, 2018 for basic science departments.

Completed forms are due to the Office of Faculty Affairs by Friday, September 28, 2018 for clinical science departments.

Recording Academic Activities (Sections II–VIII)

The faculty member records their academic and professional activities for the reporting period (defined at the top of page 1 of the form) in Sections II–VIII in the appropriate text boxes on the form. Complete only the sections that are relevant to you—you do not need to complete every section. Return the completed form to the department administrator.

Key Points

- Review your individual information (Section I) for accuracy, particularly your current and proposed effort distribution. Discuss with your supervisor or evaluator if you think the distributions are different from your understanding.
- **New for 2018:** some Sections have been modified to match the new APP. For example, the previous section on “Research & Scholarly Activity” is now separated into Investigation (Section III) and Scholarship (Section IV). Individual fields within the sections are not changed.
- Be prepared! An up-to-date curriculum vitae will make it easier to complete the form. The APR form is consistent with the current version of the UMMS CV format, allowing you to cut-and-paste information from your CV into your APR. Keep a log of your teaching evaluations to attach to the form (Section IIE).
- List all mentoring and advising activities under Education (Section IID). Include evidence of outcomes that result from your mentoring (e.g., publications or presentations with mentees; current positions of mentees).
- Health Care Delivery (Section VII): clinical faculty describe their expertise in a clinical specialty and roles and responsibilities in health care delivery, including patient population/location; any innovations in health care delivery, with documented outcomes; and their efforts to improve quality and safety of patient care (Section VIIE).

Diversity Efforts (Section IX)

Describe your efforts to contribute to an inclusive environment in your department or the institution. The objective of the section on Diversity Efforts in the APR is to engage faculty in diversity, equity, and inclusion activities to promote a broadly shared understanding of the importance and benefits of a diverse, equitable and inclusive environment. Faculty may demonstrate their commitment diversity through participation in a variety of activities across the missions (see Appendix).

Professional Development Activities (Section X)

List any activities (course, programs, workshops etc.) in which you participated to enhance **your professional development**. As you list these activities, consider your academic and professional development needs for the next year.

Goals and Self-Assessment (Section XI)

In this section, provide a self-assessment of the goals you set in your previous year’s APR and list your goals for the coming year. You should also review your needs for mentoring to achieve the goals you set. The Individual Opportunity Plan (IOP) may help you set your goals and objectives and is available on the OFA website (<http://www.umassmed.edu/ofa/development/iop>).

- A. **New for 2018:** identify your **primary Area of Distinction** (Health Care Delivery, Education, Investigation, Population Health and Public Policy; see here for more information). Your primary Area of Distinction is where you devote most effort and/or have the greatest achievements.
- B. **Goals and Objectives** for the reporting period: copy your goals and objectives from your APR from the previous year.
- C. Provide a **Self-assessment** of your performance during the reporting period: highlight your most important accomplishments and describe any challenges in meeting your goals.

- D. List your **Goals and Objectives** for the next year in priority order. Include at least one objective for each goal. Consider writing goals and objectives in each of the following areas (as appropriate): education, research and scholarly activities, professional service, clinical service, leadership, diversity, and career development.

A **Goal** is a broad statement of a desired outcome that you plan to achieve in the next 3–5 years.

Examples:

- To secure external funding to maintain a productive research program.
- To establish myself as an educational scholar.
- To increase the efficiency of my clinical practice.

An **Objective** is a specific statement of a desired outcome that you will achieve in the next year.

Objectives should be **SMART**: **S**pecific, **M**easurable, **A**chievable, **R**elevant, **T**ime-limited.

Examples:

- I will submit three applications for external funding (R01, R21, and ACS) by March.
- I will complete the assessment of the new curriculum I developed, write and submit a manuscript by December.
- I will enroll in LEAN training and initiate one project for quality improvement this year.

- E. **Mentoring**: how could mentors increase your ability to achieve the goals and objectives you have listed? Do you need help in identifying mentors?

Examples:

- I would like an experienced grant writer to review the specific aims for my proposals.
- I would like advice on interpreting the assessment of the curriculum.
- I would like guidance from someone who has experience in quality improvement.

The APR Meeting

Your evaluator—either your Department Chair or their designee, such as a Division Chief—will review your APR and complete a written evaluation (Section XII) of your past performance and future goals. You will then meet with the evaluator to discuss your evaluation.

The APR meeting is an opportunity for faculty to discuss their academic and professional development with their supervisor and request resources to achieve their goals. The APR is an opportunity for supervisors to evaluate the performance and support the development of their faculty.

Be prepared for the meeting:

- Review your APR before the meeting to anticipate any particular concerns.
- If you feel that you are ready for promotion, be prepared to raise the issue with your supervisor.

Plan to negotiate for resources:

- What resources do you need to achieve the goals and objectives you have set for the next year — protected time, funding, mentoring?

Expect a “mixed review”:

- If you are asked to do more, where can you do less — clinic, teaching, scholarship, service?
- If you are asked to improve your performance — scholarship, funding, educational activities, clinical productivity — what do you need to achieve the expectations set for you?

Next Steps

- The faculty member may provide comments on their evaluation in Section XIII.
- The Department Chair (if they are not the evaluator) provides an evaluation in Section XIV.
- The form is submitted to the Office of Faculty Affairs, where it is included in the faculty member’s permanent academic record.

Appendix: Annual Performance Review Diversity Efforts (Section IX)

The University of Massachusetts Medical School (UMMS) values and has a commitment to affirmative action, diversity, and equal opportunity. To that end, we will work towards creating a diverse workforce and an inclusive workplace that is a model of distinction for medical schools. This effort will be achieved through specific initiatives: recruiting the best talent in our faculty and non-faculty positions with particular attention to attracting women and people of color; by developing, retaining and strengthening the incumbent workforce; and by providing an environment that is welcoming, safe, and civil for all who study, work and visit UMass/Worcester.

The objective of the section on Diversity Efforts in the Annual Faculty Report is to engage faculty in diversity, equity, and inclusion activities to promote a broadly shared understanding of the importance and benefits of a diverse, equitable and inclusive environment. Faculty may demonstrate their commitment diversity through participation in a variety of activities across the missions. Examples of a commitment to diversity, equity and inclusion include the following examples in the different missions.

Research mission efforts:

- Include women faculty and/or faculty of color in research activities
 - through Minority Supplement Grants
 - through mentoring or advising activities
 - through hiring a technician and/or staff from an under-represented group
 - through participation in the Summer Undergraduate Research Program or High School Health Careers Program
- Participate in research related to health disparities or protected groups (i.e. aging, GLBT, women's health, etc.)
- Increase visibility of health disparities research being conducted at UMMS
- Attend seminars related to research in these areas

Education mission efforts:

- Develop a curriculum that addresses cultural competence topics
- Integrate aspects of cultural competence or health disparities in your teaching activities
- Attend educational offerings that enhance your knowledge of diversity, cultural competence, and/or health disparities
 - Lectures, seminars, workshops that involve topics related to diversity, gender differences or health disparities (i.e. Geriatrics Grand Rounds, annual Women's Health Lecture, etc.)
- Volunteer to teach in areas related to, or involving diversity, gender, or health disparities
 - Geriatrics Interclerkship
 - Domestic Violence Interclerkship
 - Multiculturalism Interclerkship
 - Disabilities Interclerkship
 - Global Health Topics in Action Optional Enrichment Elective
 - The Bigger Picture: Health Issues Affecting the Community of Worcester Optional Enrichment Elective
 - Communication skills (taking a sexual history; cross-cultural communication)
 - Doctoring and Clinical Skills I & II
 - Physical Diagnosis I & II
 - Longitudinal Preceptor Program I & II

Clinical service mission efforts:

- Provide service to underserved communities
- Volunteer to provide care in underserved clinics, such as the Greenwood Street Medical Clinic, Epworth, or Akwaaba free medical clinic
- Serve as a mentor to a student of color or woman
- Address issues of health disparities in clinical practice
- Serve as a translator for patients in the clinical system

Academic service mission efforts:

- Participate on the Council on Equal Opportunity & Diversity or one of its subcommittees
- Participate on the Women's Faculty Committee or one of its subcommittees
- Participate in programs offered by the Office of School Services, i.e., Summer Undergraduate Research Program; High School Health Careers Program
- Be a diversity champion on a search committee
- Serve as an advisor for, or support efforts of, student groups such as the Student National Medical Association, the student chapter of the American Medical Women's Association and/or QMass
- Attend and support activities that celebrate diversity such as the International Festival, the MLK Celebration of Service, the Women's Faculty Committee Awards Luncheon

Leadership efforts:

- Advance the core values of civility, mutual respect, and diversity for excellence within your sphere of influence
- Ensure operational flexibility to accommodate a diverse workforce with regard to religious practices, timing of meetings, physical and site specific accommodations, etc.
- Be a champion of diversity through specific efforts and initiatives to advance excellence through diversity
- Recruit, develop and retain faculty, students, residents and others that will contribute to excellence and enhance the diversity of the campus
- Be a champion of diversity on a search committee
- Participate in programs that facilitate an awareness and understanding of subtle, sometimes unconscious, biases and their impact
- Identify and commit to pursue one individual goal that advances excellence through diversity