

## 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 UMass Chan employed faculty at the UMass Chan 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** 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 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. 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 the deadline detailed on the communication sent for the current year.***

### **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.
- 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 UMass Chan 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 support diversity, equity and inclusion.

For guidance, visit <https://www.umassmed.edu/globalassets/office-of-faculty-affairs/documents/dei-contributions-rubric-apr.pdf>

### **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 is available on the OFA website (<http://www.umassmed.edu/ofa/development/iop>).

- A. Identify your **primary Area of Distinction** (Health Care Delivery, Education, Investigation, Population Health and Public Policy). Your primary Area of Distinction is where you devote most effort and/or have the greatest achievements.
- B. **Goals** for the reporting period: copy your goals 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** for the next year in priority order. Include at least one objective for each goal. Consider writing goals 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.

**Goals** 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 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 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.