

**Attachment 3**  
**Proposed Revisions to University Handbook Section C**  
**Submitted by University Handbook and Policy Committee**  
**Approved by Faculty Affairs**

**University Handbook, Section C**  
**Identity, Employment, Tenure**

**Responsibilities**

**C1** Faculty members' responsibilities. Faculty members, as distinguished from other personnel employed by the university, are those members of the unclassified service who have the professional expertise and the responsibility for the major university endeavors of teaching, research and other creative activities, extension, directed service, and non-directed service.

Institutional excellence is enhanced by both faculty specialization and versatility in the kind of work done within and across departments and units. Faculty members will have individual responsibility profiles. However, specialization of labor carried to extremes could seriously limit the extent to which faculty would be able to meet changing needs in their departments or to meet temporary needs. Thus, a major purpose of the probationary period is to assess a candidate's versatility across and within areas of work. When included as part of a faculty member's appointment, each of the responsibility areas below is considered in decisions for reappointment, tenure, and promotion as well as in annual merit evaluations:

**C2** Teaching. Efforts to assist undergraduate and graduate students in gaining knowledge, understanding, or proficiency; for example, planning and teaching courses, advising undergraduates, or supervising graduate students.

**C3** Research and other creative activities. Efforts to make original intellectual or artistic contributions through scholarship; for example, original research, creative artistry, interdisciplinary scholarly work, guiding graduate students' research, or the use of specialized knowledge to address significant social or professional problems. For more information see <http://www.k-state.edu/academicpersonnel/fhbook/fhsecg.html>

**C4** Extension. Efforts of the Cooperative Extension Service that provide practical, scientifically based, and useful information to Kansas residents through informal, out-of-school, non-credit education programs.

**C5** Directed service. All other work that furthers the mission of and is directly related to the goals and objectives of a unit and the university, that requires academic credentials or special skills, and that is a part of a faculty member's explicit assignment. Typical positions that involve such work are librarians and clinicians-diagnosticians.

**C6** Non-directed service. There are three categories: Profession-based service. Work that is directly related to the function of the unit and that provides leadership and service to the faculty member's profession or discipline; for example, holding office in a professional association or service on an editorial board of a professional journal.

Institution-based service. Work that is essential to the operation of the university; for example, contributing to the formulation of academic policy and programs, serving on the faculty senate, the graduate council, and committees of the department, college or university, or acting as adviser to student organizations.

Public-based professional service. Efforts that are not directed service but that are the application of knowledge and expertise intended for the benefit of a non-academic audience; for example, serving as an expert witness, developing programs and providing training, or providing consultation.

**C7** Administrative duties. Faculty members also may have administrative duties, such as serving as department heads/chairs, assistant deans, and associate deans. Administrative officers may hold academic rank in a department.

### **Faculty Positions with Tenure Track Appointments**

**C10** The following ranks may be held by faculty on tenure lines:

Professor, associate professor, assistant professor (probationary or tenured)

(See Section C13 for definitions of instructor, research, and clinical positions. Refer also to the PPM, Chapter 4650, section .040 (<http://www.k-state.edu/policies/ppm/4650.html>).

### **Faculty Positions with Non-Tenure Track Appointments**

**C11** Term appointments. Term appointees may have the following designations:

Adjunct appointees (professor, associate professor, assistant professor, instructor)

Term appointees (professor, associate professor, assistant professor, research professor, research associate professor, research assistant professor, clinical professor, clinical associate professor, clinical assistant professor, and instructor)

Extension assistant

Extension associate

Research assistant

Research associate

Graduate assistant

Graduate teaching assistant

Graduate research assistant

Those appointed on a term appointment may be engaged in teaching, research and other creative activities, extension, or library services. This appointment may be full-time or part-time. Normally, a term appointment is used only when the need or the funding for the position is finite and is for a specified term not longer than one year. A term appointment carries no expectation of continued employment beyond the period stated in the contract. Service on a term appointment is not credited toward tenure. The Standards for Notice of Non-Reappointment do not apply.

**C12** Regular appointments with no tenure line. The following designations may be given to regular non-tenure line appointments:

Research professor, research associate professor, research assistant professor (regular)

Clinical professor, clinical associate professor, clinical assistant professor (regular)

Instructor (regular)

**C13.1** Appointments at instructor rank.

Instructor -- regular appointment. Faculty members appointed on a regular appointment may be engaged in teaching, research and other creative activities, extension, or library services. This appointment may be full-time or part-time. An instructor appointed on a regular appointment is a member of the general faculty and is afforded all perquisites accorded to the general faculty, including Notice of Non-Reappointment (see Appendix A), with the exception that years of service on a regular appointment may be credited toward tenure if such is stipulated in the contract.

Instructor -- term appointment. See [C11](#).

**C13.2** Appointments at the rank of research assistant professor, research associate professor, and research professor.

In certain cases, the university's best interests are served by entering into ongoing relationships with personnel beyond the research associate level; these individuals will normally qualify for principal investigator status on proposals to external agencies if approved by their department head/chair and the dean of the relevant college. These appointments will be at the rank of research assistant professor, research associate professor, and research professor; individuals appointed to these positions should have research credentials consistent with those mandated for the comparable tenure-track rank in their disciplines. Appointments to these ranks do not accrue credit toward tenure. Faculty at these ranks will be appointed to one of the following:

1. Research assistant professor; research associate professor; research professor -- term appointment. Those on a term appointment may be engaged in research or other creative activities in academic departments. This appointment may be full-time or part-time. A term appointment carries no expectation of continued employment beyond the period stated in the contract. Service on a term appointment is not credited toward tenure, and the Standards for Notice of Non-Reappointment do not apply.
2. Research assistant professor; research associate professor; research professor -- regular appointment. Those on a regular appointment may be engaged in research or other creative activities in academic departments. This appointment may be full-time or part-time. A research professor at any rank on a regular appointment is a member of the general faculty and is afforded all prerequisites accorded to the general faculty, including Notice of Non-Reappointment (see [Appendix A](#), University Handbook), with the exception that years of service on a regular appointment will not be counted toward tenure.

Individuals appointed to these ranks may expect to be promoted on the basis of demonstrated individual merit in relationship to their association with the university's mission and within their own disciplines. Each higher rank demands a higher level of research accomplishment consistent with the research expectations for tenure-track faculty. Annual evaluation and promotion are based upon an individual's achievements related to the specific criteria, standards, and guidelines developed by departmental faculty in consultation with the department head/chair and the appropriate dean. Department heads/chairs are expected to notify faculty members regarding their progress toward or readiness for promotion review. Recommendations for appointment, reappointment, annual evaluation, and promotion shall be made according to the guidelines and procedures described in the University Handbook (see Section C).

**C12.2** Appointments at the rank of clinical assistant professor, clinical associate professor, and clinical professor. The primary responsibility for persons on these appointments will be teaching and clinical service. A component of the clinical appointment may include opportunity for scholarly achievement. Persons appointed to these positions should have credentials appropriate to the discipline. Clinical faculty are not eligible for tenure.

1. Clinical assistant professor, clinical associate professor, and clinical professor---term appointment. This appointment may be full time or part time clinical track appointment. A term appointment carries no expectation of continued employment beyond the period stated in the contract. Service on a term appointment is not credited toward tenure, and the Standards for Notice of Non-reappointment do not apply.
2. Clinical assistant professor, clinical associate professor, and clinical professor--- regular appointment.

This may be a full-time or part-time track position. As such a clinical professor at any rank on a regular appointment is a member of the general faculty and is afforded all prerequisites accorded to

the general faculty, including Notice of Non-Reappointment (see Appendix A, University Handbook), with the exception that years of service on a regular appointment will not be counted toward tenure.

Units that wish to use clinical faculty appointments must first include in their departmental documents the specific criteria that apply to these positions and the processes to be used for appointment, reappointment, annual evaluations and promotion. Under certain circumstances, to be set forth in the units' respective departmental documents, persons appointed to clinical track or tenure track appointments may make a one-time transfer from their appointed track to the other. Approval of the departmental document revisions will follow the regular process.

Persons appointed to these ranks may expect to be promoted on the basis of demonstrated individual merit in relationship to their association with the university's mission and within their discipline. Each higher rank demands a higher level of accomplishment consistent with the expectations based on specific criteria, standards, and guidelines developed by departmental faculty in consultation with the department head or chair and the appropriate dean. Department heads/chairs are expected to notify faculty members regarding their progress toward or readiness for promotion review.

Recommendations for appointment, reappointment, annual evaluation, and promotion shall be made according to the guidelines and procedures described in the University Handbook (see Section C). Persons appointed to clinical assistant professor positions will receive annually renewable one-year contracts. Those persons appointed to clinical associate professor positions will receive annually renewable three-year contracts. Those persons appointed to clinical full professor positions will receive annually renewable five-year contracts. Notice of Non-reappointment for these appointments must be given 12 months before the end of the contract. Refer to the PPM, Chapter 4650, section .070 (<http://www.k-state.edu/policies/ppm/4650.html>).

**C14** Ranks and conditions for acquiring tenure. Tenure is not granted below the rank of associate professor, except in special circumstances approved by the provost. Tenure and promotion to associate professor often are granted concurrently. Service as a probationary instructor or above may be credited toward tenure if stipulated in the contract.

**C15** Eligibility for professorial rank. Unclassified professionals (in student service departments or in other support units of the university) who are not associated with an academic department or unit are not eligible for professorial ranks. Because of tradition, academic rank is used for library and extension faculty not in an academic unit.

**C16** Courtesy professorial appointment. Unclassified professionals in student service departments or in other support units of the university may be granted professorial rank, with the approval of the departmental faculty, dean, and provost. Persons granted such courtesy appointments will be expected to hold the terminal degree, or its equivalent, in the academic discipline of the department granting the courtesy appointment. Courtesy appointments do not carry with them the prospect of consideration for tenure or any other obligations on the part of the department. The extent to which the unclassified professional holding the courtesy appointment participates in the activities of the department in which the courtesy appointment is held is arranged between the department and the individual.

### **Appointment**

**C20** General procedures. The department head/chair is advised on appointments by the faculty members of the department who have acquired tenure and hold a rank equal to or higher than the position to be filled. The department head/chair is responsible for making the candidate's file available in a timely fashion to the department faculty members who are eligible to make recommendations. For appointments

at the rank of assistant professor, associate professor and professor, eligible department faculty members will advise the department head/chair through a vote on the appointment of the candidate at a given rank. The type of vote will be at the discretion of the department. The department head/chair forwards a written recommendation and accompanying explanation to the dean, along with the candidate's complete file, the results of the vote (if applicable), and the recommendation(s) and any written comments (unedited) of the eligible departmental faculty members. Initial contracts are issued by the provost. Recommendation for appointment of an individual to the faculty is normally made by a department head/chair to the appropriate dean after affirmative action procedures have been followed.

**C21.1** Letter of expectation. Faculty members are appointed based upon their potential to advance the mission and expectations of the department. The department head/chair writes a letter of expectation to each prospective appointee describing the general responsibilities (see C1-C6) expected of her/him. A copy of the letter is forwarded to the dean and the provost, along with the recommendation for appointment.

**C21.2** Policy to designate a change in salary for administrators who return to the faculty. When a tenured faculty member is appointed to an administrative position, a memorandum of understanding stating the agreement between the faculty member and the appropriate administrator (provost or dean) concerning salary adjustment at such time as the faculty member returns to full-time faculty status will accompany the contract. The memorandum of understanding will be from the appropriate administrator and will be co-signed by the faculty member. The adjustment generally will be based upon a 10% reduction in salary, and upon return to a nine-month appointment if the faculty member is in a department where nine-month contracts prevail. If a larger reduction or other modification is agreed upon, this must be included in the memorandum of understanding. Additional modifications may be made at the time of reassignment with the approval of the provost.

**C22.1** Conditions of employment. Regular faculty appointments may be either for the academic year (nine months) or for the fiscal year (12 months). Faculty or unclassified professionals or with regular appointments may elect to take their nine-month salary payments in 20 installments. The pay period is bi-weekly. Refer to the PPM, Chapter 4650, section .040 (<http://www.k-state.edu/policies/ppm/4650.html>).

**C22.2** All prospective faculty members and graduate teaching assistants will have their spoken English competency assessed in accordance with Kansas Board of Regents' policies. Refer to the PPM, Chapter 4650, section .075 (<http://www.k-state.edu/policies/ppm/4650.html>).

**C22.3** A nine-month appointee's salary is paid bi-weekly beginning the first pay date in September. Full or part-time summer teaching or other duties may be available for nine-month faculty members as determined by need and resources and at the discretion of the department head. Refer to the PPM, Chapter 4650, section .070 (<http://www.k-state.edu/policies/ppm/4650.html>).

**C22.4** Nine-month faculty or unclassified professionals do not accumulate or earn annual leave. Their instructional duties are closely related to the presence of students on the campus. Student recesses offer the nine-month faculty member an opportunity to engage in research and perform other necessary professional duties. In consideration of the professional nature of a faculty position, faculty members are expected to fulfill appropriate professional responsibilities throughout the academic year, including student recesses, exclusive of legal holidays. The academic year begins with student registration or similar duties in the fall and continues for nine months. Refer to the PPM, Chapter 4650 (<http://www.k-state.edu/policies/ppm/4650.html>).

**C22.5** Select faculty, including department heads/chairs, research scientists in the Agricultural Experiment Station, and subject matter specialists in the Cooperative Extension Service, may be on 12-month appointments. The holders of such appointments are accountable for their time for a calendar or

fiscal year rather than an academic year. Twelve month employees should check with their department heads/chairs regarding leave and vacation policies. Annual leave is described more fully in E40-46 and PPM, Chapter 4865, <http://www.k-state.edu/policies/ppm/4865.html>.

**C23.1** Summer employment. Nine-month unclassified employees in budgeted faculty positions are placed on leave of absence for the summer following the end of the academic year. A transaction is submitted to the [Division of Human Resources](#) for all 9-month employees who will be appointed during the summer on a summer appointment or who are newly hired. A summer school appointment is a teaching appointment for summer school courses. A summer appointment is an appointment other than teaching and is generally paid from a grant. Summer salary will be negotiated between the faculty member and department head. For 12-month faculty, summer is a normal part of their duties. For more information on summer school and summer appointments, refer to the PPM, Chapter 4650, section .050, <http://www.k-state.edu/policies/ppm/4650.html>. For more information on processing summer transactions and for transaction deadlines, refer to [Transaction Guidelines & Procedures for Summer](#).

**C23.2** Nine-month faculty members may arrange up to three months' summer employment if the salary is paid from commercial, contract or grant funds.

**C24** Interdisciplinary appointments. Normally, all tenure track faculty members appointed to interdisciplinary programs who have not already acquired tenure at Kansas State University shall at the time they are being considered for appointment identify the disciplinary department with which they wish to be associated. Prior to appointment, a majority of the faculty members of the chosen disciplinary department must find the individual acceptable as a potential faculty member in their department.

**C25.1** Adjunct appointments. Adjunct appointments are made for the benefit of the university to allow people from outside the university to contribute to its academic program. When appropriate, an academic department initiates a recommendation for an adjunct appointment at the faculty rank commensurate with the individual's qualifications. Approval of the collegiate dean and the provost is required. Because they allow the individual the courtesy of affiliation with the university, adjunct appointments are usually without compensation. Payment may be made for classroom instruction, although adjunct faculty members are normally not appointed to serve in the formal teaching program. Refer to the PPM, Chapter 4650, <http://www.k-state.edu/policies/ppm/4650.html>.

**C25.2** The activities of adjunct faculty members are limited to participation in academic functions such as teaching, advising, and supervising research. The regular procedures of the graduate faculty apply to any individual's participation in a graduate program. Adjunct appointees may serve as major professors for graduate students only if a regular member of the graduate faculty serves as co-major professor.

**C25.3** All university rules and regulations apply to adjunct faculty members in their university association, including policies with respect to patents, conflict of interest, classified research, and use of human subjects. Adjunct faculty members must accept responsibility for liability in cases of student work which they supervise off-campus.

**C25.4** Adjunct faculty members are not granted tenure, nor are they eligible to vote or hold office in any unit of university governance.

**C25.5** In recognition of their contribution to the academic community, the university extends to adjunct appointees residing in Kansas the use of university libraries; employee rates for athletic, Kansas State Union, and cultural events; and parking privileges.

### **Ancillary Appointments**

**C27** Ancillary appointments. Ancillary appointments are made for the benefit of a department to allow faculty from other university departments to contribute to its academic programs. Members who are on regular faculty appointments in other departments or units on campus are eligible. The goal is to foster ties between departments with similar and/or complementary disciplinary interests.

**C27.1** An eligible faculty member may be nominated for an ancillary appointment by a faculty member in the host department or by the host department head. The nomination should be discussed with other faculty in both of the departments that the appointment may affect. The nomination should include a letter of nomination, curriculum vitae of the candidate, and a statement outlining the benefits both to the candidate and to the hosting department. Prior to appointment, a majority of the faculty members from the host department must find the individual acceptable as an ancillary faculty member. The appointment must be approved by the host department head/chair, host dean, and the provost. The candidate must also have approval from his/her home department head and dean.

**C27.2** An ancillary appointment is a five-year term and is contingent upon a continuing regular faculty appointment. To be reappointed, the candidate must be re-nominated and approved by the process outlined above.

**C27.3** The activities of an ancillary appointment may include teaching, interaction in scholarly and creative endeavors, participation in graduate programs, and serving on graduate student committees. The regular procedures of the graduate faculty apply to any individual's participation in a graduate program. Departments may develop more specific guidelines and policies related to these appointments.

**C27.4** Ancillary appointments are without compensation. Ancillary faculty members are subject to all rules and regulations that apply to members of the host department including but not limited to patents, conflict of interest, classified research, and use of human subjects. Ancillary faculty members are not granted tenure, nor are they eligible to vote or hold office in the host department. Ancillary appointments may be recognized in all appropriate departmental documents and literature pertaining to academic programs.

**C29.1** Other considerations. As a general policy, tenure-track faculty appointments will not be offered to persons whose last earned academic degree is from Kansas State University unless they have acquired extensive intervening experience elsewhere. In unusual and meritorious cases, the provost may make exceptions to this policy.

**C29.2** The university will not grant an advanced degree to a faculty member who holds the rank of assistant professor or higher, with the following exceptions: Faculty members in these ranks may be permitted to work for degrees outside their own departments, provided that the degrees are not required for promotion or tenure in their own departments.

**C29.3** The introduction to this handbook provides information on equal employment opportunity, employment of relatives, and citizenship requirements.

### **General Issues of Faculty Evaluations**

**C30.1** Purposes of evaluations. Personnel decisions concerning annual merit salary, reappointment, tenure, and promotion are based on faculty evaluation. Also important to the institution is the use of evaluation procedures to aid faculty development. Faculty evaluations provide opportunity for professional growth and commitment to the excellence at Kansas State University.

**C30.2** A fundamental function of assessments of faculty performance is to produce judgments on the effectiveness of the performance and to help assure that personnel decisions are both reasonable and defensible.

**C30.3** It also is clearly understood that faculty renewal, development and improvement are of critical importance to the university in its pursuit of excellence. Each department should develop means of providing feedback to the individual so that he/she can maintain high levels of performance. Faculty members also have a personal responsibility to maintain or improve performance and are encouraged to participate in professional development activities. The department or unit head, in consultation with the dean of the college and the provost shall assist the individual with such improvement activities. Often an agency external to the department can contribute to this process. For example, the Center for the Advancement of Teaching and Learning provides independent and confidential help to strengthen teaching, and the Office of Research and Sponsored Programs assists with efforts to design projects and secure extramural funding.

**C31.1** Criteria, standards, and guidelines. It is not possible at the university or college levels to establish detailed criteria and standards for annual merit salary adjustments, reappointment, promotion, and tenure. It is the provost's responsibility to ensure that the faculty of each academic department or unit, in consultation with the department head or unit director and the dean develop and periodically review the criteria, standards, and guidelines. (See [A30](#): Equal Employment Opportunity.)

**C31.2** These criteria, standards, and guidelines must be mutually approved by a majority vote of the faculty members in the department or unit, by the department head or unit director, by the dean concerned, and by the provost. Provision must be made for review at least once every five years or more frequently if it is determined to be necessary by any of the four aforementioned parties. Dates of revision (or the vote to continue without revision) must appear on the first page. Copies are available to faculty members in their departmental or unit offices.

**C31.3** The criteria, standards, and guidelines must be consistent with the university's and college's expectations for the department or unit. They clarify department priorities while providing for significant variance in the responsibilities and assignments of individual faculty members.

**C31.4** It is the responsibility of the deans and the provost to ensure that departmental criteria, standards, and guidelines are followed in making recommendations and decisions for merit salary adjustments, reappointment, promotion, and tenure.

**C31.5** Chronic low achievement. Chronic failure of a tenured faculty member to perform his/her professional duties, as defined in the respective unit, shall constitute evidence of "professional incompetence" and warrant consideration for "dismissal for cause" under existing university policies. Each department or unit shall develop a set of guidelines describing the minimum-acceptable level of productivity for all applicable areas of responsibility for the faculty, as well as procedures to handle such cases. In keeping with regular procedures in matters of tenure ([C112.1](#) and [C112.2](#)), eligible departmental faculty will have input into any decision on individual cases unless the faculty member requests otherwise. When a tenured faculty member's overall performance falls below the minimum-acceptable level, as indicated by the annual evaluation, the department or unit head/chair shall indicate so in writing to the faculty member. The department head/chair will also indicate, in writing, a suggested course of action to improve the performance of the faculty member. In subsequent annual evaluations, the faculty member will report on activities aimed at improving performance and any evidence of improvement. The names of faculty members who fail to meet minimum standards for the year following the department head's/chair's suggested course of action will be forwarded to the appropriate dean. If the faculty member has two successive evaluations or a total of three evaluations in any five-year period in which minimum standards are not met, then "dismissal for cause" will be considered at the discretion of the appropriate dean.

**C31.6** Section [C31.5](#) is about revocation of tenure in individual cases. Tenure is essential for the protection of the independence of the teaching and research faculty in institutions of higher learning in the

United States. Decisions about revocation of tenure, especially if the grounds are professional incompetence, should not be exclusively controlled or determined by and should not be unduly influenced by single individuals without input from faculty. Moreover, "dismissal for cause" in cases of professional incompetence can only be based on departmental guidelines about minimum-acceptable levels of performance that apply generally to all members of the department or unit and are distinct from individually determined annual goals. Consequently, C31.5 establishes a departmental and faculty procedure for the decision about the revocation of tenure for professional incompetence. It is not the purpose of C31.5 to promote, endorse, encourage, or to have any stand whatsoever on the definition of "productivity," its relation to publication, or the proper relationship between measurable definitions of productivity and an intellectual university environment that is favorable to substantive scholarship, long-range projects, or critical and creative thinking. These are matters that C31.5 leaves to the department or unit to consider in "developing a set of guidelines describing the minimum acceptable level of productivity for all applicable areas of responsibility." These minimum standards are not the same as those referred to in C31.1 or C41.1. It is expected that guidelines concerning minimum-acceptable levels of productivity will vary considerably from unit to unit. Not only disciplinary differences but differences in philosophies of departmental administration are appropriate. What is not appropriate is the undue protection of non-contributing members of the faculty.

**C31.7** Prior to the point at which "dismissal for cause" is considered under C31.5, other less drastic actions should have been taken. In most cases, the faculty member's deficient performance ("below expectations" or worse) in one or more areas of responsibility will have been noted in prior annual evaluations. At that point, the first responsibility of the head/chair of the department or unit is to determine explicitly whether the duties assigned to the faculty member have been equitable in the context of the distribution of duties within the unit and to correct any inequities affecting the faculty member under review. Second, the head/chair of the department or unit should have offered the types of assistance indicated in C30.3. Referral for still other forms of assistance (e.g., medical or psychological) may be warranted. Third, if the deficient performance continues in spite of these efforts and recommendations, the department head and the faculty member may agree to a reallocation of the faculty member's time so that he/she no longer has duties in the area(s) of deficient performance. Of course, such reallocation can occur only if there are one or more areas of better performance in the faculty member's profile and if the reallocation is possible in the larger context of the department's or unit's mission, needs, and resources.

**C31.8** To help clarify the relationship between annual evaluations for merit, salary, and promotion and evaluations that could lead to C31.5, the following recommendations are made:

- a. When annual evaluations are stated in terms of "expectations," then the categories should include at least the following: "exceeded expectations," "met expectations," "fallen below expectations but has met minimum-acceptable levels of productivity," and "fallen below minimum-acceptable levels of productivity," with the "minimum-acceptable levels of productivity" referring to the minimum standards called for in C31.5.
- b. The department's or unit's guidelines for "minimum-acceptable levels of productivity" should clearly explain how the department or unit will determine when a tenured faculty member's low performance in one or more instances fails overall to meet the minimum acceptable level, a determination which will begin the process of deciding on a finding of chronic low achievement. "Overall" will reflect the common and dictionary meaning of "comprehensive." This determination may be based on any of the following or a combination thereof, but should be stated clearly to avoid ex post facto judgments:
  1. A certain percentage of total responsibilities
  2. Number of areas of responsibility
  3. Weaknesses not balanced by strengths
  4. Predetermined agreements with the faculty member about the relative importance of different areas of responsibility.

**C32.1** Diversity of faculty responsibilities. The responsibilities of the university faculty include teaching, research and other creative endeavor, extension, directed service, and non-directed service (See C1-C6.) The emphasis given to these responsibilities varies among the colleges and departments of the university and may well vary from individual to individual within a department.

**C32.2** Kansas State University has several important missions, and a fundamental one is the education of students. Teaching evaluations are an important part of the overall faculty evaluation. They are used to aid faculty development and foster a commitment to teaching excellence at Kansas State University.

**C32.3** A variety of teaching environments and pedagogies are critical to institutional excellence. Departments will establish criteria and standards for all forms of teaching appropriate to their missions.

**C32.4** Original intellectual and artistic contributions fulfill a fundamental mission of the university and are crucial to institutional excellence. There is great diversity in the scholarly and creative achievement of the university faculty, and departments will establish criteria and standards for all forms of research and other creative achievement appropriate to their missions.

**C32.5** Since extension specialists teach in diverse settings across the state, they are expected to use a variety of teaching methods and strategies. The effectiveness of the extension program developed by a specialist is measured in terms of skills, attitudes, and knowledge gained by the targeted audiences. The criteria and standards for evaluating specialist performance are developed by the departments and units that have extension faculty members.

**C32.6** The directed service performed by librarians, clinicians, and others in similar positions is evaluated for reappointment, tenure, and promotion decisions. Criteria and standards for these responsibilities are developed by the departments and units that include the services.

**C32.7** Non-directed service (profession-based service, institution-based service, and public-based professional service) are evaluated insofar as they are part of a candidate's responsibilities. However, non-directed service cannot be the major grounds upon which tenure or promotion are based. Each department establishes criteria and standards for faculty activity in university governance and for work in professional associations and activities within and outside the university.

**C33** Multiple data sources for evaluations. Professional performance is exceptionally complex and cannot be evaluated adequately based on a single source of information. It is essential that faculty evaluation be based on multiple sources of data for each area evaluated in order to provide various perspectives and to avoid a concentration on narrow performance objectives.

**C34.1** Student ratings of classroom instruction. In most cases, documentation submitted by faculty members with teaching responsibilities would be considered incomplete and presumed inadequate, unless evidence of teaching effectiveness is included. Student ratings of classroom instruction are an important source of information in the evaluation of teaching effectiveness, provided that the format includes controls for student motivation and other possible bias. The form should contain directions that indicate how the information is used, and the forms should be administered and collected under controlled conditions that assure students' anonymity. Each academic unit should determine the student rating form to be used by its faculty that conforms to the guidelines specified above. Faculty members, including regular faculty, instructors, graduate teaching assistants, adjuncts, etc., shall be evaluated by students for each course and section they teach each year in order to provide themselves and their departments with information pertaining to teaching efficacy as well as provide material for the assessment of the relationships between SLO achievement and teaching. Exceptions are non-instructional courses (e.g.,

research hours at the 899 and 999 levels. Faculty members engaged in individualized instruction should be guided by the unit's criteria for evaluating such instruction (See [C32.2](#)).

**C34.2** Student ratings should never be the only source of information about classroom teaching.

Departments or units should be encouraged to develop a comprehensive, flexible approach to teaching evaluation, where several types of evidence can be collected, presented and evaluated as a portfolio. Peers, administrators, and other appropriate judges also can offer useful insights about a faculty member's teaching performance. Peer evaluation, defined as a critical review by colleagues knowledgeable of the entire range of teaching activities, can be an important component of the university's teaching evaluation program since peers are often in the best position to interpret and understand the evidence and place it in its proper academic context. Data other than student ratings that provide relevant evidence of teaching effectiveness are described in "Effective Faculty Evaluation: Annual Salary Adjustment, Tenure and Promotion." Examples include: course materials such as reading lists, syllabi, and examinations; special contributions to effective teaching for diverse student populations; preparation of innovative teaching materials or instructional techniques; special teaching activities outside the university; exit interviews, and graduate interviews and surveys to obtain information about teaching effectiveness.

**C34.3** A department's policies and procedures may specify that submission of student ratings will be mandatory and further specify the student rating system(s) to be employed for the purposes of making personnel recommendations concerning annual merit salary, reappointment, tenure, and promotion. In such instances, departmental procedures for administering student ratings forms or questionnaires should be standardized in order to minimize extraneous influences when results are compared within a department. Assistance with establishing such procedures is available from the Center for the Advancement of Teaching and Learning.

**C34.4** Regardless of the form or system used, the results or reports shall be returned only to the faculty member unless that individual has provided signed authorization to release the results to others. University policy requires that results of student ratings not be returned to faculty members until after the semester deadline for submitting grades. The only deviation from this procedure is the return of student ratings that are being used by a faculty member to develop mid-semester strategies for improvement; in these cases, the students must be informed that the results will be returned to the instructor before grades have been submitted.

**C34.5** Some student ratings systems are designed primarily to help faculty members improve their teaching. Faculty members are encouraged to decide individually what means, if any, they use to ascertain student views of their teaching in order to improve. Other student ratings systems are designed primarily to aid in the comparative evaluation of faculty members within a department for the purposes of making personnel recommendations concerning annual merit salary, reappointment, tenure, and promotion. It is essential that each department's policies and procedures indicate the student rating system(s) to be employed for the latter purposes. Faculty members are, of course, free to submit supplemental student views from instruments or other methods of their own choice.

**C35** Confidentiality of documents. Faculty and unclassified professionals should expect that their peer evaluations gathered from individuals at Kansas State University and at other institutions will not be available to them, except in association with grievance proceeding (see [Appendix G](#)). These materials, along with other documents reflecting the peer review process will be retained by the dean of the college, as will the candidates' files submitted for promotion or tenure consideration. Where actual copies of books or other creative or scholarly works are submitted, these materials may be returned to candidates upon completion of the review process. Upon request of the candidate following the completion of the review process for tenure or promotion, the dean will have a detailed discussion with the candidate and provide a written summary of the information leading to the decision.

**C36.1** Outside reviewers. Persons outside the university who are recognized for excellence in the candidate's discipline or profession may be asked to participate as reviewers in evaluations for tenure and promotion. Each reviewer should be provided a written description of the candidate's responsibilities during the period being evaluated and pertinent materials from the candidate's file. Because outside reviewers are most likely to be familiar with and able to judge a candidate's research and other creative endeavor and are likely to review only that area of performance, this aspect should be recognized and the review weighted accordingly.

**C36.2** The value of outside reviews depends on the appropriate choice of objective reviewers. Comments from a candidate's major professor or graduate school classmates are generally less persuasive and should, as a rule, be avoided.

**C37** Evaluation procedures of close relatives. It is university policy that no one shall participate in any way in the evaluation of a close relative (See [A40](#)). When such situations occur, those who would be responsible for the evaluation of a close relative must, in consultation with the administrator to whom they report, establish an evaluation procedure that will avoid this conflict of interest.

**C38** Tenure and promotion procedures for department heads/chairs. Each college is responsible for establishing departmental procedures to follow when department heads/chairs are candidates for tenure or promotion. In these cases, all eligible faculty members within the particular department have the primary responsibility for judging the qualifications of a candidate, and the criteria and standards used must be the same as those established by the department for other faculty members.

**C39** Graduate teaching assistants (GTAs) provide very valuable contributions to the missions of the university by participating in the instruction of undergraduate courses and in research and scholarly activities. GTAs' tasks may range from grading assignments to the instruction of one or more sections of courses under departmental supervision. When GTAs are involved in classroom teaching, their skills in communicating and interacting with students are important in the effective transfer of information. In order to assure high quality instruction, it is necessary that GTAs teaching for the first time at Kansas State University be assessed as to their instructional skills. Feedback from students in class is a valuable source for this information, and can be used for both skills improvement, and for management purposes by the department.

Each academic department shall have or put into place procedures for obtaining student feedback on instructional skills of GTAs teaching for the first time at Kansas State University. Departments may use their own assessment and analysis procedures, or adopt the procedures available through the Office of Planning and Analysis (OPA). These assessments should be conducted during lecture, recitation or laboratory sessions about three weeks after the beginning of the semester. As a minimum, this process should include (1) assessment of basic communication skills such as enunciation, clarity, and loudness; (2) assessment of interactive skills in responding to student questions; (3) assessment as to whether the lecture presentations are organized; (4) provision for feedback to the GTA and implementation of corrective measures when needed; (5) collection of normative data; and (6) provision for a follow-up assessment if serious concerns arise. The results of the assessment should be provided to the GTA, the professor-in-charge, department/unit head, and provost. The results should also be transmitted to the dean of the appropriate college when serious concerns are raised about the GTA's communication skills. When GTAs are unable to meet a basic standard of communication performance as specified in the departmental/OPA procedures, corrective action should be taken to remedy the situation.

#### **Faculty and Unclassified Professional Evaluations**

**C40** Bases for salary increases. Annual written evaluations conducted for the purpose of determining merit salary increases are based on the distribution of responsibilities assigned, the relative difficulty and importance of these responsibilities, and the level of success with which each was performed.

**C41.1** Development and revisions of the evaluation system. Each unit that includes faculty and/or unclassified professionals must have a system for annual evaluation of faculty and unclassified professionals on regular appointment half time or greater. The system of evaluation must include a statement of the department's/unit's evaluation criteria and standards. The evaluation will provide the basis for annual merit salary recommendations. See C30-C39: General Issues of Faculty Evaluation.

**C41.2** The responsibility for developing and revising an annual evaluation system for faculty and unclassified professionals rests primarily with the department's/unit's faculty and unclassified professionals in consultation with the department's/unit's administrative head/chair, dean, vice-president, provost or president, as appropriate, depending upon the department's/unit's reporting structure. At the time of initial consideration of and with later revision of the system, faculty and unclassified professionals are expected to provide opinions about the department's/unit's evaluation system. The system that is developed should be consistent with the university's goals as well as those of the unit. Each administrative unit will develop a procedure in accordance with the University Handbook.

**C41.3** A unit's evaluation system must be mutually approved by a majority vote of the faculty and/or unclassified professional in the unit, by the unit's administrative head, and by the dean or appropriate vice-president. The date of final approval must appear on the first page. Provision must be made for review of the system at least once every five years or more frequently if it is determined to be necessary by any of the three aforementioned parties. Revisions also must be approved by the process described above. Dates of revision (or the vote to continue without revision) must appear on the first page.

**C42** Evaluation period. The evaluation period will be the same for all individuals in the department/unit, with the possible exception of first year appointees and individuals who have been on leave for all or a part of the year. The unit's evaluation system will normally be based on performance during the 12-month evaluation period ending December 31. However, department/units may, on the basis of a majority vote choose any other 12-month period for evaluation (e.g., the fiscal year from July 1 to June 30). Depending on its goals and objectives, a department/units' evaluation system may include accomplishments that have occurred over a period of time longer than one year. It also may specify that a rolling average of the person's annual evaluation results for several preceding years be used to determine relative salary recommendations to minimize inequities due to variable legislative actions from year to year. Faculty and unclassified professionals in such units will receive merit salary adjustments up to 12 months after the conclusion of the evaluation period.

**C42.1** For first-year appointees, units have the option of a) recommending an increase based on the individual's evaluation (adjusted proportionally to encompass the entire year), b) recommending an average increase, or c) recommending the larger of the above, since the length of time for evaluating performance was limited. Such individuals are also eligible for salary adjustments on bases outside the annual evaluation (e.g., market, equity).

**C42.2** Faculty and unclassified professionals on leave. The unit may evaluate individuals who were on sabbatical leave or on leave without pay for a portion of the year on the basis of their performance during the period they were engaged in university assignments, and, if so, merit recommendations should be consistent with this evaluation (adjusted proportionally to encompass the entire year). If the leave was for the entire year, the individual's average evaluation for recent years, not to exceed six years, may serve as the basis of the merit increase recommendation. Such individuals are also eligible for salary adjustments on bases outside the annual evaluation.

### **Responsibilities of Faculty and Unclassified Professionals Who Are Evaluated**

**C45.1** Each faculty member and/or unclassified professional person will meet annually with the unit head to jointly establish goals and objectives in research and other creative endeavors, teaching, extension, and

directed and nondirected service for the upcoming evaluation period and to discuss their relative importance within the context of the unit's goals. These goals and objectives should reflect the relative percentages of time and effort the person plans to allocate to the appropriate areas in the upcoming period. It is expected that the previous year's statement will be considered during the annual evaluation and goal setting process. The relative emphasis placed on research and other creative endeavors, teaching, extension, and directed and nondirected service may vary over the course of the person's career.

**C45.2** Each faculty and/or unclassified professional will provide an annual written summary of accomplishments and activities in accordance with the guidelines provided by the unit's statement of criteria, standards, and procedures.

**C45.3** Each faculty and/or unclassified professional will review, and must have the opportunity to discuss, her or his written evaluation with the individual who prepared it. Before the unit head/chair submits it to the next administrative level, each faculty or unclassified professional person must sign a statement acknowledging the opportunity to review and to discuss the evaluation and his/her relative position in the planned assignment of merit salary increases within the unit. Because the amount of funds available for merit increases is generally not known at this time, specific percentage increases will not normally be discussed. Within seven working days after the review and discussion, faculty and/or unclassified professionals have the opportunity to submit written statements of unresolved differences regarding their evaluations by the unit head/chair to the unit head/chair and to the next administrative level.

### **Responsibilities of Evaluators**

**C46.1** The unit head/chair will prepare by January 31, a written evaluation for each full or part-time regularly appointed faculty or unclassified professional person. Quantitative ratings may be used to summarize evaluative judgments; however, the basis for these judgments must be explained by a narrative account. The evaluation shall provide succinct assessments of effectiveness in performing each responsibility and these statements must include summaries of the achievements and evidence that support these assessments. Performance reviews of faculty and other unclassified employees will include consideration of overall contribution or detriment to the department/unit, which includes citizenship and other personal conduct affecting the workplace. Faculty and other unclassified employees are expected to have cooperative interactions with colleagues, show civility and respect to others with whom they work and interact, show respect for the opinions of others in the exchange of ideas, and demonstrate a willingness to follow appropriate directives from supervisors. Those appointed to regular part-time positions must be evaluated; however, evaluations are not required for an individual on a term appointment, as defined in **C11**, even if that employee will be re-hired for another year.

**C46.2** The unit head/chair will recommend a salary adjustment for each person evaluated. The recommended percentage increases based on the annual evaluation for persons with higher levels of accomplishment shall exceed those for persons with lower levels of accomplishment. If merit salary categories are utilized, then the percentage recommended for persons in the first category will be higher than those for the second category, which in turn shall exceed those for level of accomplishment in the third category, etc. As a guide, average percentage increases in the highest category are expected to be about twice those in the lowest category; this ratio is expected to fluctuate both with the degree to which members of the unit differ in effectiveness and with the degree to which funds are available. These recommendations are made before the legislature has appropriated funds to support salary increases. Therefore, percentage increases should be projected and identified for each individual or each merit salary category, if used, based upon the governor's budget recommendations. Recommendations of dollar and percentage increases should not be communicated to individuals until the appropriation for salary increases is known.

**C46.3** The unit head/chair will ensure that each faculty or unclassified professional has had the opportunity to review and discuss his or her written evaluation. Within seven working days after the

review and discussion, faculty or unclassified professionals have the opportunity to submit written statements of unresolved differences regarding their evaluations which will only then be forwarded to the next administrative level.

**C46.4** The unit head/chair who prepared the evaluations must submit the following items to the appropriate dean (or, for support units, the appropriate administrator): (See schedule as published on the Provost's web site at <http://www.k-state.edu/academicpersonnel/depthead/master.html>).

1. A copy of the evaluation system used to prepare the evaluations.
2. A written evaluation for each regularly appointed faculty or unclassified professional person employed for at least three months during the calendar year.
3. A recommended merit salary adjustment for each faculty member or unclassified professional person that should be based directly on the person's evaluation.
4. Documentation (e.g., a statement signed by the individual evaluated) establishing that there was an opportunity to examine the written evaluation and to discuss with the evaluator the individual's resulting relative standing for the purpose of merit salary increase in the unit.
5. Any written statements submitted by faculty or unclassified professionals of unresolved differences regarding their evaluations.
6. Any recommendations for salary adjustments on bases outside of the annual evaluation, together with documentation which supports these recommendations.

**C47.1** Responsibilities of deans and comparable administrators. The dean will review evaluation materials and recommendations to ensure that:

1. the merit evaluations are consistent with the criteria and procedures approved for the unit,
2. there are no inequities in the recommendations based upon race, color, ethnic or national origin, sex, sexual orientation, gender identity, religion, age, ancestry, disability, military status, or veteran status,
3. merit salary recommendations are consistent with merit evaluations, and
4. recommendations for salary adjustments on bases outside of the annual evaluations are adequately and rationally documented.

**C47.2** A dean who does not agree with recommendations for merit salary increases made by a unit head/chair must attempt to reach consensus through consultation. If this fails, the dean's recommendation will be used. If any change has been made the dean must notify, in writing, the individual of the change and its rationale. Within seven working days after notification, such individuals have the opportunity to submit written statements of unresolved differences regarding their evaluations to the dean and to the provost. All statements of unresolved differences will be included in the documentation to be forwarded to the next administrative level. All recommendations are forwarded to the provost.

**C47.3** The dean should provide guidelines for making salary adjustments on bases outside of the annual evaluation and for justifying these requests through appropriate documentation. Approved requests are forwarded to the provost.

**C47.4** The dean must forward to the provost all salary recommendations and supporting documentation (written evaluation; written statements of unresolved differences; recommended actions; justifications for salary adjustments on bases outside the annual evaluation process). (See schedule as published by the provost each October).

**C48.1** Responsibilities of the provost. The provost will review evaluation materials and recommendations to insure that:

- a. the evaluation process was conducted in a manner consistent with the criteria and procedures approved by the unit,

- b. there are no inequities in the recommendations based upon race, color, ethnic or national origin, sex, sexual orientation, gender identity, religion, age, ancestry, disability, military status, or veteran status,
- c. merit salary recommendations are consistent with merit evaluations, and
- d. recommendations for salary adjustments on bases outside of the annual evaluations are adequately documented.

**C48.2** If the provost does not agree with recommendations for salary increases made by subordinate administrators, an attempt must be made to reach consensus through consultation. If this fails, the provost's recommendation will be used. The individual affected by the disagreement must be notified by the provost, in writing, of the change and its rationale.

**C48.3** The dean or appropriate vice president will issue to each continuing faculty and/or unclassified professional individual a contract which includes the individual's salary for the next fiscal year.

### **Annual Administrator Evaluations**

Includes performance evaluations of all heads/chairs/directors/associate and assistant deans and other administrative supervisors, classified and non-classified.

**C41.4 (a)** Performance evaluations of all heads/chairs/directors/associate and assistant deans and other administrative supervisors in academic and non-academic departments/units are completed annually for merit increases. Individuals under their supervision, as well as other faculty, unclassified professionals, classified staff, and clientele as specified in the department's/unit's evaluation system, will be asked to provide input identifying strengths, weaknesses and issues relevant to the administrator's annual performance. Care should be taken to protect the confidentiality and anonymity of the individuals submitting evaluation materials. An example of a method that may be used to protect the identity of those submitting annual evaluation materials would be electronic surveys, available through the Office of Planning and Analysis. Electronic mail is neither private nor anonymous.

**B123.1** The term of office of department/unit heads, associate deans, and assistant deans holding faculty rank, and have supervisory or budgetary authority (referred to as academic administrators for purposes of clarity) will be specifically determined at the time of appointment, but shall not exceed five years. Individuals in these positions serve at the pleasure of the dean who determines whether or not annual reappointment is appropriate. These academic administrators are eligible for reappointment to additional terms of up to five years. To be reappointed, the administrator should have the support of the majority of the faculty, unclassified professionals, and other staff under his/her supervision.

**B123.2** College level administrators employed in unclassified professional positions, excluding those specified in B123.1, will be evaluated annually by a supervising administrator (refer to C41.4).

**B123.3** The dean shall consider the reappointment of an academic administrator with supervisory or budgetary authority to an additional term only after the establishment of an advisory council and a review.

**B 123.4** During the final year of the academic administrator's term of appointment, the dean will send a letter to all individuals who work under the supervision of this academic administrator. This letter will initiate the formal process of the evaluation, explain the process, state that an opportunity to provide feedback will be forthcoming, and note that an advisory committee will be appointed. The dean will provide a summary of the academic administrator's job expectations to those providing input. The dean and the academic administrator will confer and reach agreement on the job summary. Potential respondents will include faculty with tenure and on tenure track, regular instructors, unclassified professionals, and all other staff within the group being served. If requested by the academic administrator, and agreed to by the dean, evaluation materials can be collected from other groups (e.g., students, constituent groups, etc.).

The dean of the college will request that the academic administrator write a self-assessment of his/her activities since initial appointment or last re-appointment.

**B123.6** To solicit and document the feedback of the group served, the Office of Planning and Analysis or another group empowered by the dean (administrative support staff), shall develop a secure survey instrument that protects the privacy and anonymity of respondents. The survey shall provide for narrative comments, ratings of specific performance areas listed on the self-evaluation, unit-specific performance areas, and a final question/statement addressing the possibility of reappointment. The administrative support staff will collect feedback for review. The method used to collect the feedback shall be private and anonymous. Electronic mail is neither private nor anonymous, and should not be used to solicit, provide or report feedback.

**B123.7** After the materials have been administered, the dean will request that the group served recommend a list of faculty, unclassified professionals, and other staff members to serve on the academic administrator's reappointment advisory committee. The dean will review the list, then select a representative committee. Students, alumni, and representatives of other university-related groups may also be named as members of the reappointment advisory committee.

**B123.8** The reappointment advisory committee shall keep the faculty, unclassified professionals, and other staff of the group being served regularly informed of the status of the review. The feedback results will be summarized by the administrative support staff. Written comments will be transcribed and compiled, protecting respondent confidentiality. The data will be compiled and presented so that the summary and other statistics will be standard outputs, along with an anonymous listing of the narrative comments. Unsubstantiated allegations will not be included in the results, but will be subject to inquiry by the dean at his/her discretion. A summary of respondents' input will be provided to the committee for its report to the dean.

**B123.9** The reappointment advisory committee will write a report for the dean, which summarizes strengths, weaknesses, and issues of substance that need to be addressed. The committee will make a recommendation for appointment or non-reappointment. A draft copy of this report will be provided to the academic administrator being reviewed. The academic administrator can, if he or she desires, respond to the committee in writing concerning the draft report. After due consideration of any responses, the committee will produce a final copy of the report and an advisory recommendation and will forward any responses from the academic administrator to the dean.

**B123.10** Confidentiality is expected for the committee members concerning all evaluation materials, committee deliberations, and final recommendations. Confidentiality for committee members is a matter of both ethics and policy.

**B123.11** To be reappointed, the administrator should have the support of the majority of the faculty, unclassified professionals, and other staff under his/her supervision who responded to the request for feedback, as well as the concurrence of the dean. The dean shall consider the advisory committee's recommendation before reappointing an administrator. If the dean makes a reappointment decision that is against the wishes of a majority of the faculty and staff, the dean will schedule a meeting with the group being served and the next higher-level administrator to give a rationale for the reappointment and an opportunity to respond to his/her decision.

**B123.12** Those departments who elect a chair follow the departmental internal evaluation procedures.

### **Reappointment: Faculty on Probationary Appointments**

**C50.1** Definition. Faculty members on probationary appointments are evaluated annually to determine whether or not they will be reappointed for another year. Faculty members must be explicitly informed by

the dean in writing of a decision not to renew their appointments in accordance with The Standards of Notice of Non-Reappointment. (See [C162.3](#) and [Appendix A](#).) These annual evaluations also serve as an opportunity to provide feedback to a faculty member on probationary appointment about his or her performance in comparison to the department's criteria and standards for tenure.

**C50.2** Reappointments that confer tenure are discussed in [C70-C116](#).

**C51** Departments' charge to establish criteria and standards. See [C30-38: General Issues of Faculty Evaluation](#). Copies of these criteria and standards are available to faculty members in their departmental or unit offices.

**C52** Candidate's responsibilities. The candidate compiles and submits documentation of his or her professional accomplishments in accordance with the criteria, standards, and guidelines established by the department.

**C53.1** Departmental procedures. It is the responsibility of the department chair/head to make the candidate's reappointment file available to all tenured faculty members in the department and other eligible faculty as determined by departmental policy. A cumulative record of written recommendations and accompanying explanations forwarded to the candidate from previous reappointment meetings, and any written comments from relevant individuals outside the department will also be made available to the eligible faculty (See [C53.2](#)). As part of this process, the department chair/head and the eligible faculty will meet at least fourteen calendar days after the review documents are made available, to discuss the candidate's eligibility for reappointment and progress toward tenure. Subsequent to this meeting there will be a ballot of the eligible faculty on reappointment of the candidate. Any member of the eligible faculty may, prior to the submission of any recommendation to the department chair/head, request the candidate meet with the eligible faculty to discuss, for purposes of clarification, the record of accomplishment submitted by the candidate.

**C53.2** For individuals with appointments in more than one unit or department, comments may be solicited from other eligible faculty members in the college or university relevant to the assessment of the candidate's performance. In the case of K-State Research and Extension faculty members or faculty members whose primary responsibilities are in directed service (e.g., librarians and clinicians), the comments of various clientele served may be solicited as part of the evaluation for reappointment.

**C53.3** The department chair/head will forward a written recommendation and accompanying explanations to the dean, along with the candidate's complete file, the majority recommendation and unedited written comments of each of the department's tenured faculty members. The department chair/head will also meet with the candidate to discuss the separate issue of the candidate's progress toward tenure. The department chair/head's written recommendation and accompanying explanations alone will be made available to the candidate and will become part of the candidate's reappointment file. (See [C35](#) regarding confidentiality of peer evaluations.)

**C54** College procedures. The dean, along with the recommendation of the department head and, on behalf of the college, forwards a written recommendation and accompanying explanation to the provost, and the majority recommendation and any written comments (unedited) of the faculty members in the department. The candidate's complete file will be available to the provost upon his/her request.

**C55** University procedures. Final authority in resolving conflicting opinions regarding reappointment is delegated to the provost.

**C56** Notification of candidates. Candidates are informed of the college's recommendation prior to the time that the file and recommendations are forwarded to the provost.

### **Reappointment: Regular Instructor Appointments**

**C60** Definition. Faculty members on regular instructor appointments are evaluated annually to determine whether or not they will be reappointed for another year. These faculty members must be explicitly informed in writing of a decision not to renew their appointments in accordance with The Standards of Notice of Non-Reappointment. (See [Appendix A](#).)

**C61** Departments' charge to establish criteria and standards. See [C30-38](#): General Issues of Faculty Evaluation. Copies of these criteria and standards are available to faculty members in their departmental or unit offices. It must be clear that an effective instructor on a regular appointment may not be denied reappointment in order to avoid granting benefits.

**C62** Candidate's responsibilities. The candidate compiles and submits documentation of his or her professional accomplishments in accordance with the criteria, standards, and guidelines established by the department.

**C63.1** Departmental procedures. It is the responsibility of the department head to make the candidate's file available to the department faculty members who are eligible to make recommendations. The department head is advised by the eligible faculty members of the department regarding the qualifications of the candidate for reappointment. Any member of the eligible faculty may, prior to the submission of any recommendations to the department head, request that a candidate meet with the eligible faculty to discuss, for purposes of clarification, the record of accomplishment submitted by that candidate.

**C63.2** Comments may be solicited from other faculty members and department heads in the college or university. In the case of extension faculty members or faculty members whose primary responsibilities are Directed Service (e.g., librarians and clinicians), the comments of various clientele served may be solicited as part of the evaluation for reappointment.

**C63.3** The department head forwards a written recommendation and accompanying explanation to the dean, along with the candidate's complete file, and the majority recommendation and written comments (unedited) of the departmental faculty members.

**C64** College procedures. The dean, on behalf of the college, forwards a written recommendation and accompanying explanation to the provost, along with the candidate's complete file, the recommendations of the department head, and the majority recommendation and any written comments (unedited) of the faculty members in the department.

**C65** University procedures. Final authority in resolving conflicting opinions regarding reappointment is delegated to the provost.

**C66** Notification of candidates. Candidates are informed of the college's recommendation prior to the time that the file and recommendations are forwarded to the provost.

### **Tenure**

**C70** Definition. Tenure is a continuous appointment that can be terminated only in unusual circumstances and then only after due process has been accorded the individual in question. See [Appendix C](#) for a discussion of the AAUP-AAC 1940 Statement of Academic Freedom and Tenure.

### **Regents' Tenure Policy**

**C71** The Board of Regents adopted on April 18, 1947, the 1940 AAUP principles governing tenure of faculty members. (At Kansas State University, the term teacher as used in the following text is interpreted to refer to any member of the faculty.):

**C72** Section A: After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their services should be terminated only for adequate cause, except in the cases of retirement for age, program or unit discontinuance, or under extraordinary circumstances because of financial exigencies. (Kansas does not have a mandatory retirement age for state employees. State law prescribes that all appointments not under the State Civil Service shall expire with the end of the fiscal year on June 30. However, unless previous notice has been given, all appointments of full-time faculty members are automatically renewed.)

**C73** Section B: In the interpretation of the principles contained in Section A of this resolution, the following is approved by the Regents:

The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.

Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the provision that when, after a term of probationary service of more than three years in one or more institutions, a person is to be appointed as a faculty member at Kansas State University, it may be agreed in writing that his/her new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years; except, when the interest of both parties may best be served by mutual agreement at the time of the initial employment, Kansas State University may agree to allow for more than four years of probationary service provided the probationary period at Kansas State University does not exceed seven years. Notices should be given at least one year prior to the expiration of the probationary period, if the teacher is not to be continued in service after the expiration of that period. (See AAUP's Standards of Notice of Non-Reappointment, [Appendix A](#).)

**C74** During the probationary period a teacher has the academic freedom that all other members of the faculty have.

**C75** Termination for cause of a continuous appointment or dismissal for cause previous to the expiration of a term appointment shall, upon request of the faculty member, be considered by the Grievance Chair and/or Panel, which will make recommendations to the administration. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges against him/her and should have the opportunity to be heard in his/her own defense by all bodies that pass judgment upon his/her case. He/she should be permitted to have an advisor of his/her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence the testimony should include that of teachers and other scholars, either from his/her own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.

**C76** Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.

**C77** Within this general policy Kansas State University may make such operating regulations as it deems necessary, subject to the approval of the Board of Regents.

**C78** Amendments to the above policy have been made as follows: Tenure may be acquired only by the members of the Kansas State University faculty with the rank of assistant professor or higher. (This amendment applies only to those appointed on or after July 1, 1960.)

Lists of individuals approved by the chief executive officer for tenure at a Regents' institution shall be submitted by the chief executive officer to the Board of Regents for its information at the April meeting. Decisions of the president shall be final and are not subject to further administrative review by any officer or committee of the institution or by the Board of Regents. Any tenure recommendation approved by the Board of Regents shall be limited to tenure for the recommended individual at the institution consistent with the tenure policies of that institution.

**K-State policy additions:**

The following additional details concerning tenure have been adopted by Kansas State University.

**C80.1** The duration of the probationary period relative to tenure varies with rank and experience. In its approach to the probationary period and to the award of continuous tenure, the university seeks to follow the spirit of the AAUP Advisory Letter No.13 (AAUP Bulletin, Spring 1964) as it explained its understanding of the probationary period:

**C80.2** "The beginning faculty member is serving a kind of internship . . . and . . . he/she may not always be the best judge of his/her own effectiveness. An occasional word of caution, advice, or encouragement from experienced colleagues can therefore be very salutary. If the time comes that the department, division, and administration conclude that his/her connection with the institution should be severed, we would say that responsible officials of the institution should feel completely free to explain to him/her the basis of their decision. We could not agree, however, that if reasons are given for the nonreappointment the institution assumes a burden of demonstrating the validity of its reasons. To be sure, the faculty member may question whatever reasons are given him/her. But unlike the tenured teacher, he/she does not as probationer have what can be considered a claim to his/her position, and it would thus seem unreasonable to compel the institution to account for this exercise of its prerogative, much less carry the burden of justifying its decision.

**C80.3** "These remarks are made, I am sure you understand, on the assumption that the faculty member has had an appropriate evaluation by his/her colleagues and that he/she is not being given notice for reasons which violate his/her academic freedom. . . .I think I must say further that our purpose is to permit the institution, within the limits of academic freedom, the utmost latitude in determining who will be retained for tenure appointments. Because the granting of tenure is tantamount to a lifetime commitment, we feel that the institution should be left without a reasonable doubt as to the faculty member's qualifications for tenure before it reaches a favorable decision."

**C81** Ranks for acquiring tenure. Tenure may be granted to those on full-time probationary appointments at the rank of associate professor or above. Tenure may be granted simultaneously with promotion to the rank of associate professor. Instructors may not be accorded tenure. Assistant professors may not be accorded tenure except in special circumstances approved by the provost. Years of appointment as a probationary instructor (see [C12](#)) may be credited as part of a probationary period for gaining tenure if stipulated in the individual's contract. Service in a term appointment at the rank of assistant professor or above may count as part of a probationary period for gaining tenure.

**C82.1** The Probationary period. Prior to being considered for tenure at Kansas State University, a faculty member is annually appointed during an extended probationary period to assess the candidate's ability to contribute to the expertise expected of the University's faculty as defined by his/her unit's criteria, standards, and guidelines (See [C31.1](#) - [C31.3](#)).

**C82.2** Assistant professor. Tenure is not granted below the rank of associate professor (effective July, 1994) except in special circumstances approved by the provost. For persons appointed at the rank of assistant professor, the maximum probationary period for gaining tenure and promotion to associate professor consists of six (6) regular annual appointments at Kansas State University at a probationary

rank. In these cases, decisions of tenure must be made before or during the sixth year of probationary service. Candidates not approved for tenure during the sixth year of service will be notified by the appropriate dean that the seventh year of service will constitute the terminal year of appointment.

**C82.3** Associate professor and professor. For persons appointed at the rank of associate professor or professor, the maximum probationary period for gaining tenure consists of five (5) regular annual appointments at Kansas State University at probationary ranks. Tenure decisions must be made before or during the fifth year of probationary service. Candidates not approved for tenure during the fifth year of service will be notified by the appropriate dean that the sixth year of service will constitute the terminal year of appointment.

**C82.4** Faculty members on probationary appointments who have met the criteria and standards for tenure prior to the above maximum times may be granted early tenure. Because candidates may be considered for tenure at any time during their probationary period, no time credit shall be granted for service prior to employment at Kansas State University.

**C83.1** Faculty members on probationary, tenure-track positions may request a one year delay of the tenure clock. Such a delay shall be granted to a faculty member who is responsible for the care of a child five years of age or younger, or who adopts a child of any age. Requests for a delay in the tenure clock for the above noted reasons shall be made to the department or unit head who will forward the request to the dean. The dean will forward the request to the provost who will grant the one year delay.

**C83.2** Faculty members on probationary, tenure-track positions may request a one-year delay of the tenure clock (1) for a serious health condition: that is an illness, injury, impairment, or physical or mental condition that involves inpatient care in a hospital, hospice, or residential treatment facility, or continuing treatment by a health care provider or (2) for the care of a household member, a parent, or a sibling with a serious health condition: that is an illness, injury, impairment, or physical or mental condition that involves inpatient care in a hospital, hospice, or residential treatment facility, or continuing treatment by a health care provider. Common illness, minor injuries, or minor surgeries that are not life threatening are excluded. Requests for a delay in the tenure clock for the above noted reasons shall be made to the department or unit head who will forward the request along with her/his recommendation to the dean. The dean will forward the request along with his/her recommendation and the recommendation of the department or unit head to the provost, with whom the final decision rests.

**C83.3** Faculty members on probationary, tenure-track positions may request a one-year delay of the tenure clock when for programmatic reasons there is a substantial change in the probationary faculty member's assigned area(s) of responsibilities. Requests for a delay in the tenure clock shall be made to the department/unit head/chair who will present the request to the tenured faculty in the department/unit for consideration. The head/chair will forward the request along with her/his recommendation and the vote of the tenured faculty plus unedited faculty comments to the dean. The dean will forward the request along with his/her recommendation, the recommendation of the department/unit head/chair, and the faculty vote with unedited comments to the provost, with whom the final decision rests.

**C83.4** If a delay in the tenure clock is granted prior to the mid-probationary review, the review will take place one year later than would have occurred without such a delay. An individual granted a delay of the tenure clock shall not be subject to additional scholarship, teaching, or service requirements above and beyond those normally required.

**C83.5** A request for delay of the tenure clock must be made within a reasonable amount of time from the date of the event which would show cause for a delay of the tenure clock.

**C83.6** Delay of the tenure clock during the probationary period is limited to two one-year delays.

**C84** Years credited to probationary period. For the purposes of counting regular annual appointments as part of the probationary period, a year is credited if the individual is on a full-time (ten-tenths) appointment for at least eight months of an academic year or is on an appointment of nine-tenths or more for the entire academic year, or receives no less than eight-ninths of his or her salary for the academic year. Individuals appointed at lesser levels do not count that year a part of the probationary period. The summer session is not counted for those on academic year (nine-month) appointments.

### **General Guidelines for Tenure**

**C90** Purpose of tenure. The university uses a selective process in awarding tenure to secure a faculty of the highest possible caliber. To be tenured, faculty members must be experts in their chosen fields, and they must have full academic freedom in pursuit of ideas or inquiries without fear of censure or retribution.

**C91** Evaluation and feedback. The university uses an extended probationary period to provide opportunity to assess a candidate's ability to contribute to the expertise and the versatility expected of the faculty at Kansas State University. Evaluation is conducted annually and feedback provided in a timely manner to each faculty member on a probationary appointment. See [C50.1](#).

**C92.1** Mid-probationary review. A formal review of a probationary faculty member is conducted midway through the probationary period.

Unless otherwise stated in the candidate's contract, the mid-probationary review shall take place during the third year of appointment. This review provides the faculty member with substantive feedback from faculty colleagues and administrators regarding his or her accomplishments relative to departmental tenure criteria. A positive mid-probationary review does not insure that tenure will be granted in the future nor does a negative review mean that tenure will be denied.

**C92.2** Procedures for the mid-probationary review are similar to procedures for the tenure review and are established by the departmental faculty in consultation with the department chair/head and the dean. The department chair/head is responsible for making the candidate's mid-probationary review file available to the tenured faculty members in the department at least fourteen calendar days prior to a meeting to discuss the candidate's progress. A cumulative record of written recommendations and accompanying explanations forwarded to the candidate from previous reappointment meetings, and any comments from individuals outside the department relevant to the assessment of the candidate's performance will also be made available to the eligible tenured faculty. The department head may discuss the review and assessment of the tenured faculty members in the department with the dean, and shall provide a letter of assessment to the candidate, including a summary of faculty comments and suggestions. (See [C35](#) regarding confidentiality of peer evaluations). This letter of assessment and the faculty report will become a part of the candidate's reappointment and mid-probationary review file. The department chair/head will discuss the review and assessment with the candidate. After receiving the assessment, the candidate has the right to submit a written response for the file.

**C92.3** Comments also may be solicited from students, and other relevant faculty members in the college or university, and from outside reviewers. In the case of K-State Research and Extension faculty members or faculty members whose primary responsibility is directed service (e.g., librarians and clinicians), the comments of various clientele served may be solicited as part of the evaluation for mid-probationary review.

**C92.4** College procedures. The candidate's mid-probationary review file as well as other materials specified in [C92.2](#), and a copy of the departmental criteria and standards will be forwarded to the college advisory committee. [C153.1](#) is incorporated herein by reference as the evaluation procedure to be

followed by the college advisory committee. The dean will provide a letter of assessment to the candidate that includes a summary of recommendations from the college advisory committee.

**C93** Final tenure recommendations. The provost is responsible for making final tenure recommendations to the president.

### **Standards for Tenure**

**C100.1** General principles. There can be no simple list of accomplishments that, when achieved, guarantee that a faculty member will obtain tenure. Instead, tenure is granted. This action, taken by the Kansas Board of Regents, is based on the assessment of the tenured faculty of the university that a candidate has made outstanding contributions in appropriate academic endeavors. By granting tenure only to such individuals, the continued excellence of the university is ensured.

**C100.2** A reappointment conferring tenure is made after favorable consideration of the qualifications and accomplishments of the candidate relative to departmental tenure criteria.

**C100.3** Tenure is not a right accorded to every faculty member. Nor is it granted simply as a result of a candidate's routinely meeting assigned duties with a record free of notable deficiencies.

**C100.4** The decision to grant or not grant tenure must not be based on the number or percentage of faculty members who already have been granted tenure.

**C102** Departments' charge to establish criteria and standards. See [C30-38: General Issues of Faculty Evaluation](#). Copies of the criteria and standards for tenure are available to faculty members in their departmental or unit offices.

### **Procedures for Tenure Evaluation**

**C110** Timing. Recommendations for tenure are considered annually. Faculty members in the final year of probation will be automatically reviewed for tenure unless they resign. A faculty member may request an early tenure review. Ordinarily, this is done after consultation with the department chair/head and the tenured faculty members in the department.

**C111** Candidate's responsibilities. The candidate compiles and submits a file that documents her or his professional accomplishments in accordance with the criteria, standards, and guidelines established by the department.

**C112.1** Departmental procedures. The department chair/head is advised by the eligible tenured faculty members of the department regarding the qualifications of the candidate for tenure. The department chair/head is responsible for making the candidate's file and departmental tenure criteria documents available to eligible tenured faculty members in the department at least fourteen calendar days prior to the scheduled meeting date to discuss the candidate's petition. A cumulative record of recommendations from the reappointment and mid-probationary review meetings, and any outside reviews that have been solicited by the department chair/head will also be made available to the eligible tenured faculty. (See also Secs. C35, C36.1, C36.2, C37 and C38).

**C112.2** When appropriate, comments are solicited from students and from other faculty members and department chairs/heads in the college or university. Outside reviewers (see C36.1) recognized as leaders in the candidate's discipline or profession may be asked to advise. When outside reviewers are used, an equal number are usually selected by the candidate and the department chair/head.

**C112.3** Eligible tenured faculty members will individually review the candidate's file, considering the department's criteria, standards, and guidelines for tenure, and will then meet to discuss the candidate's petition. All recommendations and written comments of eligible departmental faculty are forwarded to the department chair/head.

**C112.4** Any member of the eligible faculty may, prior to the submission of any recommendations to the department chair/head, request that the candidate meet with the eligible tenured faculty to discuss, for purposes of clarification, the record of accomplishment submitted by the candidate.

**C112.5** The department chair/head will forward a written recommendation to the dean, accompanied by an explanation of her or his judgment. All recommendations and unedited written comments of the department's eligible tenured faculty members and the candidate's complete file are also forwarded to the dean. A copy of the department chair's/head's written recommendation alone is forwarded to the candidate.

### **C113** Procedures for tenure evaluation

**C113.1** College Procedures. Each college will have an advisory committee to advise the dean on candidates proposed for tenure and/or promotion. The faculty, dean, and provost must approve the composition, procedures for selection of college advisory committee members, and the procedures for the operation of the college advisory committee (See C113.2). The composition, procedures for selection of the college advisory committee, and the procedures for operation of the college advisory committee may be reviewed any year at the request of the faculty, dean or the provost, and must be reviewed at least once every five years.

**C113.2** A copy of the candidate's file and the departmental tenure criteria documents will be forwarded to the college advisory committee. The committee's specific charge is to assure that all applicable procedures have been followed and that the department/unit in arriving at a recommendation did so by fairly applying established criteria, standards, and guidelines for tenure (See C30.1-C31.4, C32.1-C38). The committee, in advising the dean, will base its recommendation exclusively on a comparison of the candidate's credentials with the criteria, standards, and guidelines of the candidate's department. The committee will report its findings in writing to the dean. The committee's report must specifically contain a statement as to whether or not all applicable procedures were followed. The report must also explain the rationale behind the committee's recommendation by providing a detailed evaluation of the candidate's credentials with regard to how they meet or fail to meet the specific criteria, standards, and/or guidelines of the candidate's department/unit. A minority committee report is required when the committee's recommendation is not unanimous.

**C113.3** The dean, after consulting with the department chair/head and the college advisory committee and after discussing his or her recommendations with the chair/head and the committee, will submit his or her written recommendation to the Deans Council accompanied by the recommendations and unedited written comments of the department chair/head, the departmental faculty, and the college advisory committee, and the departmental tenure criteria documents, no sooner than seven calendar days following notification to the candidate (See C113.4). The dean's recommendation and the recommendation of the college advisory committee will be copied to the department chair/head and the candidate.

**C113.4** Notification to candidates. Candidates are informed of the college's recommendations (See C113.3) prior to the time that the file and recommendations are forwarded to the Deans Council. Candidates may withdraw from further consideration for tenure by submitting to the dean a written request for withdrawal. This must be done within seven calendar days following notification of the college's recommendation. Withdrawal by a candidate who is in the final year of probationary period may be done only by formal resignation effective at the end of the next academic year.

**C114.1** University tenure evaluation procedures. The Deans Council meeting will be chaired by the senior dean (longest serving), and the provost will not be a party to the discussions. The dean of the candidate's college will abstain from voting when the council votes on the candidate, and will notify the candidate and the candidate's department chair/head of the council's vote. If the finding of the Deans Council differs from those of the department and/or the college dean, written justification must be provided as to how the candidate's credentials meet or fail to meet the departmental criteria, standards, and/or guidelines, to the candidate, dean of the candidate's college, and the department chair/head.

**C114.2** If the finding of the Deans Council is to not grant tenure, the candidate may appeal this decision to the provost within a period of fourteen calendar days of receiving notification. If the provost concurs with the finding of the Deans Council to not grant tenure, the candidate then has the option to file a grievance with the Grievance Chair.

**C114.3** If the finding of the Deans Council is to grant tenure, the case is then reviewed by the provost. If the provost does not concur with the finding of the Deans Council, then the provost will offer to arrange a meeting with the candidate, the senior dean, and a tenured faculty moderator mutually acceptable to the provost and the candidate, within a period of fourteen calendar days of notification of provost's decision. If no agreement is reached, then the provost will provide the candidate, the department chair/head, the dean of the candidate's college, and the deans council, written reasons for the decision. At that point, the candidate has the option to file a grievance with the Grievance Chair.

**C114.4** The provost will send his or her recommendation of the cases that are to be granted tenure to the president. Decisions to deny tenure are not forwarded to the president. When the provost's recommendation disagrees with that of the Deans Council, the provost will provide a written explanation of her or his judgment to the Dean's Council, the dean, the department chair/head, and the candidate.

**C115** The president has final authority for granting tenure. Candidates are notified of the university's action when the provost's recommendation to grant tenure are forwarded to the president.

**C116.1** Interdisciplinary program faculty. Faculty members with appointments in interdisciplinary programs will be evaluated for tenure in their disciplinary departments in which the candidate holds majority appointment. The department chair/head also must solicit input from the interdisciplinary program director as well as the eligible tenured faculty members in the interdisciplinary program. Departmental, college and university procedures as outlined in C110 to C115 shall be followed. A copy of the department chair's/head's recommendation shall be provided to the interdisciplinary program director.

**C116.2** In the rare case when it is not possible to designate an appropriate disciplinary department at the time of appointment, recommendations for tenure may come from the formally designated eligible tenured faculty members within the interdisciplinary program, provided that prior to the appointment the eligible tenured faculty of the interdisciplinary program agree to provide this recommendation, and that the appointment was approved by the dean(s) of the appropriate college(s) and provost. The terms of the faculty appointment must be presented in writing and agreed to by the appointee. Copies of the conditions for the appointment will be filed with the interdisciplinary program director, respective dean(s) and provost.

### **Promotion in Rank**

**C120** Definition. Faculty members may expect to advance through the academic ranks on the basis of demonstrated individual merit in relation to their association with the university's mission and with their own disciplines. Each higher rank demands a higher level of accomplishment.

**C120.1** Promotion is based upon an individual's achievements related to the specific criteria, standards, and guidelines developed by departmental faculty members in consultation with the department head and the appropriate dean.

**C120.2** Promotion to assistant professor reflects an acceptable level of achievement and potential for excellence. Promotion to associate professor rests on substantial professional contributions that reflect excellence in teaching, research and other creative endeavor, directed service, or extension. Promotion to professor is based on attainment of excellence in the assigned responsibilities of the faculty member and recognition of excellence by all appropriate constituencies.

### **General Guidelines for Promotion**

**C130** Terminal degree requirements. A doctorate or other appropriate terminal degree is a prerequisite for holding the rank of assistant professor, associate professor, or professor. The provost maintains a list of appropriate terminal degrees as recommended by the deans. There may be special cases in which accomplishments or experience other than the terminal degree will allow promotion to one of the professorial ranks. Such situations will be considered on an individual basis.

**C131** Time in rank. While there is no explicit time in rank required for promotion, the median time for promotion at Kansas State University has been about six years. Promotion may be granted earlier when the faculty member's cumulative performance at rank clearly meets the standards for promotion.

**C132** Promotion-related salary increases. Promotion in academic rank is recognition by the university community of substantial achievement which deserves reward. Promotion related increases in salary will be awarded at the university level and are in addition to merit salary increase based on yearly evaluations. Salary increases for promotion to associate professor and full professor will be a minimum of 8% and 11%, respectively, of the average salary of all university faculty members for the year preceding promotion. Funds for these increases are to be from the unclassified salary adjustment pool for faculty members and academic administrators. In years when no salary adjustment pool exists, the funds will come from the same segment of the base budget and will be repaid from the next readjustment pool. (FSM 4- 9-91; POD 6-6-91)

### **Standards for Promotion**

**C140** General principles. Successful candidates for promotion will demonstrate superior professional accomplishment and excellence in the performance of their assigned duties. The assessment of a faculty member's performance upon which a recommendation regarding promotion will be based must reflect the professional expectations conveyed during annual evaluations.

**C141** Departments' charge to establish criteria and standards. See [C30-38: General issues of faculty evaluation](#). Copies of the standards for promotion are available to faculty members in their departmental or unit offices.

### **Procedures for Promotion Evaluation**

**C150** Timing. Recommendations concerning promotion are considered annually. Department chairs/heads are expected to notify faculty members regarding their progress toward or readiness for promotion review.

**C151** Candidate s responsibilities. A faculty member, after consultation with the department chair/head or appropriate departmental faculty, may request a review for promotion. The candidate compiles and submits a file that documents his or her professional accomplishments in accordance with the criteria, standards, and guidelines established by the department (see C31.1).

**C152.1** Departmental procedures. Faculty members of the department who hold a rank equal to or higher than the rank being sought by the candidate are eligible to advise the department chair/head regarding the qualifications of the candidate for promotion. Department chairs/heads are responsible for making the candidate's promotion file and the departmental promotion criteria documents available to the eligible faculty members at least fourteen calendar days prior to the scheduled meeting date to discuss the candidate's petition. The promotion file shall in the main provide a compilation of the candidate's professional accomplishments during tenure in the current rank, and comments from other individuals relevant to the assessment of the candidate's performance (See C152.2).

**C152.2** When appropriate, comments are solicited from appropriate students and alumni, and from other faculty members and department chairs/heads in the college or University. Outside reviewers (see C36.1) recognized as scholars or leaders in the candidate's discipline or profession may be asked to advise. When outside reviewers are used, an equal number are usually selected by the candidate and the department chair/head.

**C152.3** Eligible faculty members individually review the candidate's file, considering the department's criteria, standards, and guidelines for promotion, and then meet to discuss the candidate's petition. All recommendations and written comments of eligible departmental faculty are forwarded to the department chair/head.

**C152.4** Any member of the eligible faculty may, prior to the submission of any recommendations to the department chair/head, request that a candidate meet with the eligible tenured faculty to discuss, for purposes of clarification, the record of accomplishment submitted by that candidate.

**C152.5** The department chair/head will forward a written recommendation which includes an explanation of her or his judgment to the dean. All recommendations and unedited written comments of the department's eligible faculty members and the candidate's complete file are also forwarded to the dean. A copy of the department chair's/head's written recommendation alone is forwarded to the candidate.

**C153.1** College Procedures. Each college will have an advisory committee to advise the dean on candidates proposed for promotion and/or tenure. The college faculty, dean, and provost must approve the composition, procedures for selection of college advisory committee members, and the procedures for the operation of the college advisory committee (See C153.2). The composition, procedures for selection of the college advisory committee, and the procedures for operation of the college advisory committee may be reviewed any year at the request of the faculty, dean or the provost, and must be reviewed at least once every five years.

**C153.2** A copy of the candidate's file and the departmental promotion criteria documents will be forwarded to the college advisory committee. The committee's specific charge is to assure that all applicable procedures have been followed and that the department/unit in arriving at a recommendation did so by fairly applying established criteria, standards, and guidelines that are specific for promotion to the appropriate rank (See C30.1-31.4, C32.1- C38, C141). The committee, in advising the dean, will base its recommendation exclusively on a comparison of the candidate's credentials with the criteria, standards, and guidelines of the candidate's department. The committee will report its findings in writing to the Dean. The committee's report must specifically contain a statement as to whether or not all applicable procedures were followed. The report must also explain the rationale behind the committee's recommendation by providing a detailed evaluation of the candidate's credentials with regard to how they meet or fail to meet the specific criteria, standards, and/or guidelines for promotion to the petitioned rank in the candidate's department/unit. A minority committee report is required when the committee's recommendation is not unanimous.

**C153.3** The dean, after consultation and discussion with the department chair/head and college advisory committee, will submit his or her recommendation to the Deans Council (subject to C153.4) accompanied by the recommendations and unedited written comments of the department chair/head, the departmental faculty, and the college advisory committee, and the departmental promotion criteria documents, seven calendar days after notification to the candidate (See 153.4). The recommendation of the dean and the recommendation of the college advisory committee will be copied to the department head and the candidate.

**C153.4** Notification to candidates. Candidates are informed of the college's recommendations prior to the time the file and recommendations are forwarded to the Deans Council. Candidates may withdraw from further consideration for promotion by submitting to the dean a written request for withdrawal. This must be done within seven calendar days following notification of the college's recommendation, and in this case the candidate's petition for promotion is not forwarded to the Deans Council.

**C154.1** University promotion evaluation procedures. The Deans Council meeting will be chaired by the senior dean (longest serving), and the provost will not be a party to the discussions. The dean of the candidate's college will abstain from voting when the Council votes on the candidate, and will notify the candidate and the candidate's department chair/head of the Council's vote. If the finding of the Deans Council differs from those of the department and/or college dean, written justification must be provided to the candidate, dean of the candidate's college, and the department chair/head.

**C154.2** If the finding of the Deans Council is to not grant promotion, the candidate may appeal this decision to the provost within a period of fourteen calendar days of receiving written notification. If the provost concurs with the finding of the Deans Council to not grant promotion, the candidate then has the option to file a grievance with the Grievance Chair.

**C154.3** If the finding of the Deans Council is to grant promotion, the case is then reviewed by the provost. If the provost does not concur with the finding of the Deans Council, then the provost will offer to hold a meeting with the candidate, the senior dean (longest serving), and a tenured faculty moderator mutually acceptable to the provost and the candidate, within a period of fourteen calendar days of notification of provost's decision. If no agreement is reached, then the provost will provide the candidate, the department chair/head, and the dean of the candidate's college, and the Deans Council, written reasons for the decision. At that point, the candidate has the option to file a grievance with the Grievance Chair.

**C154.4** The provost will send his or her recommendation of the cases that are to be granted promotion to the president. Decisions to deny promotion are not forwarded to the president. When the provost's recommendation disagrees with that of the Deans Council, the provost will provide a written explanation of her or his judgment to the Deans Council, the dean, the department chair/head, and the candidate.

**C155** The president has the final authority for granting promotion. Candidates are to be notified when the provost's recommendation to grant promotions is forwarded to the president.

**C156.1** Interdisciplinary program faculty. A faculty member with appointment in an interdisciplinary program will be evaluated for promotion by the disciplinary department in which the candidate is tenured, or in the department in which the candidate holds majority appointment if not tenured. The department chair/head also must solicit input from the interdisciplinary program director as well as the eligible tenured faculty members in the interdisciplinary program. Departmental, college, and university procedures as outlined in C152, C153, and C154 shall be followed. A copy of the department chair's/head's recommendation shall be provided to the interdisciplinary program director.

**C156.2** In the rare case when it is not possible to designate an appropriate disciplinary department at the time of appointment, recommendations for promotion may come from the formally designated eligible

tenured faculty members within the interdisciplinary program, provided that prior to the appointment the eligible tenured faculty of the interdisciplinary program agree to provide this recommendation, and that the appointment was approved by the dean(s) of the appropriate college(s) and provost. The terms of the faculty appointment must be presented in writing and agreed to by the appointee. Copies of the conditions for the appointment shall be filed with the interdisciplinary program director, respective dean(s) and provost.

#### **Five-Year Administrator Evaluation Procedures**

**C41.4 (b)** At least once every five years, the responsible dean, vice provost, vice president, provost or president depending upon the department's/unit's reporting structure, will issue a request for input from individuals regarding the performance of their department/unit administrator(s). To solicit and document the feedback of the group served, using the Office of Planning and Analysis or another group such as AXIO or the administrative support staff to develop a survey instrument that protects the privacy, confidentiality and anonymity of respondents. The survey shall provide for narrative comments, ratings of specific performance areas listed on the self-evaluation, unit-specific performance areas, and a final question/statement addressing the possibility of reappointment. Care should be taken to protect the confidentiality and anonymity of the individuals submitting evaluation materials. Examples of methods that may be used to protect those submitting annual evaluation materials include AXIO surveys or surveys being submitted to a third party in Human Relations or the Planning and Evaluation Office. Electronic mail is neither private nor anonymous. Electronic mail is neither private nor anonymous, and should not be used to solicit, provide or report feedback. These guidelines follow the dean's review process outlined in [B123](#) now moved to Section C. Please use the dean's process as a guide.

**C162.3** For faculty members whose services are to be terminated before tenure is attained, written notice shall be given to them by the dean of their college, according to the following schedule: A faculty member on a regular appointment who has been employed less than one year shall be notified by March 1 if services are to be terminated at the end of that academic year. The intent here is to provide at least a six-month evaluation period for the faculty member newly appointed at the beginning of the academic year. Accordingly, persons who are appointed at mid-year (that is, January or February) must also be notified by March 1 of the following calendar year if they are not to be reappointed for the next academic year. A faculty member on a regular appointment employed for more than one year shall be given the same written notice by December 15 if services are to be terminated at the end of that academic year. Any time after December 15, a faculty member on a regular appointment employed one or more years shall be given the same written notice at least 12 months before the expiration of an appointment. If the faculty member is not to be continued in service beyond the expiration of the probationary period, notice shall be given at least one year prior to the expiration of the probationary period. Appointments designated as term teaching faculty do not require notification of non-reappointment.

For faculty members holding tenure, procedures for any termination of appointment, including appeals, will be as outlined in Appendix M.

**C162.4** A formal plan to be used in the event financial exigency necessitates the dismissal of tenured faculty members is contained in Appendix B.

**C162.5** A formal plan to be used in the event program discontinuance necessitates the dismissal of tenured faculty members is contained in Appendix K.

#### **Continued Employment for Administrative Appointees**

**C170.1** For the purpose of this policy, two types of positions are identified and defined. A regular position is defined as one in which the need and the funds for the position are expected to continue for the foreseeable future. A term position is defined as one in which the need or funding for the position is finite.

**C170.2** Persons appointed after June 1, 1982, may be appointed to regular positions or to term positions.

**C170.3** Persons holding regular or term unclassified appointments may be terminated without cause, provided that notice is given according to the schedule below.

A. Except for persons covered under B, below, during the first twelve (12) months of unclassified service, the individual must be given 90 days' notice of termination without cause. After more than twelve (12) months of service, the individual must be given 180 days' notice of termination without cause.

All appointments to term positions will be temporary appointments ending at the end of the term, or earlier if notice is given according to the preceding paragraph. Should need or money for the position be extended, a new term may be established with the approval of the provost. In such instances, the incumbent may be appointed for the new term or a portion thereof without the position being declared open for initiation of a search process.

B. Persons appointed to regular, unclassified positions prior to June 15, 2010, are subject to notice of non-reappointment pursuant to the following schedule:

During the first year of service, the individual must be notified by March 1 if he/she will not be reappointed for the next fiscal year. During the second year, notification of the non-reappointment for the next fiscal year must be made by December 15. Thereafter, the individual must be provided twelve (12) months' notice if he/she will not be reappointed. (Unless the date of the appointment was effective after September 30, the first year of service ends with the fiscal year in which the individual was first appointed. For those whose initial appointment was effective after September 30, the "first year" ends with the fiscal year after the year of appointment. In such cases, during the initial year of appointment prior to the "first year," those individuals must be notified no later than May 1 if they are not to be reappointed.)

**C171** The non-reappointment of persons holding administrative tenure granted prior to June 1982, as defined in **C170.3B**, may be reviewed in accordance with the Procedure for Review of Dismissal of Tenured Faculty, as provided in **Appendix M**, provided that the administrator shall have the choice of:

1. A hearing committee of the composition provided in **Appendix M**;
- or
2. a hearing committee selected from a pool which shall include all persons holding administrative positions as defined above, except that persons holding positions in the administrative unit in which the administrator is appointed shall not be eligible.

### **Bargaining Unit for Unclassified Employees**

**C180** In accordance with the laws of the State of Kansas, the potential bargaining unit for Kansas State University unclassified employees has been determined by the Public Employees Relations Board (PERB) on December 20, 1982, to be as follows:

The appropriate bargaining unit for unclassified personnel at Kansas State University shall include:

1. All unclassified faculty with the academic rank of research assistant, research associate, assistant instructor, instructor, assistant professor, associate professor, and professor if they are engaged five-tenths time or more in teaching, research, or extension;
2. Support unit personnel except physicians working in Lafene Health Center, and shall exclude:
  - A. Unclassified employees as stipulated: academic directors, associate directors, assistant directors; department heads; part-time employees (less than five-tenths time); temporary, visiting or adjunct employees and appointees; all students, including graduate teaching assistants, graduate research assistants, and graduate assistants; university officials, including the president, assistants to the president, administrative assistants to the

president, provost, associate provost, assistant provost, vice presidents, associate vice presidents, assistant vice presidents, assistants to vice presidents, deans, associate deans, assistant deans, assistants to deans, controller, associate controller, assistant controller, registrar, associate registrar, assistant registrar, university attorney, branch station superintendents, area directors of extension;

B. County extension agents;

C. Physicians working in Lafene Student Health Center.

(The complete text of the PERB order is on file in the Office of Unclassified Affairs and University Compliance and in the Faculty Senate Office.)

## **Administrative Appeals and Grievance Resolution**

**C190** The Administrative Appeal and Grievance Policy and Hearing Procedures, University Handbook [Appendix G](#), are part of the university's dispute resolution system. This policy is to provide a process for addressing grievances of faculty and unclassified professionals. For details on the process and procedures of Administrative Appeals and Grievance Resolutions, see [Appendix G](#).

### **Ombuds**

#### **C192** Appointment and Term

On the recommendation of the Faculty Senate President, the Faculty Senate Executive Committee shall appoint, three ombuds. Candidates for the ombuds shall have service qualifications that demonstrate knowledge of university structure and operations, such as service on Faculty Senate or the General Grievance Board. Faculty candidates shall have attained tenure in their respective departments. Unclassified professional candidates shall be on regular appointments. People in positions of line authority (e.g., department heads, deans, and some directors) shall not be appointed. The ombuds should not serve in additional roles within the university that would compromise their ability to be perceived as unbiased. Any qualified person wishing to be considered for an ombuds appointment may contact the Faculty Senate President.

Each ombuds shall serve a three-year term, which shall begin the first day of each fall semester, and shall be listed as ombuds in the annual list of all-university appointments and the Campus Directory. Reappointment to a second consecutive term should take place only in exceptional circumstances, the basis of which will be explained by the Faculty Senate President to the Faculty Senate prior to the appointment. Terms of the ombuds will be staggered. Ombuds who are unable or unwilling to adhere to C194 are subject to immediate replacement at the discretion of the Faculty Senate Executive Committee. If for any reason an ombuds cannot complete a term, the term of the replacement will be for the balance of the original term.

#### **C193** Recognition and Preparation

Service as ombuds shall be given appropriate consideration as part of the ombuds' responsibility during the term of appointment; the department head or functional equivalent shall ensure that service as ombuds shall be given consideration in decisions affecting assignments, salary, and promotion. The ombuds shall receive released time or be compensated in some other fashion. It is expected that early in the term of an ombuds' appointment, opportunities will be provided by the university for the ombuds to receive supplemental preparation that may enhance his/her ability to be successfully in the functions and responsibilities of an ombuds. Beyond conferring with current and former ombudspersons, such preparation shall include attending seminars, workshops, and meetings. The university will pay for the costs involved with the ombuds belonging to The Ombudsman Association or an equivalent organization, during the ombuds' term.

#### **C194** Functions and Responsibilities

The ombuds' role is to facilitate a confidential, unbiased, and informal process to resolve concerns and disputes that arise within the university. The ombuds is an information, communication, and referral resource available to the faculty and unclassified professionals who seek service on a voluntary basis. With exception(s) as specified in the University Handbook, the university recognizes and the ombuds will follow the principles developed by the university and International Ombudsman Association (IOA) as well as the Code of Ethics 1985 and the Standards of Practice 1995 of the Ombudsman Association, <http://www.ombudsassociation.org/>

Ombuds are not mediators, arbitrators, or advocates for any person or position. They are advocates for fair processes and fair administration. While individuals are responsible for choosing a particular resolution, the ombuds may help develop options to resolve problems and/or facilitate discussion designed to identify agreeable options to resolve a dispute. Ombuds will exercise the responsibilities of their position with objectivity and impartiality, and will consider the concerns of all parties involved in a dispute. All communications with the ombuds are confidential and they will not be expected to testify in any formal process inside or outside the university.

The ombuds shall have the duties of (1) providing information about the grievance process and (2) guiding a grievant through the initial stages of the grievance process. If requested by the grievant, the ombuds may also contact the administrator(s) involved to seek a resolution of the matter before a formal grievance hearing begins. The ombuds shall have access to anyone in the university including the president.