

1 **University Handbook, Section C**

2 **Identity, Employment, Tenure**

3 (03/10/15, 06/05/15, 12/3/15, 5/10/16 revisions)

4  
5 Section C refers to unclassified professionals and faculty. While some questions of  
6 identity and employment are identical for the two groups, differentiation exists in  
7 some instances; and tenure policies apply exclusively to faculty.

8  
9 **Faculty Responsibilities**

10  
11 **C1** Faculty members, as distinguished from other personnel employed by the  
12 university, are those members of the unclassified service who have the professional  
13 expertise and the responsibility for the major university endeavors of teaching,  
14 research and other creative activities, extension, directed service, and non-directed  
15 service.

16  
17 Institutional excellence is enhanced by both faculty specialization and versatility in  
18 the kind of work done within and across departments and units. Faculty members  
19 will have individual responsibility profiles. However, specialization of labor carried to  
20 extremes could seriously limit the extent to which faculty would be able to meet  
21 changing needs in their departments or to meet temporary needs. Thus, a major  
22 purpose of the probationary period is to assess a candidate's versatility across and  
23 within areas of work.

24  
25 When included as part of a faculty member's appointment, each of the responsibility  
26 areas below is considered in decisions for reappointment, tenure, and promotion as  
27 well as in annual merit evaluations:

28  
29 **C2** Teaching. Efforts to assist undergraduate and graduate students in gaining  
30 knowledge, understanding, or proficiency; for example, planning and teaching  
31 courses, advising undergraduates, or supervising graduate students.

32  
33 **C3** Research and other creative activities. Efforts to make original intellectual or  
34 artistic contributions through scholarship; for example, original research, creative  
35 artistry, interdisciplinary scholarly work, guiding graduate students' research, or the  
36 use of specialized knowledge to address significant social or professional problems.  
37 For more information see Section G of the University Handbook: [http://www.k-](http://www.k-state.edu/provost/universityhb/fhsecg.html)  
38 [state.edu/provost/universityhb/fhsecg.html](http://www.k-state.edu/provost/universityhb/fhsecg.html).

39  
40 **C4** Extension. Efforts of the Cooperative Extension Service that provide practical,  
41 scientifically based, and useful information to Kansas residents through informal,  
42 out-of-school, non-credit education programs.

43  
44 **C5** Directed service. All other work that furthers the mission of and is directly related  
45 to the goals and objectives of a unit and the university, that requires academic  
46 credentials or special skills, and that is a part of a faculty member's explicit  
47 assignment. Typical positions that involve such work are librarians and clinicians-  
48 diagnosticians.

49  
50 **C6** Non-directed service. There are three categories: Profession-based service. Work  
51 that provides leadership and service to the faculty member's profession or discipline;  
52 for example, holding office in a professional association or service on an editorial  
53 board of a professional journal.

54  
55 Institution-based service. Work that is essential to the operation of the university;  
56 for example, contributing to the formulation of academic policy and programs,  
57 serving on the faculty senate, the graduate council, and committees of the  
58 department, college or university, or acting as adviser to student organizations.  
59  
60 Public-based professional service. Efforts that are not directed service but that are  
61 the application of knowledge and expertise intended for the benefit of a non-  
62 academic audience; for example, serving as an expert witness, developing programs  
63 and providing training, or providing consultation.  
64  
65 **C7 Administrative duties.** Faculty members also may have administrative duties,  
66 such as serving as department heads/chairs, assistant deans, and associate deans.  
67 Administrative officers may hold academic rank in a department.  
68  
69 **Unclassified Professional Responsibilities**  
70  
71 **C8** Unclassified professionals are any non-University Support Staff employees who  
72 do not hold faculty rank as defined in the University Handbook. Unclassified  
73 professionals are expected to actively engage with the mission of the university in  
74 the fulfillment of their responsibilities. However, these responsibilities vary widely.  
75 Thus, responsibilities are primarily defined by their position descriptions and  
76 determined at the level of those individual units to which unclassified professionals  
77 report.  
78  
79 Unclassified professionals, like faculty, also have the opportunity to perform non-  
80 directed service as defined in C6.  
81  
82 All unclassified professional positions are non-tenure track.  
83  
84  
85 **C10** Faculty appointments. The privilege of participating in faculty meetings and in  
86 being elected to the Faculty Senate is reserved for those holding regular  
87 appointments. The following ranks may be either regular, term, or adjunct  
88 appointments.  
  
89 Professor, associate professor, assistant professor (probationary or tenured)  
  
90 Senior instructor, advanced instructor, instructor (see Section C12.0)  
  
91 Research professor, research associate professor, research assistant professor (see  
92 Section C12.1)  
  
93 Clinical professor, clinical associate professor, clinical assistant professor (see Section  
94 C12.2)  
  
95 Senior professor of practice, professor of practice (see Section C12.3)  
  
96 Teaching professor, teaching associate professor, teaching assistant professor (see  
97 Section C12.4)  
  
98 Extension professor, extension associate professor, extension assistant professor  
99 (see Section C12.5)

100 In matters affecting the graduate faculty, only those holding membership in that  
101 body may vote. (FSM 2-14-90)

102 **C11** Term appointments. Term appointments also include graduate assistant,  
103 graduate teaching assistant, and graduate research assistant (FSM 2-14-90).

104 Those appointed on a term appointment may be engaged in teaching, research and  
105 other creative endeavors, extension, or library services. This appointment may be  
106 full-time or part-time. Normally, a term appointment is used only when the need or  
107 the funding for the position is finite, and typically is for a specified term not longer  
108 than one year. A term appointment carries no expectation of continued employment  
109 beyond the period stated in the contract. Service on a term appointment is not  
110 credited toward tenure. The Standards for Notice of Non-Reappointment applicable  
111 to regular appointments do not apply. (POD 5-89; FSM 5-9-89)

112 **C12.0** Appointments at the rank of instructor, advanced instructor, and senior  
113 instructor. The primary responsibility for persons on these appointments will be  
114 instruction, although the entire set of expectations must be clearly defined in the  
115 offer letter. Individuals in these positions are not required to hold the terminal  
116 degree appropriate to the discipline. Individuals on these appointments are not  
117 eligible for tenure and are not eligible to vote on matters of tenure or promotion for  
118 tenure-track faculty. Service in these positions is not credited toward tenure. Faculty  
119 at these ranks will be appointed on one of the following contracts:

120 a. Instructor, advanced instructor and senior instructor---term appointment. This  
121 appointment may be full-time or part-time. A term appointment carries no  
122 expectation of continued employment beyond the period stated in the contract.  
123 The Standards for Notice of Non-reappointment do not apply.

124 b. Instructor, advanced instructor, and senior instructor---regular appointment.  
125 This appointment may be full-time or part-time. An instructor at any rank on a  
126 regular appointment is a member of the general faculty, and is afforded all  
127 perquisites accorded to the general faculty. Regular appointees are entitled to  
128 Notice of Non-Reappointment, as appropriate (see C160, et seq., University  
129 Handbook).

130 Units that wish to use these faculty appointments must first include in their  
131 departmental documents the specific criteria that apply to these positions and the  
132 processes to be used for appointment, reappointment, annual evaluations and  
133 promotion. Persons appointed to these ranks may expect to be promoted on the  
134 basis of demonstrated individual merit in relationship to their association with the  
135 university's mission and within their discipline. Typically, consideration for promotion  
136 from instructor to advanced instructor can occur after a five-year period at the rank  
137 of instructor. Consideration for promotion to senior instructor may occur in  
138 accordance with criteria established by the unit. Each higher rank demands a higher  
139 level of accomplishment consistent with the expectations based on specific criteria,  
140 standards, and guidelines developed by departmental faculty in consultation with the  
141 department head/chair and the appropriate dean. Department heads/chairs are  
142 expected to notify faculty members regarding their progress toward or readiness for  
143 promotion review.

144 Recommendations for appointment, reappointment, annual evaluation, and  
145 promotion shall be made according to the guidelines and procedures described in the

146 University Handbook (see Section C) and the departmental documents. Instructor  
147 positions will be awarded as one-year, regular or term contracts. Advanced instructor  
148 and senior instructor positions may be awarded as one-year regular appointments,  
149 or as one-, two-, or three-year term appointments.

150 **C12.1** Appointments at the rank of research assistant professor, research associate  
151 professor, and research professor. In certain cases, the university's best interests  
152 are served by entering into ongoing relationships with personnel beyond the research  
153 associate level; these individuals will normally qualify for principal investigator status  
154 on proposals to external agencies if approved by their department head/chair and  
155 the dean of the relevant college. The entire set of expectations must be clearly  
156 defined in the offer letter. These appointments will be at the rank of research  
157 assistant professor, research associate professor, and research professor; individuals  
158 appointed to these positions should have research credentials consistent with those  
159 mandated for the comparable tenure-track rank in their disciplines. Individuals on  
160 these appointments are not eligible for tenure and are not eligible to vote on matters  
161 of tenure or promotion for tenure-track faculty. Service in these positions is not  
162 credited toward tenure. Faculty at these ranks will be appointed on one of the  
163 following contracts:

164 a. Research assistant professor; research associate professor; research professor-  
165 -term appointment. Those on a term appointment may be engaged in research  
166 or other creative endeavors in academic departments. This appointment may  
167 be full-time or part-time. A term appointment carries no expectation of  
168 continued employment beyond the period stated in the contract. The Standards  
169 for Notice of Non-Reappointment do not apply.

170 b. Research assistant professor; research associate professor; research professor-  
171 -regular appointment. Those on a regular appointment may be engaged in  
172 research or other creative endeavors in academic departments. This  
173 appointment may be full-time or part-time. A research professor at any rank on  
174 a regular appointment is a member of the general faculty and is afforded all  
175 perquisites accorded to the general faculty. Regular appointees are entitled to  
176 Notice of Non-Reappointment (see C160, et seq., University Handbook).

177 Units that wish to use these faculty appointments must first include in their  
178 departmental documents the specific criteria that apply to these positions and the  
179 processes to be used for appointment, reappointment, annual evaluations and  
180 promotion. Individuals appointed to these ranks may expect to be promoted on the  
181 basis of demonstrated individual merit in relationship to their association with the  
182 university's mission and within their own disciplines. Each higher rank demands a  
183 higher level of research accomplishment. Annual evaluation and promotion are based  
184 upon an individual's achievements related to the specific criteria, standards, and  
185 guidelines developed by departmental faculty in consultation with the department  
186 head/chair and the appropriate dean. Department heads/chairs are expected to  
187 notify faculty members regarding their progress toward or readiness for promotion  
188 review. Recommendations for appointment, reappointment, annual evaluation, and  
189 promotion shall be made according to the guidelines and procedures described in the  
190 University Handbook (see Section C) and departmental documents. Research  
191 assistant professor positions will be awarded as one-year, regular or term contracts.  
192 Research associate professor and research professor positions may be awarded as  
193 one-year regular appointments, or as one-, two-, or three-year term appointments.

194 **C12.2** Appointments at the rank of clinical assistant professor, clinical associate  
195 professor, and clinical professor. The primary responsibility for persons on these  
196 appointments will be teaching and clinical service. A component of the clinical  
197 appointment may include opportunity for scholarly achievement. Persons appointed  
198 to these positions should have credentials appropriate to the discipline. Clinical  
199 faculty are not eligible for tenure, and service in these positions is not credited  
200 toward tenure. Faculty at these ranks will be appointed on one of the following  
201 contracts:

202 a. Clinical assistant professor, clinical associate professor, and clinical professor--  
203 term appointment. This appointment may be full time or part time clinical track  
204 appointment. A term appointment carries no expectation of continued  
205 employment beyond the period stated in the contract. The Standards for Notice  
206 of Non-reappointment do not apply.

207 b. Clinical assistant professor, clinical associate professor, and clinical professor--  
208 regular appointment. This may be a full-time or part-time track position. As  
209 such a clinical professor at any rank on a regular appointment is a member of  
210 the general faculty and is afforded all perquisites accorded to the general  
211 faculty. Regular appointees are entitled to Notice of Non-Reappointment (see  
212 C160, et seq., University Handbook).

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

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

229 Recommendations for appointment, reappointment, annual evaluation, and  
230 promotion shall be made according to the guidelines and procedures described in the  
231 University Handbook (see Section C). Persons appointed to clinical assistant  
232 professor positions will receive annually renewable one-year contracts. Those  
233 persons appointed to clinical associate professor positions will receive renewable  
234 three-year contracts. Those persons appointed to clinical full professor positions will  
235 receive renewable five-year contracts. Notice of Non-reappointment for these  
236 appointments must be given 12 months before the end of the contract. (FS 6-14-05  
237 /BOR 1-19-06/BOR 1-19-12)

238 **C12.3** Appointments at the rank of professor of practice and senior professor of  
239 practice. The primary responsibility for persons on these appointments will be  
240 teaching, research, or outreach and service or some combination of these duties. The

241 entire set of expectations must be clearly defined in the offer letter. Persons  
242 appointed to these positions should have substantial non-academic experience and  
243 credentials appropriate to the discipline. Individuals on these appointments are not  
244 eligible for tenure and are not eligible to vote on matters of tenure or promotion for  
245 tenure-track faculty. Service in these positions is not credited toward tenure. Faculty  
246 at these ranks will be appointed on one of the following contracts:

247 a. Professor of practice and senior professor of practice---term appointment. This  
248 appointment may be full time or part time. A term appointment carries no  
249 expectation of continued employment beyond the period stated in the contract.  
250 The Standards for Notice of Non-reappointment do not apply.

251 b. Professor of practice and senior professor of practice---regular appointment.  
252 This appointment may be full-time or part-time. A professor/senior professor of  
253 practice on a regular appointment is a member of the general faculty, and is  
254 afforded all perquisites accorded to the general faculty. Regular appointees are  
255 entitled to Notice of Non-Reappointment, as appropriate (see C160, et seq.,  
256 University Handbook).

257 Units that wish to use these faculty appointments must first include in their  
258 departmental documents the specific criteria that apply to these positions and the  
259 processes to be used for appointment, reappointment, annual evaluations and  
260 promotion. Persons appointed to the rank of professor of practice may be promoted  
261 to senior professor of practice on the basis of demonstrated individual merit in  
262 relationship to their association with the university's mission and within their  
263 discipline. The senior professor of practice position demands a higher level of  
264 accomplishment consistent with the expectations based on specific criteria,  
265 standards, and guidelines developed by departmental faculty in consultation with the  
266 department head/chair and the appropriate dean. Department heads/chairs are  
267 expected to notify faculty members regarding the progress of professor(s) of practice  
268 toward or readiness for promotion review, per program/department review  
269 documents.

270 Recommendations for appointment, annual evaluation, and promotion shall be made  
271 according to the guidelines and procedures described in the University Handbook  
272 (see Section C) and departmental documents. Professor of practice positions will be  
273 awarded as one-year, regular or term contracts. Senior professor of practice  
274 positions may be awarded as one-year regular appointments, or as one-, two-, or  
275 three-year term appointments.

276 **C12.4** Appointments at the rank of teaching assistant professor, teaching associate  
277 professor, and teaching professor. The primary responsibility for persons on these  
278 appointments will be instruction, although the entire set of expectations must be  
279 clearly defined in the offer letter. A component of the teaching appointment may  
280 include opportunity for scholarly achievement and service. Persons appointed to  
281 these positions will hold the terminal degree appropriate to the discipline. Individuals  
282 on these appointments are not eligible for tenure and are not eligible to vote on  
283 matters of tenure or promotion for tenure-track faculty. Service in these positions is  
284 not credited toward tenure. Faculty at these ranks will be appointed on one of the  
285 following contracts:

286 a. Teaching assistant professor; teaching associate professor; teaching professor-  
287 -term appointment. This appointment may be full-time or part-time. A term

288 appointment carries no expectation of continued employment beyond the  
289 period stated in the contract. The Standards for Notice of Non-reappointment  
290 do not apply.

291 b. Teaching assistant professor, teaching associate professor, and teaching  
292 professor--regular appointment. This appointment may be full-time or part-  
293 time. A teaching professor at any rank on a regular appointment is a member  
294 of the general faculty and is afforded all perquisites accorded to the general  
295 faculty. Regular appointees are entitled to Notice of Non-Reappointment (see  
296 C160, et seq., University Handbook).

297 Units that wish to use teaching faculty appointments must first include in their  
298 departmental documents the specific criteria that apply to these positions and the  
299 processes to be used for appointment, reappointment, annual evaluations, and  
300 promotion. Persons appointed to these ranks may expect to be promoted on the  
301 basis of demonstrated individual merit in relationship to their association with the  
302 university's mission and within their discipline; typically, consideration for promotion  
303 from teaching assistant professor to teaching associate professor can occur after a  
304 five-year period as a teaching assistant professor. Consideration for promotion to  
305 teaching professor may occur in accordance with criteria established by the  
306 unit. Each higher rank demands a higher level of accomplishment consistent with  
307 the expectations based on specific criteria, standards, and guidelines developed by  
308 departmental faculty in consultation with the department head/chair and the  
309 appropriate dean and set forth in the department document. Department  
310 heads/chairs are expected to notify faculty members regarding their progress toward  
311 or readiness for promotion review.

312 Recommendations for appointment, reappointment, annual evaluation, and  
313 promotion shall be made according to the guidelines and procedures described in the  
314 University Handbook (see Section C) and departmental documents. Teaching  
315 assistant professor positions will be awarded as one-year, regular or term contracts.  
316 Teaching associate professor and teaching professor positions may be awarded as  
317 one-year regular appointments, or as one-, two-, or three-year term appointments.

318 **C12.5** Appointments at the rank of extension assistant professor, extension  
319 associate professor, and extension professor. In certain cases, the university's best  
320 interests are served by entering into ongoing relationships with personnel beyond  
321 the Extension Associate level. The entire set of expectations must be clearly defined  
322 in the offer letter. Individuals appointed to these positions should have extension  
323 credentials consistent with those mandated for the comparable tenure-track rank in  
324 their disciplines. Individuals on these appointments are not eligible for tenure and  
325 are not eligible to vote on matters of tenure or promotion for tenure-track faculty.  
326 Service in these positions is not credited toward tenure. Faculty at these ranks will  
327 be appointed on one of the following contracts:

328 a. Extension assistant professor; extension associate professor; extension  
329 professor – term appointment. This appointment may be full-time or part-time.  
330 A term appointment carries no expectation of continued employment beyond  
331 the period stated in the contract. The Standards for Notice of Non-  
332 Reappointment do not apply.

333 b. Extension assistant professor; extension associate professor; extension  
334 professor -- regular appointment. This appointment may be full-time or part-

335 time. An Extension professor at any rank on a regular appointment is a  
336 member of the general faculty and is afforded all perquisites accorded to the  
337 general faculty. Regular appointees are entitled to Notice of Non-  
338 Reappointment, as appropriate (see C160, et seq., University Handbook).

339 Units that wish to use these faculty appointments must first include in their  
340 departmental documents the specific criteria that apply to these positions and the  
341 processes to be used for appointment, reappointment, annual evaluations and  
342 promotion. Persons appointed to these ranks may expect to be promoted on the  
343 basis of demonstrated individual merit in relationship to their association with the  
344 university's mission and within their own disciplines; typically, consideration for  
345 promotion from extension assistant professor to extension associate professor can  
346 occur after a five-year period as an extension assistant professor. Consideration for  
347 promotion to extension professor may occur in accordance with criteria established  
348 by the unit. Each higher rank demands a higher level of extension accomplishment  
349 consistent with the extension expectations for tenure-track faculty. Annual  
350 evaluation and promotion are based upon an individual's achievements related to the  
351 specific criteria, standards, and guidelines developed by departmental faculty in  
352 consultation with the department head/chair and the appropriate dean and set forth  
353 in the departmental documents. Department heads/chairs are expected to notify  
354 faculty members regarding their progress toward or readiness for promotion review.

355 Recommendations for appointment, reappointment, annual evaluation, and  
356 promotion shall be made according to the guidelines and procedures described in the  
357 University Handbook (see Section C) and departmental documents. Extension  
358 assistant professor positions will be awarded as one-year, regular or term contracts.  
359 Extension associate professor and extension professor positions may be awarded as  
360 one-year regular appointments, or as one-, two-, or three-year term appointments.

361 **C12.6** Full-time tenure-track/tenured faculty members may apply to their  
362 department or unit head for a one-time, one-way transfer to one of the appointment  
363 categories specified in 12.1, 12.3, 12.4, or 12.5. See provisions regarding clinical  
364 track faculty in (12.2). A tenure-track faculty member must request the transfer  
365 prior to applying for tenure and promotion, and in any event must be made prior to  
366 but no later than September 1 of the final year in which the faculty member could be  
367 considered for tenure. All transfers must be approved by the college dean.  
368

369 **C13** Ranks and conditions for acquiring tenure. Tenure is not granted below the rank  
370 of associate professor, except in special circumstances approved by the provost.  
371 Tenure and promotion to associate professor often are granted concurrently. Service  
372 as assistant professor or above may be credited toward tenure. (FSM 2-14-90)  
373

374 **C14** Eligibility for professorial rank. Unclassified professionals (in student service  
375 departments or in other support units of the university) who are not associated with  
376 an academic department or unit are not eligible for professorial ranks. Because of  
377 tradition, academic rank is used for library and extension faculty not in an academic  
378 unit.  
379

380 **C15** Courtesy professorial appointment. Unclassified professionals in student service  
381 departments or in other support units of the university who are not associated with  
382 an academic department or unit may be granted courtesy professorial rank in  
383 academic departments, with the approval of the departmental faculty, dean, and  
384 provost. Persons granted such courtesy appointments will be expected to hold the

385 terminal degree, or its equivalent, in the academic discipline of the department  
386 granting the courtesy appointment. Courtesy appointments do not carry with them  
387 the prospect of consideration for tenure or any other obligations on the part of the  
388 department. The extent to which the unclassified professional holding the courtesy  
389 appointment participates in the activities of the department in which the courtesy  
390 appointment is held is arranged between the department and the individual.

391

392 **Appointment Procedures: Faculty**

393

394 **C20** General procedures. The department head/chair is advised on appointments by  
395 the faculty members of the department who have acquired tenure and hold a rank  
396 equal to or higher than the position to be filled. The department head/chair is  
397 responsible for making the candidate's file available in a timely fashion to the  
398 department faculty members who are eligible to make recommendations. For  
399 appointments at the rank of assistant professor, associate professor and professor,  
400 eligible department faculty members will advise the department head/chair through  
401 a vote on the appointment of the candidate at a given rank. The type of vote will be  
402 at the discretion of the department. The department head/chair forwards a written  
403 recommendation and accompanying explanation to the dean, along with the  
404 candidate's complete file, the results of the vote (if applicable), and the  
405 recommendation(s) and any written comments (unedited) of the eligible  
406 departmental faculty members. Initial contracts are issued by the provost.  
407 Recommendation for appointment of an individual to the faculty is normally made by  
408 a department head/chair to the appropriate dean after affirmative action procedures  
409 have been followed.

410

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

417

418 **C21.2** Policy to designate a change in salary for administrators who return to the  
419 faculty. When a faculty member (existing or newly hired) is appointed to an  
420 administrative position and is entitled to an underlying position once the  
421 administrative duties are no longer assigned, a memorandum of understanding will  
422 accompany the administrative appointment. The memorandum of understanding  
423 (MOU) will specify the agreement between the appointee and the appropriate  
424 appointing administrator (president, provost or vice president) concerning any  
425 upward salary adjustment (or inclusion) for such administrative appointment and a  
426 commensurate downward salary adjustment at such time as the appointee no longer  
427 has the administrative duties. The MOU must be approved and signed by the  
428 appropriate administrator and the appointee. The adjustments generally will be  
429 based upon an appropriately determined percentage increase (or inclusion) and a  
430 commensurate percentage reduction in salary, and also by an 11/9ths conversion for  
431 a change from a nine-month to a 12-month contract and a 9/11ths conversion upon  
432 converting from a 12-month to a nine-month appointment.

433

434

435 **Conditions of Employment for All Faculty and Unclassified Professionals**

436

437 **C22.1** Length of employment appointment Regular faculty and unclassified  
438 professional appointments may be either for the academic year (nine months) or for  
439 the fiscal year (12 months). Term faculty and unclassified professional appointments  
440 may be for the academic year (nine months) or the fiscal year (12 months) or  
441 shorter.

442  
443 **C22.2** All prospective faculty members, graduate teaching assistants, and  
444 unclassified professionals with teaching responsibilities will have their spoken English  
445 competency assessed in accordance with Kansas Board of Regents' policies. Refer to  
446 the PPM, Chapter 4650, section .075 ([http://www.k-](http://www.k-state.edu/policies/ppm/4650.html)  
447 [state.edu/policies/ppm/4650.html](http://www.k-state.edu/policies/ppm/4650.html)).

448  
449 **C22.3** Information about the pay date schedule is available at [http://www.k-](http://www.k-state.edu/hr/paydates.html)  
450 [state.edu/hr/paydates.html](http://www.k-state.edu/hr/paydates.html).

451  
452 **C22.4** Nine-month faculty and unclassified professionals do not accumulate or earn  
453 vacation leave. Their duties are closely related to the presence of students on the  
454 campus. Student recesses offer the nine-month faculty member an opportunity to  
455 engage in research and perform other necessary professional duties. In consideration  
456 of the professional nature of a faculty position, faculty members are expected to  
457 fulfill appropriate professional responsibilities throughout the academic year,  
458 including student recesses, exclusive of legal holidays. Information about the  
459 beginning of the academic year may be found at [http://www.k-](http://www.k-state.edu/provost/resources/kborcal.pdf)  
460 [state.edu/provost/resources/kborcal.pdf](http://www.k-state.edu/provost/resources/kborcal.pdf).

461  
462 **C22.5** The holders of 12-month appointments are accountable for their time for a  
463 calendar or fiscal year rather than an academic year. Twelve month employees  
464 should check with their department heads/chairs regarding leave and vacation  
465 procedures. Leave types and usage are described more fully in E40-48 and PPM,  
466 Chapter 4860, <http://www.k-ate.edu/policies/ppm/4860.html>.

467  
468 **C23.1** Summer employment. The university offers a variety of variable-length  
469 sessions during the summer. All nine-month faculty members who will teach in  
470 summer school are notified that their names have been included at specified salaries  
471 in the tentative summer school budget. The summer salary for a faculty member will  
472 be negotiated between the faculty member and the department head/chair when the  
473 summer school assignments are made. Faculty members who teach a three-credit-  
474 hour summer course which is not part of their regular teaching assignment will be  
475 compensated at the negotiated salary, which may range between 70 to 100 percent  
476 of one-ninth of their full-time, nine-months' salary. This agreed-upon percentage will  
477 not be reduced at a later time during the summer at issue for a course that enrolls at  
478 least the predetermined minimum required number of students, regardless of the  
479 eventual class size. The nine-month academic year enrollment capacities are  
480 expected to be adhered to except for negotiated arrangements. If a class fails to  
481 meet the predetermined minimum enrollment, then at the instigation of the faculty  
482 member, negotiations may take place for a salary below the seventy percent figure  
483 provided the faculty member wishes to teach the class. For instances in which a  
484 faculty member's assigned summer duties are more than a normal load, additional  
485 compensation or support may be approved by the dean of the college and the  
486 provost. The additional salary policy, modified to reflect approval by the dean and  
487 provost, and in cases of continuing education courses, approval also by the Dean of  
488 Global Campus, would be followed. (FS 11/9/99)

489 Advising during the summer enrollment period and during the summer teaching  
490 period is an essential component of the university's mission. Thus, advising will be  
491 recognized as a legitimate component of recompensed activities during the summer  
492 period.

493 Faculty on summer appointments will be compensated at their current rate of pay  
494 through the end of the fiscal year. At the beginning of the fiscal year faculty will be  
495 compensated at their new rate of pay. Such compensation also applies to faculty  
496 supported on grant funds during the summer. Employment in the summer session  
497 earns for the faculty member all the fringe benefits that accrue monthly for regular  
498 nine-month appointments, except that sabbatical leave benefits do not take into  
499 account previous summer school employment. For 12-month faculty members, the  
500 summer session is considered a normal part of their duties.

501  
502 **C23.2** Nine-month faculty members may arrange up to three months' summer  
503 employment if the salary is paid from contract or grant funds.

#### 504 **Other Types of Appointments**

505  
506  
507 **C24 Interdisciplinary appointments.** Normally, all tenure- track faculty members  
508 appointed to interdisciplinary programs who have not already acquired tenure at  
509 Kansas State University shall at the time of consideration for appointment identify  
510 the disciplinary department with which to be associated. Prior to appointment, a  
511 majority of the faculty members of the chosen disciplinary department must find the  
512 individual acceptable as a potential faculty member in their department.

513  
514 **C25.1 Adjunct appointments.** Adjunct appointments are made for the benefit of  
515 the university to allow people from outside the university to contribute to its  
516 academic program. When appropriate, an academic department initiates a  
517 recommendation for an adjunct appointment at the faculty rank commensurate with  
518 the individual's qualifications. Approval of the college dean and the provost is  
519 required. Because the individual is allowed the courtesy of affiliation with the  
520 university, adjunct appointments are usually without compensation. Payment may be  
521 made for classroom instruction, although adjunct faculty members are normally not  
522 appointed to serve in the formal teaching program. Refer to the PPM, Chapter  
523 4650, <http://www.k-state.edu/policies/ppm/4600/4650.html#040>.

524  
525 **C25.2** The activities of adjunct faculty members are limited to participation in  
526 academic functions such as teaching, advising, and supervising research. The regular  
527 procedures of the graduate faculty apply to any individual's participation in a  
528 graduate program. Adjunct appointees may serve as major professors for graduate  
529 students only if a regular member of the graduate faculty serves as co-major  
530 professor.

531  
532 **C25.3** All university rules and regulations apply to adjunct faculty members in their  
533 university association, including policies with respect to patents, conflict of interest,  
534 classified research, and use of human subjects. Adjunct faculty members must  
535 accept responsibility for liability in cases of supervised student work off-campus.

536  
537 **C25.4** Adjunct faculty members are not granted tenure, nor are they eligible to vote  
538 or hold office in any unit of university governance.

539

540 **C25.5** In recognition of their contribution to the academic community, the university  
541 extends to adjunct appointees residing in Kansas the use of university libraries;  
542 employee rates for athletic, Kansas State Union, and cultural events; and parking  
543 privileges.  
544

545 **C27 Ancillary appointments.** Ancillary appointments are made for the benefit of a  
546 department to allow faculty from other university departments to contribute to its  
547 academic programs. Members who are on regular faculty appointments in other  
548 departments or units on campus are eligible. The goal is to foster ties between  
549 departments with similar and/or complementary disciplinary interests.  
550

551 **C27.1** An eligible faculty member may be nominated for an ancillary appointment by  
552 a faculty member in the host department or by the host department head/chair. The  
553 nomination should be discussed with other faculty in both of the departments that  
554 the appointment may affect. The nomination should include a letter of nomination,  
555 curriculum vitae of the candidate, and a statement outlining the benefits both to the  
556 candidate and to the hosting department. Prior to appointment, a majority of the  
557 faculty members from the host department must find the individual acceptable as an  
558 ancillary faculty member. The appointment must be approved by the host  
559 department head/chair, host dean, and the provost. The candidate must also have  
560 approval from his/her home department head/chair and dean.  
561

562 **C27.2** An ancillary appointment is a five-year term and is contingent upon a  
563 continuing regular faculty appointment. To be reappointed, the candidate must be  
564 re-nominated and approved by the process outlined above.  
565

566 **C27.3** The activities of an ancillary appointment may include teaching, interaction in  
567 scholarly and creative endeavors, participation in graduate programs, and serving on  
568 graduate student committees. The regular procedures of the graduate faculty apply  
569 to any individual's participation in a graduate program. Departments may develop  
570 more specific guidelines and policies related to these appointments.  
571

572 **C27.4** Ancillary appointments are without compensation. Ancillary faculty members  
573 are subject to all rules and regulations that apply to members of the host  
574 department including but not limited to patents, conflict of interest, classified  
575 research, and use of human subjects. Ancillary faculty members are not granted  
576 tenure, nor are they eligible to vote or hold office in the host department. Ancillary  
577 appointments may be recognized in all appropriate departmental documents and  
578 literature pertaining to academic programs.  
579

#### 580 **Other Considerations** 581

582 **C29.1** Other considerations. As a general policy, tenure-track faculty appointments  
583 will not be offered to persons whose last earned academic degree is from Kansas  
584 State University unless extensive intervening experience was acquired elsewhere. In  
585 unusual and meritorious cases, the provost may make exceptions to this policy.  
586

587 **C29.2** The university will not grant an advanced degree to a faculty member who  
588 holds the rank of assistant professor or higher, with the following exceptions: Faculty  
589 members in these ranks may be permitted to work for degrees outside their own  
590 departments, provided that the degrees are not required for promotion or tenure in  
591 their own departments.  
592

593 **General Issues of Evaluation for All Faculty and Unclassified Professionals**

594

595 **C30.1** Purposes of evaluations. Personnel decisions concerning annual merit salary  
596 adjustments, reappointment, tenure, and promotion are based on appropriate and  
597 meaningful evaluation. Evaluation should also provide an opportunity for  
598 professional growth and an enhanced commitment to fostering excellence at Kansas  
599 State University. Meaningful, fair, and equitably administered evaluation at all levels  
600 is vital to the good of the university and to the welfare of its employees.

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

604 **C30.3** Renewal, development and improvement are critically important to the  
605 university in its pursuit of excellence. Each unit should develop means of providing  
606 feedback to the individual employee so that he/she can maintain high levels of  
607 performance. In addition, employees have a personal responsibility to maintain or  
608 improve performance and are encouraged to participate in professional development  
609 activities. Those individuals with supervisory authority shall guide and assist those  
610 they supervise with such improvement activities. Often an agency external to the  
611 unit can contribute to this process. For example, the Teaching and Learning  
612 Center provides independent and confidential help to strengthen teaching, and the  
613 Office of Research and Sponsored Programs assists with efforts to design projects  
614 and secure extramural funding.

615 **C30.4** Evaluation procedures of close relatives. Under university policy no one shall  
616 participate in any way in the evaluation of a close relative. (See PPM Chapter 4095  
617 for definitions of close relative.) When such situations occur, responsibility for the  
618 evaluation of a close relative must, in consultation with the administrator to whom  
619 the employee reports, establish an evaluation procedure that will avoid this conflict  
620 of interest. (See PPM Chapter 4095.)

621 **C31.1** Departmental/unit criteria, standards, and guidelines. The possibility does not  
622 exist at the university or college levels to establish detailed criteria and standards for  
623 annual merit salary adjustments, reappointment, promotion, and tenure. The  
624 responsibility for developing and revising an annual evaluation system for faculty and  
625 unclassified professionals rests primarily with the department's/unit's faculty and  
626 unclassified professionals in consultation with the department's/unit's administrative  
627 head/chair, dean, vice-president, provost or president, as appropriate, depending  
628 upon the department's/unit's reporting structure. The evaluation system that is  
629 developed should be consistent with the university's goals as well as those of the  
630 unit. Each administrative unit will develop a procedure in accordance with applicable  
631 policy. Consult Human Capital Services for best practices and shared core  
632 competencies.

633

634 **C31.2** A department/unit's evaluation system must be mutually approved by a  
635 majority vote of the faculty and/or unclassified professionals in the unit (each votes  
636 only on the system used for evaluating their own performance; i.e., faculty vote on  
637 their unit's faculty evaluation system, unclassified professionals vote on their unit's  
638 unclassified professional evaluation system), by the unit's administrative head, and  
639 by the respective dean and provost or appropriate vice-president. The date of final  
640 approval must appear on the first page. Provision must be made for review of the  
641 department/unit criteria, standards, and guidelines at least once every five years or

642 more frequently if determined to be necessary by any of the aforementioned parties.  
643 Revisions also must be approved by the process described above. Dates of revision  
644 (or the vote to continue without revision) must appear on the first page.  
645

646 **C31.3** Criteria, standards, and guidelines for evaluation must be consistent with  
647 expectations for the department or unit as determined by the university in  
648 conjunction with the college or other administrative divisions to which the  
649 department or unit reports. This ensures clarity of departmental/unit priorities while  
650 providing for significant variance in the responsibilities and assignments of individual  
651 faculty members and unclassified professionals.

652 **C31.4** Responsibility lies with the deans and the provost to ensure that  
653 departmental/unit criteria, standards, and guidelines are followed in making  
654 recommendations and decisions for merit salary adjustments, reappointment,  
655 promotion, and tenure within the colleges. Responsibility lies with the vice  
656 presidents and their subordinate administrators in making recommendations and  
657 decisions for merit salary adjustments, reappointment, and promotion within their  
658 respective units.

659  
660 **Chronic Low Achievement for Tenured Faculty Evaluation**  
661

662 **C31.5** Chronic failure of a tenured faculty member to perform his/her professional  
663 duties, as defined in the respective unit, shall constitute evidence of "professional  
664 incompetence" and warrant consideration for "dismissal for cause" under existing  
665 university policies. Each department or unit shall develop a set of guidelines  
666 describing the minimum-acceptable level of productivity for each applicable area of  
667 responsibility for the faculty, as well as procedures to handle such cases. In keeping  
668 with regular procedures in matters of tenure (C112.1 and C112.2), eligible  
669 departmental faculty will have input into any decision on individual cases unless the  
670 faculty member requests otherwise. When a tenured faculty member's overall  
671 performance falls below the minimum-acceptable level, as indicated by the annual  
672 evaluation, the department or unit head/chair shall indicate so in writing to the  
673 faculty member. The department head/chair will also indicate, in writing, a  
674 suggested course of action to improve the performance of the faculty member. In  
675 subsequent annual evaluations, the faculty member will report on activities aimed at  
676 improving performance and any evidence of improvement. The names of faculty  
677 members who fail to meet minimum standards for the year following the department  
678 head's/chair's suggested course of action will be forwarded to the appropriate dean.  
679 If the faculty member has two successive evaluations or a total of three evaluations  
680 in any five-year period in which minimum standards are not met, then "dismissal for  
681 cause" will be considered at the discretion of the appropriate dean.  
682

683 **C31.6** Section C31.5 is about revocation of tenure in individual cases. Tenure is  
684 essential for the protection of the independence of the teaching and research faculty  
685 in institutions of higher learning in the United States. Decisions about revocation of  
686 tenure, especially if the grounds are professional incompetence, should not be  
687 exclusively controlled or determined by and should not be unduly influenced by  
688 single individuals without input from faculty. Moreover, "dismissal for cause" in cases  
689 of professional incompetence can only be based on departmental guidelines about  
690 minimum-acceptable levels of performance that apply generally to all members of  
691 the department or unit and are distinct from individually determined annual goals.  
692 Consequently, C31.5 establishes a departmental and faculty procedure for the

693 decision about the revocation of tenure for professional incompetence. The  
694 department or unit is responsible for develop "a set of guidelines describing the  
695 minimum acceptable level of productivity for each applicable area of responsibility."  
696 These minimum standards are not the same as those referred to in C31.1 or C41.1.  
697 Guidelines concerning minimum acceptable levels of productivity will vary  
698 considerably from unit to unit. Not only disciplinary differences but differences in  
699 philosophies of departmental administration are appropriate. What is not appropriate  
700 is the undue protection of non-contributing members of the faculty.

701  
702 **C31.7** Prior to the point at which "dismissal for cause" is considered under C31.5,  
703 other less drastic actions should have been taken. In most cases, the faculty  
704 member's deficient performance ("below expectations" or worse) in one or more  
705 areas of responsibility will have been noted in prior annual evaluations. At that point,  
706 the first responsibility of the head/chair of the department or unit is to determine  
707 explicitly whether the duties assigned to the faculty member have been equitable in  
708 the context of the distribution of duties within the unit and to correct any inequities  
709 affecting the faculty member under review. Second, the head/chair of the  
710 department or unit should have offered the types of assistance indicated in C30.3.  
711 Referral for still other forms of assistance (e.g., medical or psychological) may be  
712 warranted. Third, if the deficient performance continues in spite of these efforts and  
713 recommendations, the department head/chair and the faculty member may agree to  
714 a reallocation of the faculty member's time so that he/she no longer has duties in the  
715 area(s) of deficient performance. Such reallocation can occur only if there are one or  
716 more areas of better performance in the faculty member's profile and if the  
717 reallocation is possible in the larger context of the department's or unit's mission,  
718 needs, and resources.

719  
720 **C31.8** To help clarify the relationship between annual evaluations for merit, salary,  
721 and promotion and evaluations that could lead to C31.5, the following  
722 recommendations are made:

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

743 **Other Considerations for Faculty Evaluation**

744

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

750

751 **C32.2** Kansas State University has several important missions, and a fundamental  
752 one is the education of students. Evaluation of teaching is an important part of the  
753 overall faculty evaluation. An evaluation is used to aid faculty development and  
754 foster a commitment to teaching excellence at Kansas State University.

755

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

759

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

765

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

772

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

777

778 **C32.7** Evaluation of non-directed service (profession-based service, institution-based  
779 service, and public-based professional service) is a part of a candidate's  
780 responsibilities. However, non-directed service cannot be the major grounds upon  
781 which tenure or promotion is based. Each department establishes criteria and  
782 standards for faculty activity in university governance and for work in professional  
783 associations and activities within and outside the university.

784

785 **C33** Multiple data sources for evaluations. Professional performance is complex and  
786 cannot be evaluated adequately based on a single source of information. Faculty  
787 evaluations should be based on multiple sources of data for each area evaluated in  
788 order to provide various perspectives and to avoid a concentration on narrow  
789 performance objectives.

790

791 **C34.1** Student feedback on classroom instruction. In most cases, documentation  
792 submitted by faculty members with teaching responsibilities would be considered  
793 incomplete and presumed inadequate, unless evidence of teaching effectiveness is  
794 included. Student feedback on classroom instruction is an important source of  
795 information in the evaluation of teaching effectiveness, provided that the format

796 includes controls for student motivation and other possible bias. The form should  
797 contain directions that indicate how the information is used, and the forms should be  
798 administered and collected under controlled conditions that assure students'  
799 anonymity. Each academic unit should determine the student feedback form to be  
800 used by its faculty that conforms to the guidelines specified above. Faculty members,  
801 including professors, instructors, graduate teaching assistants, adjuncts, etc., shall  
802 collect student feedback for each course and section they teach in order to provide  
803 themselves and their departments with information pertaining to teaching  
804 effectiveness as well as provide material for the assessment of the relationships  
805 between Student Learning Objectives (SLO) achievement and teaching. Exceptions  
806 are individualized courses (e.g., research hours at the 899 and 999 levels,  
807 independent study). Faculty members engaged in individualized instruction should  
808 be guided by the unit's criteria for evaluating such instruction (See C32.2).

809  
810 **C34.2** Student feedback should never be the only source of information about  
811 classroom teaching. Departments or units should be encouraged to develop a  
812 comprehensive, flexible approach to teaching evaluation, where several types of  
813 evidence can be collected, presented and evaluated as a portfolio. Peers,  
814 administrators, and other appropriate judges also can offer useful insights about a  
815 faculty member's teaching performance. Peer evaluation, defined as a critical review  
816 by colleagues knowledgeable of the entire range of teaching activities, can be an  
817 important component of the university's teaching evaluation program since peers are  
818 often in the best position to interpret and understand the evidence and place in  
819 proper academic context. Data other than student feedback that provide relevant  
820 evidence of teaching effectiveness are described in "Effective Faculty Evaluation:  
821 Annual Salary Adjustment, Tenure and Promotion ([http://www.k-  
822 state.edu/provost/forms/EFE.pdf](http://www.k-state.edu/provost/forms/EFE.pdf))." Examples include: course materials such as  
823 reading lists, syllabi, and examinations; special contributions to effective teaching for  
824 diverse student populations; preparation of innovative teaching materials or  
825 instructional techniques; special teaching activities outside the university; exit  
826 interviews, and graduate interviews and surveys to obtain information about  
827 teaching effectiveness.

828  
829 **C34.3** A department or unit's policies and procedures may specify that submission of  
830 student feedback will be mandatory and further specify the student feedback  
831 system(s) to be employed for the purposes of making personnel recommendations  
832 concerning annual merit salary, reappointment, tenure, and promotion. In such  
833 instances, departmental procedures for administering student feedback forms or  
834 questionnaires should be standardized in order to minimize extraneous influences  
835 when results are compared within a department. Assistance with establishing such  
836 procedures is available from the Teaching and Learning Center.

837  
838 **C34.4** Regardless of the form or system used, the results or reports shall be  
839 returned only to the faculty member unless that individual has provided signed  
840 authorization to release the results to others. University policy requires that results  
841 of student feedback not be returned to faculty members until after the semester  
842 deadline for submitting grades. The only deviation from this procedure is the return  
843 of student feedback that are being used by a faculty member to develop mid-  
844 semester strategies for improvement; in these cases, the students must be informed  
845 that the results will be returned to the instructor before grades have been submitted.

846  
847 **C34.5** Some student feedback systems are designed primarily to help faculty  
848 members improve their teaching. Faculty members are encouraged to decide

849 individually what means are used to ascertain student views of their teaching in  
850 order to improve. Other student ratings systems are designed primarily to aid in the  
851 comparative evaluation of faculty members within a department for the purposes of  
852 making personnel recommendations concerning annual merit salary, reappointment,  
853 tenure, and promotion. Each department or unit's policies and procedures indicate  
854 the student feedback system(s) to be employed for the latter purposes. Faculty  
855 members are free to submit supplemental student views from instruments or other  
856 methods of their own choice.

857  
858 **C35** Confidentiality of documents. Faculty should not expect that their peer  
859 evaluations gathered from individuals at Kansas State University and at other  
860 institutions will be available to them, except in association with grievance proceeding  
861 (see Appendix G).

862  
863 These materials, along with other documents reflecting the peer review process will  
864 be retained by the dean of the college, as will the candidates' files submitted for  
865 promotion or tenure consideration. Where actual copies of books or other creative or  
866 scholarly works are submitted, these materials may be returned to candidates upon  
867 completion of the review process. Upon request of the candidate following the  
868 completion of the review process for tenure or promotion, the dean will have a  
869 detailed discussion with the candidate and provide a written summary of the  
870 information leading to the decision.

871  
872 **C36.1** Outside reviewers. Persons outside the university who are recognized for  
873 excellence in the candidate's discipline or profession may be asked to participate as  
874 reviewers in evaluations for tenure and promotion. Each reviewer should be provided  
875 a written description of the candidate's responsibilities during the period being  
876 evaluated and pertinent materials from the candidate's file. Because outside  
877 reviewers are most likely to be familiar with and able to judge a candidate's research  
878 and other creative endeavor and are likely to review only that area of performance,  
879 this aspect should be recognized and the review weighted accordingly.

880  
881 **C36.2** The value of outside reviews depends on the appropriate choice of objective  
882 reviewers. Comments from a candidate's major professor or graduate school  
883 classmates are generally less persuasive and should, as a rule, be avoided.

#### 884 **Other Considerations for Unclassified Professional Evaluations**

885  
886  
887 **C37** All evaluations of unclassified professionals should explicitly consider the  
888 position description for that employee in the assessment of annual performance.  
889 Understandably, any position description will possess a degree of generality and  
890 flexibility (i.e., "other duties as assigned") such that specific duties may be adjusted  
891 in accordance with the evolving needs of a department or unit. However, if a current  
892 position description is not on file with the appropriate unit, or if the current duties of  
893 the employee differ in important respects from the position description on file, a new  
894 position description should be developed in consultation with the employee as the  
895 basis for any valid evaluation.

896  
897 In regard to unclassified professional evaluations, the following recommendations are  
898 made:

- 899  
900 a. Annual evaluations should be stated in terms of expectations. The categories  
901 should include at least the following: "exceeded expectations," "met

902 expectations," "fallen below expectations but has met minimum acceptable  
903 levels of productivity," and "fallen below minimum acceptable levels of  
904 productivity." These categories should clearly reference the duties included in  
905 the position description.

906 b. Annual written evaluations should articulate the basis of the categorical rating  
907 assigned. This narrative should provide meaningful detail and/or guidance  
908 regarding how the employee might improve or maintain the assigned  
909 category of evaluation in the coming year.

910 c. At minimum, all annual evaluations of unclassified professionals should  
911 include a written evaluation and a meeting between the evaluating supervisor  
912 and the employee. In the spirit of continuous improvement for both the unit  
913 and the professional staff member, this meeting should further elaborate  
914 upon the written evaluation, explore goals for the coming year, provide an  
915 opportunity to ask questions, and offer clear recommendations for how to  
916 address any articulated deficiencies.

917  
918 **C37.1** Confidentiality of documents. When applicable, peers who are asked to  
919 participate in a review process for another employee should be able to provide  
920 confidential input. For that reason, unclassified professionals should not expect that  
921 peer evaluations gathered from individuals at Kansas State University and at other  
922 institutions will be available to them, except in association with grievance proceeding  
923 (see Appendix G). These materials, along with other documents reflecting a peer  
924 review process, will be retained by the relevant dean or equivalent administrator.  
925

### 926 **Tenure and Promotion Procedures for Department Heads/Chairs**

927  
928 **C38** Each college is responsible for establishing departmental procedures to follow  
929 when department heads/chairs are candidates for tenure or promotion. In these  
930 cases, all eligible faculty members within the particular department have the primary  
931 responsibility for judging the qualifications of a candidate, and the criteria and  
932 standards used must be the same as those established by the department for other  
933 faculty members.  
934

### 935 **Evaluation of Graduate Teaching Assistants**

936  
937 **C39** Graduate teaching assistants (GTAs) provide very valuable contributions to the  
938 missions of the university by participating in the instruction of undergraduate  
939 courses and in research and scholarly activities. GTAs' tasks may range from grading  
940 assignments to the instruction of one or more sections of courses under  
941 departmental supervision. When GTAs are involved in classroom teaching, their skills  
942 in communicating and interacting with students are important in the effective  
943 transfer of information. In order to assure high quality instruction, it is necessary  
944 that GTAs teaching for the first time at Kansas State University be assessed as to  
945 their instructional skills. Feedback from students in class is a valuable source for this  
946 information, and can be used for both improvement of skills and for management  
947 purposes by the department.  
948

949 Each academic department shall have or put into place procedures for obtaining  
950 student feedback on instructional skills of GTAs teaching for the first time at Kansas  
951 State University. Departments may use their own assessment and analysis

952 procedures, or adopt the procedures available through the Office of Assessment.  
953 These assessments should be conducted during lecture, recitation or laboratory  
954 sessions about three weeks after the beginning of the semester. As a minimum, this  
955 process should include (1) assessment of basic communication skills such as  
956 enunciation, clarity, and loudness; (2) assessment of interactive skills in responding  
957 to student questions; (3) assessment as to whether the lecture presentations are  
958 organized; (4) provision for feedback to the GTA and implementation of corrective  
959 measures when needed; (5) collection of normative data; and (6) provision for a  
960 follow-up assessment if serious concerns arise. The results of the assessment should  
961 be provided to the GTA, the professor-in-charge, department/unit head, and provost.  
962 The results should also be transmitted to the dean of the appropriate college when  
963 serious concerns are raised about the GTA's communication skills. When GTAs are  
964 unable to meet a basic standard of communication performance as specified in the  
965 departmental/Office of Assessment procedures, corrective action should be taken to  
966 remedy the situation.

967  
968 **C39.1** Disputes concerning graduate assistants' (GTA/GRA/GA) performance are  
969 employment matters that should be originated with the appointing department and  
970 be addressed through normal supervisory channels. The students should begin  
971 addressing the concern with the assigned supervisor of the assistantship and, if  
972 necessary, proceed to the department or unit head. If the matter is not resolved at  
973 the department or unit level, the student may present it to the Dean of the College in  
974 which the (GTA/GRA/GA) is employed. Formal grievance procedures do not apply to  
975 these appointments (see Appendix A of the Graduate Handbook [http://www.k-](http://www.k-state.edu/grad/graduate-handbook/appendixa.html)  
976 [state.edu/grad/graduate-handbook/appendixa.html](http://www.k-state.edu/grad/graduate-handbook/appendixa.html)).  
977

## 978 979 **Annual Evaluation and Merit Increases for Faculty and Professional Staff** 980

981 **C40** The evaluation will provide the basis for any merit pay increases in salary. See  
982 C30-C39 for additional guidance on evaluation processes.  
983

## 984 985 **C42 Evaluation period.** 986

987 The evaluation period will be the same for all individuals in the department/unit, with  
988 the possible exception of first year appointees and individuals who have been on  
989 leave for all or a part of the year. The unit's evaluation system will normally be  
990 based on performance during the 12-month evaluation period ending December 31.  
991 However, department/units may, on the basis of a majority vote choose any other  
992 12-month period for evaluation (e.g., the fiscal year from July 1 to June 30).  
993 Depending on its goals and objectives, a department/unit's evaluation system may  
994 include accomplishments that have occurred over a period of time longer than one  
995 year. The evaluation system also may specify that a rolling average of the person's  
996 annual evaluation results for several preceding years be used to determine relative  
997 salary recommendations to minimize inequities due to variable legislative actions  
998 from year to year. Faculty and unclassified professionals in such units will receive  
999 merit salary adjustments, if any, up to 12 months after the conclusion of the  
1000 evaluation period.

1001  
1002 **C42.1** For first-year appointees, units have the option of a) recommending an  
1003 increase based on the individual's evaluation (adjusted proportionally to encompass  
1004 the entire year), b) recommending an average increase, or c) recommending the

1005 larger of the above, since the length of time for evaluating performance was limited.  
1006 Such individuals are also eligible for salary adjustments on bases outside the annual  
1007 evaluation (e.g., market, equity).  
1008

1009 **C42.2** Faculty and unclassified professionals on leave. The unit may evaluate  
1010 individuals who were on sabbatical leave or other leave for a portion of the year on  
1011 the basis of their performance during the period of engagement in university  
1012 assignments, and, if so, merit recommendations should be consistent with this  
1013 evaluation (adjusted proportionally to encompass the entire year). If the leave was  
1014 for the entire year, the individual's average evaluation for recent years, not to  
1015 exceed six years, may serve as the basis of the merit increase recommendation.  
1016 Such individuals are also eligible for salary adjustments on bases outside the annual  
1017 evaluation.  
1018

### 1019 **Annual Evaluation of Administrators**

1020  
1021 Includes performance evaluations of all heads/chairs/directors/associate and  
1022 assistant deans and other unclassified professional administrative supervisors.  
1023

1024 **C43** Performance evaluations of all heads/chairs/directors/associate and assistant  
1025 deans and other administrative supervisors in academic and non-academic  
1026 departments/units are completed annually for merit increases. Individuals under  
1027 their direct supervision, as well as other faculty, unclassified professionals, university  
1028 support staff, and clientele as specified in the department's/unit's evaluation system,  
1029 may be asked to provide input identifying strengths, weaknesses and issues relevant  
1030 to the administrator's annual performance. (FSM 11/10/09 revisions) The method  
1031 used to collect feedback should be private and confidential, and the feedback shall be  
1032 anonymous to the individual being reviewed. An example of a method that may be  
1033 used to protect the privacy and confidentiality of those submitting annual evaluation  
1034 materials would be electronic surveys, available through the Office of Planning and  
1035 Analysis. Confidentiality and anonymity cannot be guaranteed, such as when safety,  
1036 security, or due process requires disclosure. Individuals also may choose to use  
1037 other methods to provide confidential feedback to the supervisor of the individual  
1038 being reviewed. A description of the five-year review process for administrators is  
1039 given in Section C159.

### 1040 **Responsibilities of Faculty and Unclassified Professionals Who Are Evaluated**

1041  
1042 **C45.1** Each faculty member will meet annually with the unit head to jointly establish  
1043 goals and objectives in research and other creative endeavors, teaching, extension,  
1044 and directed and non-directed service for the upcoming evaluation period and to  
1045 discuss their relative importance within the context of the unit's goals. Each  
1046 unclassified professional will meet annually with the unit head to jointly establish  
1047 goals and objectives for the year. For all faculty and unclassified professionals, these  
1048 goals and objectives should reflect the relative percentages of time and effort the  
1049 person plans to allocate to the appropriate areas in the upcoming period. It is  
1050 expected that the previous year's statement will be considered during the annual  
1051 evaluation and goal setting process. For faculty, the relative emphasis placed on  
1052 research and other creative endeavors, teaching, extension, and directed and non-  
1053 directed service may vary over the course of the person's career. For unclassified  
1054 professionals, major changes in duties and responsibilities (either in response to the  
1055 changing needs of the unit or in consideration of employee abilities) should be  
1056 discussed and reflected in an updated position description.

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**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 unclassified professional will review, and must have the opportunity to discuss, her or his written evaluation with the department head/chair or supervisor who prepared the evaluation. Before the unit head/chair submits it to the next administrative level, each faculty or unclassified professional employee 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 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. The statement of unresolved differences should be attached to and maintained with the evaluation.

#### **Responsibilities of Unit/Department Heads/Chairs**

**C46.1** The unit head/chair will prepare by January 31, a written evaluation for each faculty and professional staff person, whether full or part-time, regular or term. 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.

**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, unclassified employees have the opportunity to submit written statements of unresolved differences regarding their evaluations to the unit/department head/chair.

- 1109 **C46.4** The unit head/chair who prepared the evaluations must submit the following  
1110 items to the appropriate dean (or, for support units, the appropriate administrator):  
1111 (See schedule as published on the provost's web site at [http://www.k-](http://www.k-state.edu/provost/resources/dhmanual/master.html)  
1112 [state.edu/provost/resources/dhmanual/master.html](http://www.k-state.edu/provost/resources/dhmanual/master.html)).
- 1113 a. A copy of the evaluation system used to prepare the evaluations.
  - 1114 b. A written evaluation for each regularly appointed faculty or unclassified  
1115 professional employed for at least three months during the calendar year.
  - 1116 c. A recommended merit salary adjustment for each faculty member or  
1117 unclassified professional that should be based directly on the person's  
1118 evaluation.
  - 1119 d. Documentation (e.g., a statement signed by the individual evaluated)  
1120 establishing that there was an opportunity to examine the written evaluation  
1121 and to discuss with the evaluator the individual's resulting relative standing  
1122 for the purpose of merit salary increase in the unit.
  - 1123 e. Any written statements submitted by faculty or unclassified professionals of  
1124 unresolved differences regarding their evaluations.
  - 1125 f. Any recommendations for salary adjustments on bases outside of the annual  
1126 evaluation, together with documentation which supports these  
1127 recommendations.

#### 1128 **Responsibilities of Deans and Comparable Administrators**

- 1129 **C47.1** The dean/comparable administrator will review evaluation materials and  
1130 recommendations to ensure:
- 1131 a. merit evaluations are consistent with the criteria and procedures approved for  
1132 the unit,
  - 1133 b. merit salary recommendations are consistent with merit evaluations, and
  - 1134 c. recommendations for salary adjustments on bases outside of the annual  
1135 evaluations are adequately and rationally documented.

1136 **C47.2** A dean/comparable administrator who does not agree with recommendations  
1137 for merit salary increases made by a unit head/chair must attempt to reach  
1138 consensus through consultation. If this fails, the dean's/comparable administrator's  
1139 recommendation will be used. If any change has been made, the dean/comparable  
1140 administrator must notify, in writing, the individual of the change and its rationale.  
1141 Within seven working days after notification, such individuals have the opportunity to  
1142 submit written statements of unresolved differences regarding their evaluations to  
1143 the dean/comparable administrator and to the provost or appropriate vice president.  
1144 All statements of unresolved differences will be included in the documentation to be  
1145 forwarded to the next administrative level. All recommendations are forwarded to the  
1146 provost/appropriate vice president.

1147 **C47.3** The dean/comparable administrator should provide guidelines for making  
1148 salary adjustments on bases outside of the annual evaluation and for justifying these  
1149 requests through appropriate documentation. Approved requests are forwarded to  
1150 the provost/appropriate vice president.

1151 **C47.4** The dean/comparable administrator must forward to the provost/vice  
1152 president all salary recommendations and supporting documentation (written  
1153 evaluation; written statements of unresolved differences; recommended actions;  
1154 justifications for salary adjustments on bases outside the annual evaluation process).  
1155 (See schedule as published by the provost each October).

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1162 **Responsibilities of the President, Provost, and Vice Presidents**

1163

1164 **C48.1** The president/provost/vice president will review evaluation materials and  
1165 recommendations for those individuals reporting to them to ensure:

1166 a. the evaluation process was conducted in a manner consistent with the criteria  
1167 and procedures approved by the unit,

1168 b. merit salary recommendations are consistent with merit evaluations, and

1169 c. recommendations for salary adjustments on bases outside of the annual  
1170 evaluations are adequately documented.

1171

1172 **C48.2** If the president/provost/vice president does not agree with recommendations  
1173 for salary increases made by subordinate administrators, an attempt must be made  
1174 to reach consensus through consultation. If this fails, the president's/provost's/vice  
1175 president's recommendation will be used. The individual affected by the  
1176 disagreement must be notified by the president/provost/vice president, in writing, of  
1177 the change and its rationale.

1178

1179 **C48.3** The dean or appropriate vice president will issue to each continuing faculty  
1180 and/or unclassified professional individual a contract which includes the individual's  
1181 salary for the next fiscal year.

1182

1183 **Professorial Performance Award**

1184

1185 **C49.1** Significance of the Award. The Professorial Performance Award rewards strong  
1186 performance at the highest rank with a base salary increase in addition to that  
1187 provided for by the annual evaluation process. The Performance Award review is not  
1188 a form of promotion review. The Performance Award does not create a "senior"  
1189 professoriate. Furthermore, the Professorial Performance Award is neither a right  
1190 accorded to every faculty member at the rank of Professor, nor granted simply as a  
1191 result of a candidate's routinely meeting assigned duties with a record free of notable  
1192 deficiencies.

1193 **C49.2** Development and Revisions of the Professorial Performance Award Process.

1194 Departments develop their own mechanisms for review as for annual merit  
1195 evaluation. As is the case in merit review, responsibility for the evaluation of  
1196 materials involves personnel of any rank or several ranks. Each department will also  
1197 specify criteria according to which candidates qualify for the award according to its  
1198 own disciplinary standards of excellence. Nonetheless, all such criteria for the award  
1199 will adhere to the following guidelines: 1. The candidate must be a full-time  
1200 professor (either tenured or non-tenure-track) and have been in rank at Kansas  
1201 State University at least six years since the last promotion or Professorial  
1202 Performance Award; 2. The candidate must show evidence of sustained productivity  
1203 in at least the last six years before the performance review; and 3. The candidate's  
1204 productivity and performance must be of a quality comparable to that which would  
1205 merit promotion to professor according to current approved departmental standards.

1206 **C49.3** The Professorial Performance Award document must be approved by a  
1207 majority vote of the faculty in the department, by the department's administrative  
1208 head, by the dean and by the provost. Provision must be made for a review of the  
1209 document at least every five years as a part of the review of the procedures for  
1210 annual merit evaluation or whenever standards for promotion to full professor  
1211 change.

- 1212 **C49.4** Recommendations for the Professorial Performance Award will follow the  
1213 timeline associated with the annual evaluation review outlined in the University  
1214 Handbook.
- 1215 **C49.5** Responsibilities of Professorial Performance Award Candidates. Eligible  
1216 candidates for review compile and submit a file that documents her or his  
1217 professional accomplishments for at least the previous six years in accordance with  
1218 the criteria, standards, and guidelines established by the department. The  
1219 department head/chair, in conjunction with whatever mechanism departmental  
1220 procedures specify for the purposes of determining eligibility for the Professorial  
1221 Performance Award, will prepare a written evaluation of the candidate's materials in  
1222 terms of the criteria, standards, and guidelines established, along with a  
1223 recommendation for or against the award.
- 1224 **C49.6** Each candidate for the award will have the opportunity to discuss the written  
1225 evaluation and recommendation with the department head, and each candidate will  
1226 sign a statement acknowledging the opportunity to review the evaluation. Within  
1227 seven working days after the review and discussion, each candidate has the  
1228 opportunity to submit written statements of unresolved differences regarding his or  
1229 her evaluation to the department head/chair and to the dean. A copy of the  
1230 department head's/chair's written recommendation will be forwarded to the  
1231 candidate.
- 1232 **C49.7** The department head must submit the following items to the appropriate  
1233 dean:
- 1234 a. A copy of the evaluation document used to determine qualification for the  
1235 award,  
1236 b. Documentation establishing that there was an opportunity for the candidate to  
1237 examine the written evaluation and recommendation,  
1238 c. Any written statements of unresolved differences concerning the evaluation,  
1239 d. The candidate's supporting materials that served as the basis of adjudicating  
1240 eligibility for the award.
- 1241 **C49.8** Responsibilities of the Deans. The dean will review all evaluation materials  
1242 and recommendations to ensure that the evaluations are consistent with the criteria  
1243 and procedures established by the department for the Professorial Performance  
1244 Award.
- 1245 **C49.9** A dean who does not agree with recommendations for the Professorial  
1246 Performance Award made by a department head/chair must attempt to reach  
1247 consensus through consultation. If this fails, the dean's recommendation will be  
1248 used. If any change has been made to the department head's recommendations, the  
1249 dean must notify the candidate, in writing, of the change and its rationale. Within  
1250 seven working days after notification, such candidates have the opportunity to  
1251 submit written statements of unresolved differences regarding their evaluations to  
1252 the dean and to the provost. All statements of unresolved differences will be included  
1253 in the documentation to be forwarded to the next administrative level. All  
1254 recommendations are forwarded to the provost.
- 1255 **C49.10** Responsibilities of the Provost. The provost will review all evaluation  
1256 materials and recommendations to ensure that the evaluation process was conducted  
1257 in a manner consistent with the criteria and procedures approved by the unit.

1258 **C49.11** If the provost does not agree with recommendations for Professorial  
1259 Performance Awards made by subordinate administrators, an attempt must be made  
1260 to reach consensus through consultation. If this fails, the provost's decision will  
1261 prevail. The candidate affected by the disagreement must be notified by the provost,  
1262 in writing, of the change and its rationale.

1263 **C49.12** Basis and source of the award amount. The Professorial Performance Award  
1264 will be 8% of the average salary of all full-time faculty (instructor through professor  
1265 excluding administrators at those ranks). However, funding for the award cannot  
1266 come out of the legislatively-approved merit increment.

1267 **C49.13** Cost of Awards. In the event that financial conditions in a given year  
1268 preclude awarding the full amount as designated in C49.12, the provost shall in  
1269 concert with the vice president for administration and finance adopt a plan to phase  
1270 in the full award for all that year's approved candidates.

1271 **C49.14** Upon official notification from the Office of the Provost, the dean will  
1272 consolidate the Professorial Performance Award with salary increases resulting from  
1273 annual evaluation and issue the candidate a contract that includes the candidate's  
1274 salary for the next fiscal year. The Professorial Performance Award will become part  
1275 of the professor's base salary.

#### 1276 1277 **Reappointment: Faculty on Probationary Appointments**

1278  
1279 **C50.1** Definition. Faculty members on probationary appointments are evaluated  
1280 annually to determine whether or not they will be reappointed for another year.  
1281 Faculty members must be explicitly informed by the dean in writing of a decision not  
1282 to renew their appointments in accordance with The Standards of Notice of Non-  
1283 Reappointment. (See C162.3 ) These annual evaluations also serve as an  
1284 opportunity to provide feedback to a faculty member on probationary appointment  
1285 about his or her performance in comparison to the department's criteria and  
1286 standards for tenure.

1287  
1288 **C50.2** Reappointments that confer tenure are discussed in C70-C116.

1289  
1290 **C51** Departments' charge to establish criteria and standards. See C30-38: General  
1291 Issues of Faculty Evaluation. Copies of these criteria and standards are available to  
1292 faculty members in their departmental or unit offices.

1293  
1294 **C52** Candidate's responsibilities. The candidate compiles and submits documentation  
1295 of his or her professional accomplishments in accordance with the criteria, standards,  
1296 and guidelines established by the department.

1297  
1298 **C53.1** Departmental procedures. It is the responsibility of the department  
1299 head/chair to make the candidate's reappointment file available to all tenured faculty  
1300 members in the department and other eligible faculty as determined by departmental  
1301 policy. A cumulative record of written recommendations and accompanying  
1302 explanations forwarded to the candidate from previous reappointment meetings, and  
1303 any written comments from relevant individuals outside the department will also be  
1304 made available to the eligible faculty (See C53.2). As part of this process, the  
1305 department head/chair and the eligible faculty will meet at least fourteen calendar  
1306 days after the review documents are made available, to discuss the candidate's  
1307 eligibility for reappointment and progress toward tenure. Subsequent to this meeting

1308 there will be a ballot of the eligible faculty on reappointment of the candidate. Any  
1309 member of the eligible faculty may, prior to the submission of any recommendation  
1310 to the department head/chair, request the candidate meet with the eligible faculty to  
1311 discuss, for purposes of clarification, the record of accomplishment submitted by the  
1312 candidate.

1313  
1314 **C53.2** For individuals with appointments in more than one unit or department,  
1315 comments may be solicited from other eligible faculty members in the college or  
1316 university relevant to the assessment of the candidate's performance. In the case of  
1317 K-State Research and Extension faculty members or faculty members whose primary  
1318 responsibilities are in directed service (e.g., librarians and clinicians), the comments  
1319 of various clientele served may be solicited as part of the evaluation for  
1320 reappointment.

1321  
1322 **C53.3** The department head/chair will forward a letter which includes his/her  
1323 recommendation and the rationale for the recommendation and the faculty vote to  
1324 the dean, along with the candidate's complete file, the majority recommendation and  
1325 unedited written comments of each of the department's tenured faculty members.  
1326 The department head/chair will also meet with the candidate to discuss the separate  
1327 issue of the candidate's progress toward tenure. The department head's/chair's letter  
1328 alone will be made available to the candidate and will become part of the candidate's  
1329 reappointment file. (See C35 regarding confidentiality of peer evaluations.)

1330  
1331 **C54** College procedures. The dean, along with the recommendation of the  
1332 department head/chair and, on behalf of the college, forwards the letter to the  
1333 provost, and the majority recommendation and any written comments (unedited) of  
1334 the faculty members in the department. The candidate's complete file will be  
1335 available to the provost upon his/her request.

1336  
1337 **C55** University procedures. Final authority in resolving conflicting opinions regarding  
1338 reappointment is delegated to the provost.

1339  
1340 **C56** Notification of candidates. Candidates are informed of the college's  
1341 recommendation prior to the time that the file and recommendations are forwarded  
1342 to the provost.

#### 1343 1344 **Reappointment: Regular Non-Tenure Track Appointments**

1345  
1346 **C60** Definition. Faculty members on regular non-tenure track appointments (see  
1347 C10) are evaluated annually to determine whether or not they will be reappointed for  
1348 another year. These faculty members must be explicitly informed in writing of a  
1349 decision not to renew their appointments in accordance with The Standards of Notice  
1350 of Non-Reappointment. (See C162.3.)

1351  
1352 **C61** Departments' charge to establish criteria and standards. See C30-38: General  
1353 Issues of Faculty Evaluation. Copies of these criteria and standards are available to  
1354 faculty members in their departmental or unit offices. It must be clear that an  
1355 effective instructor on a regular appointment may not be denied reappointment in  
1356 order to avoid granting benefits.

1357  
1358 **C62** Candidate's responsibilities. The candidate compiles and submits documentation  
1359 of his or her professional accomplishments in accordance with the criteria, standards,  
1360 and guidelines established by the department.

1361  
1362 **C63.1** Departmental procedures. The department head/chair is responsible to make  
1363 the candidate's file available to the department faculty members who are eligible to  
1364 make recommendations. The department head/chair is advised by the eligible faculty  
1365 members of the department regarding the qualifications of the candidate for  
1366 reappointment. Any member of the eligible faculty may, prior to the submission of  
1367 any recommendations to the department head/chair, request that a candidate meet  
1368 with the eligible faculty to discuss, for purposes of clarification, the record of  
1369 accomplishment submitted by that candidate.  
1370  
1371 **C63.2** Comments may be solicited from other faculty members and department  
1372 heads/chairs in the college or university. In the case of extension faculty members or  
1373 faculty members whose primary responsibilities are Directed Service (e.g., librarians  
1374 and clinicians), the comments of various clientele served may be solicited as part of  
1375 the evaluation for reappointment.  
1376  
1377 **C63.3** The department head/chair forwards a written recommendation and  
1378 accompanying explanation to the dean, along with the candidate's complete file, and  
1379 the majority recommendation and written comments (unedited) of the departmental  
1380 faculty members.  
1381  
1382 **C64** College procedures. The dean, on behalf of the college, forwards a written  
1383 recommendation and accompanying explanation to the provost, along with the  
1384 candidate's complete file, the recommendations of the department head/chair, and  
1385 the majority recommendation and any written comments (unedited) of the faculty  
1386 members in the department.  
1387  
1388 **C65** University procedures. Final authority in resolving conflicting opinions regarding  
1389 reappointment is delegated to the provost.  
1390  
1391 **C66** Notification of candidates. Candidates are informed of the college's  
1392 recommendation prior to the time that the file and recommendations are forwarded  
1393 to the provost.  
1394  
1395 **Tenure**  
1396  
1397 **C70** Definition. Tenure is a continuous appointment that can be terminated only in  
1398 unusual circumstances and then only after due process has been accorded the  
1399 individual in question. See Appendix C for a discussion of the AAUP-AAC 1940  
1400 Statement of Academic Freedom and Tenure.  
1401  
1402 **Regents' Tenure Policy**  
1403  
1404 **C71** The Board of Regents adopted on April 18, 1947, the 1940 AAUP principles  
1405 governing tenure of faculty members. (At Kansas State University, the term teacher  
1406 as used in the following text is interpreted to refer to any member of the faculty.)  
1407  
1408 **C72** Section A: After the expiration of a probationary period, teachers or  
1409 investigators should have permanent or continuous tenure, and their services should  
1410 be terminated only for adequate cause, except in the cases of retirement for age,  
1411 program or unit discontinuance, or under extraordinary circumstances because of  
1412 financial exigencies. (Kansas does not have a mandatory retirement age for state  
1413 employees. State law prescribes that all appointments not under the State Civil

1414 Service shall expire with the end of the fiscal year on June 30. However, unless  
1415 previous notice has been given, all regular appointments of full-time faculty  
1416 members are automatically renewed.)

1417  
1418 **C73** Section B: In the interpretation of the principles contained in Section A of this  
1419 resolution, the following is approved by the Regents:

1420 The precise terms and conditions of every appointment should be stated in writing  
1421 and be in the possession of both institution and teacher before the appointment is  
1422 consummated.

1423  
1424 Beginning with appointment to the rank of full-time instructor or a higher rank, the  
1425 probationary period should not exceed seven years, including within this period full-  
1426 time service in all institutions of higher education; but subject to the provision that  
1427 when, after a term of probationary service of more than three years in one or more  
1428 institutions, a person is to be appointed as a faculty member at Kansas State  
1429 University, it may be agreed in writing that his/her new appointment is for a  
1430 probationary period of not more than four years, even though thereby the person's  
1431 total probationary period in the academic profession is extended beyond the normal  
1432 maximum of seven years; except, when the interest of both parties may best be  
1433 served by mutual agreement at the time of the initial employment, Kansas State  
1434 University may agree to allow for more than four years of probationary service  
1435 provided the probationary period at Kansas State University does not exceed seven  
1436 years. Notices should be given at least one year prior to the expiration of the  
1437 probationary period, if the teacher is not to be continued in service after the  
1438 expiration of that period. (See AAUP's Standards of Notice of Non-  
1439 Reappointment, Appendix A.)

1440  
1441 **C74** During the probationary period a teacher has the academic freedom that all  
1442 other members of the faculty have.

1443  
1444 **C75** Termination for cause of a continuous appointment or dismissal for cause  
1445 previous to the expiration of a term appointment shall, upon request of the faculty  
1446 member, be considered by the Grievance Chair and/or Panel, which will make  
1447 recommendations to the administration. In all cases where the facts are in dispute,  
1448 the accused teacher should be informed before the hearing in writing of the charges  
1449 against him/her and should have the opportunity to be heard in his/her own defense  
1450 by all bodies that pass judgment upon his/her case. He/she should be permitted to  
1451 have an advisor of his/her own choosing who may act as counsel. There should be a  
1452 full stenographic record of the hearing available to the parties concerned. In the  
1453 hearing of charges of incompetence the testimony should include that of teachers  
1454 and other scholars, either from his/her own or from other institutions. Teachers on  
1455 continuous appointment who are dismissed for reasons not involving moral turpitude  
1456 should receive their salaries for at least a year from the date of notification of  
1457 dismissal whether or not there is continuation in their duties at the institution. (At  
1458 Kansas State University, graduate assistants are not considered faculty and, as such,  
1459 formal grievance procedures for faculty do not apply to disputes regarding graduate  
1460 assistants' performance. See C39.1 and the Foreword to the University Handbook.)

1461  
1462 **C76** Termination of a continuous appointment because of financial exigency should  
1463 be demonstrably bona fide.

1464  
1465 **C77** Within this general policy Kansas State University may make such operating  
1466 regulations as it deems necessary, subject to the approval of the Board of Regents.

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**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 who are on tenure track appointments, 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.

**Kansas State University policy additions to Regents' Tenure Policy:**

The following additional details concerning tenure were adopted by Kansas State University from the AAUP Advisory Letter No.13 (AAUP Bulletin, Spring 1964).

**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 explained in the 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 non-reappointment 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" (AAUP Advisory Letter No.13, AAUP Bulletin, Spring 1964).

Other Considerations

**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

1520 period to assess the candidate's ability to contribute to the expertise expected of the  
1521 University's faculty as defined by his/her unit's criteria, standards, and guidelines  
1522 (See C31.1 - C31.3).  
1523

1524 **C82.2** Assistant professor. Tenure is not granted below the rank of associate  
1525 professor (effective July, 1994) except in special circumstances approved by the  
1526 provost. For persons appointed at the rank of assistant professor, the maximum  
1527 probationary period for gaining tenure and promotion to associate professor consists  
1528 of six (6) regular annual appointments at Kansas State University at a probationary  
1529 rank. In these cases, decisions of tenure must be made before or during the sixth  
1530 year of probationary service. Candidates not approved for tenure during the sixth  
1531 year of service will be notified by the appropriate dean that the seventh year of  
1532 service will constitute the terminal year of appointment.  
1533

1534 **C82.3** Associate professor and professor. For persons appointed at the rank of  
1535 associate professor or professor, the maximum probationary period for gaining  
1536 tenure consists of five (5) regular annual appointments at Kansas State University at  
1537 probationary ranks. Tenure decisions must be made before or during the fifth year of  
1538 probationary service. Candidates not approved for tenure during the fifth year of  
1539 service will be notified by the appropriate dean that the sixth year of service will  
1540 constitute the terminal year of appointment.  
1541

1542 **C82.4** Faculty members on probationary appointments who have met the criteria  
1543 and standards for tenure prior to the above maximum times may be granted early  
1544 tenure. Because candidates may be considered for tenure at any time during their  
1545 probationary period, no time credit shall be granted for service prior to employment  
1546 at Kansas State University.  
1547

1548 **C83.1** Faculty members on probationary, tenure-track positions may request a one  
1549 year delay of the tenure clock. Such a delay shall be granted to a faculty member  
1550 who is responsible for the care of a child five years of age or younger, or who adopts  
1551 a child of any age. Requests for a delay in the tenure clock for the above noted  
1552 reasons shall be made to the department or unit head who will forward the request  
1553 to the dean. The dean will forward the request to the provost who will grant the one  
1554 year delay.  
1555

1556 **C83.2** Faculty members on probationary, tenure-track positions may request a one-  
1557 year delay of the tenure clock (1) for a serious health condition: that is an illness,  
1558 injury, impairment, or physical or mental condition that involves inpatient care in a  
1559 hospital, hospice, or residential treatment facility, or continuing treatment by a  
1560 health care provider or (2) for the care of a household member, a parent, or a sibling  
1561 with a serious health condition: that is an illness, injury, impairment, or physical or  
1562 mental condition that involves inpatient care in a hospital, hospice, or residential  
1563 treatment facility, or continuing treatment by a health care provider. Common  
1564 illness, minor injuries, or minor surgeries that are not life threatening are excluded.  
1565 Requests for a delay in the tenure clock for the above noted reasons shall be made  
1566 to the department or unit head who will forward the request along with her/his  
1567 recommendation to the dean. The dean will forward the request along with his/her  
1568 recommendation and the recommendation of the department or unit head to the  
1569 provost, with whom the final decision rests.  
1570

1571 **C83.3** Faculty members on probationary, tenure-track positions may request a one-  
1572 year delay of the tenure clock when for programmatic reasons there is a substantial

1573 change in the probationary faculty member's assigned area(s) of responsibilities.  
1574 Requests for a delay in the tenure clock shall be made to the department/unit  
1575 head/chair who will present the request to the tenured faculty in the department/unit  
1576 for consideration. The head/chair will forward the request along with her/his  
1577 recommendation and the vote of the tenured faculty plus unedited faculty comments  
1578 to the dean. The dean will forward the request along with his/her recommendation,  
1579 the recommendation of the department/unit head/chair, and the faculty vote with  
1580 unedited comments to the provost, with whom the final decision rests.

1581  
1582 **C83.4** If a delay in the tenure clock is granted prior to the mid-probationary review,  
1583 the review will take place one year later than would have occurred without such a  
1584 delay. An individual granted a delay of the tenure clock shall not be subject to  
1585 additional scholarship, teaching, or service requirements above and beyond those  
1586 normally required.

1587  
1588 **C83.5** A request for delay of the tenure clock must be made within a reasonable  
1589 amount of time from the date of the event which would show cause for a delay of the  
1590 tenure clock.

1591  
1592 **C83.6** Delay of the tenure clock during the probationary period is limited to two one-  
1593 year delays.

1594  
1595 **C84** Years credited to probationary period. For the purposes of counting regular  
1596 annual appointments as part of the probationary period, a year is credited if the  
1597 individual is on a full-time (ten-tenths) appointment for at least eight months of an  
1598 academic year or is on an appointment of nine-tenths or more for the entire  
1599 academic year, or receives no less than eight-ninths of his or her salary for the  
1600 academic year. Individuals appointed at lesser levels do not count that year a part of  
1601 the probationary period. The summer session is not counted for those on academic  
1602 year (nine-month) appointments.

#### 1603 1604 **General Guidelines for Tenure**

1605  
1606 **C90** Purpose of tenure. The university uses a selective process in awarding tenure to  
1607 secure a faculty of the highest possible caliber. To be tenured, faculty members must  
1608 be experts in their chosen fields, and must have full academic freedom in pursuit of  
1609 ideas or inquiries without fear of censure or retribution.

1610  
1611 **C91** Evaluation and feedback. The university uses an extended probationary period  
1612 to provide opportunity to assess a candidate's ability to contribute to the expertise  
1613 and the versatility expected of the faculty at Kansas State University. Evaluation is  
1614 conducted annually and feedback provided in a timely manner to each faculty  
1615 member on a probationary appointment. See C50.1.

1616  
1617 **C92.1** Mid-probationary review. A formal review of a probationary faculty member is  
1618 conducted midway through the probationary period.  
1619 Unless otherwise stated in the candidate's contract, the mid-probationary review  
1620 shall take place during the third year of appointment. This review provides the  
1621 faculty member with substantive feedback from faculty colleagues and  
1622 administrators regarding his or her accomplishments relative to departmental tenure  
1623 criteria. Neither a positive nor negative mid-probationary review determines the  
1624 outcome of the tenure review process.

1625

1626 **C92.2** Procedures for the mid-probationary review are similar to procedures for the  
1627 tenure review and are established by the departmental faculty in consultation with  
1628 the department head/chair and the dean. The department head/chair is responsible  
1629 for making the candidate's mid-probationary review file available to the tenured  
1630 faculty members in the department at least fourteen calendar days prior to a  
1631 meeting to discuss the candidate's progress. A cumulative record of written  
1632 recommendations and accompanying explanations forwarded to the candidate from  
1633 previous reappointment meetings, and any comments from individuals outside the  
1634 department relevant to the assessment of the candidate's performance will also be  
1635 made available to the eligible tenured faculty. The department head/chair may  
1636 discuss the review and assessment of the tenured faculty members in the  
1637 department with the dean, and shall provide a letter of assessment to the candidate,  
1638 including a summary of faculty comments and suggestions. (See C35 regarding  
1639 confidentiality of peer evaluations). This letter of assessment and the faculty report  
1640 will become a part of the candidate's reappointment and mid-probationary review  
1641 file. The department head/chair will discuss the review and assessment with the  
1642 candidate. After receiving the assessment, the candidate has the right to submit a  
1643 written response for the file.

1644  
1645 **C92.3** Comments also may be solicited from students, and other relevant faculty  
1646 members in the college or university, and from outside reviewers. In the case of K-  
1647 State Research and Extension faculty members or faculty members whose primary  
1648 responsibility is directed service (e.g., librarians and clinicians), the comments of  
1649 various clientele served may be solicited as part of the evaluation for mid-  
1650 probationary review.

1651  
1652 **C92.4** College procedures. The candidate's mid-probationary review file as well as  
1653 other materials specified in C92.2, and a copy of the departmental criteria and  
1654 standards will be forwarded to the college advisory committee. C153.1 is  
1655 incorporated herein by reference as the evaluation procedure to be followed by the  
1656 college advisory committee. The dean will provide a letter of assessment to the  
1657 candidate that includes a summary of recommendations from the college advisory  
1658 committee.

1659  
1660 **C93** Final tenure recommendations. The provost is responsible for making final  
1661 tenure recommendations to the president.

## 1662 1663 **Standards for Tenure**

1664  
1665 **C100.1** General principles. There can be no simple list of accomplishments that,  
1666 when achieved, guarantee that a faculty member will obtain tenure. Instead, tenure  
1667 is granted. This action, taken by the Kansas Board of Regents, is based on the  
1668 assessment by the tenured faculty of the university that a candidate has made  
1669 outstanding contributions in appropriate academic endeavors. By granting tenure  
1670 only to such individuals, the continued excellence of the university is ensured.

1671  
1672 **C100.2** A reappointment conferring tenure is made after favorable consideration of  
1673 the qualifications and accomplishments of the candidate relative to departmental  
1674 tenure criteria.

1675  
1676 **C100.3** Tenure is neither a right accorded to every faculty member nor is tenure  
1677 granted simply as a result of a candidate's routinely meeting assigned duties with a  
1678 record free of notable deficiencies.

1679  
1680 **C100.4** The decision to grant or not grant tenure must not be based on the number  
1681 or percentage of faculty members who already have been granted tenure.  
1682  
1683 **C102** Departments' charge to establish criteria and standards. See C30-38: General  
1684 Issues of Faculty Evaluation. Copies of the criteria and standards for tenure are  
1685 available to faculty in their department documents ([http://www.k-](http://www.k-state.edu/provost/deptdocs/)  
1686 [state.edu/provost/deptdocs/](http://www.k-state.edu/provost/deptdocs/)).  
1687  
1688 **Procedures for Tenure Evaluation**  
1689  
1690 **C110** Timing. Recommendations for tenure are considered annually. Faculty  
1691 members in the final year of probation will be automatically reviewed for tenure  
1692 unless the faculty member resigns. A faculty member may request an early tenure  
1693 review. Ordinarily, this is done after consultation with the department head/chair and  
1694 the tenured faculty members in the department.  
1695  
1696 **C111** Candidate's responsibilities. The candidate compiles and submits a file that  
1697 documents her or his professional accomplishments in accordance with the criteria,  
1698 standards, and guidelines established by the department.  
1699  
1700 **C112.1** Departmental procedures. The department head/chair is advised by the  
1701 eligible tenured faculty members of the department regarding the qualifications of  
1702 the candidate for tenure. The department head/chair is responsible for making the  
1703 candidate's file and departmental tenure criteria documents available to eligible  
1704 tenured faculty members in the department at least fourteen calendar days prior to  
1705 the scheduled meeting date to discuss the candidate's petition. A cumulative record  
1706 of recommendations from the reappointment and mid-probationary review meetings,  
1707 and any outside reviews that have been solicited by the department head/chair will  
1708 also be made available to the eligible tenured faculty. (See also Secs. C35, C36.1,  
1709 C36.2, C37 and C38).  
1710  
1711 **C112.2** When appropriate, comments are solicited from students and from other  
1712 faculty members and department heads/chairs in the college or university. Outside  
1713 reviewers (see C36.1) recognized as leaders in the candidate's discipline or  
1714 profession may be asked to advise. When outside reviewers are used, an equal  
1715 number are usually selected by the candidate and the department head/chair.  
1716  
1717 **C112.3** Eligible tenured faculty members will individually review the candidate's file,  
1718 considering the department's criteria, standards, and guidelines for tenure, and will  
1719 then meet to discuss the candidate's petition. All recommendations and written  
1720 comments of eligible departmental faculty are forwarded to the department  
1721 head/chair.  
1722  
1723 **C112.4** Any member of the eligible faculty may, prior to the submission of any  
1724 recommendations to the department head/chair, request that the candidate meet  
1725 with the eligible tenured faculty to discuss, for purposes of clarification, the record of  
1726 accomplishment submitted by the candidate.  
1727  
1728 **C112.5** The department head/chair will forward a letter which includes his/her  
1729 recommendation, the rationale for the recommendation, and the faculty vote to the  
1730 dean. All recommendations and unedited written comments of the department's  
1731 eligible tenured faculty members and the candidate's complete file are also

1732 forwarded to the dean. A copy of the department head's/chair's letter alone is  
1733 forwarded to the candidate.

1734

1735 **C113 Procedures for tenure evaluation**

1736

1737 **C113.1** College Procedures. Each college will have an advisory committee to advise  
1738 the dean on candidates proposed for tenure and/or promotion. The faculty, dean,  
1739 and provost must approve the composition, procedures for selection of college  
1740 advisory committee members, and the procedures for the operation of the college  
1741 advisory committee (See C113.2). The composition, procedures for selection of the  
1742 college advisory committee, and the procedures for operation of the college advisory  
1743 committee may be reviewed any year at the request of the faculty, dean or the  
1744 provost, and must be reviewed at least once every five years.

1745

1746 **C113.2** A copy of the candidate's file and the departmental tenure criteria  
1747 documents will be forwarded to the college advisory committee. The committee's  
1748 specific charge is to assure that all applicable procedures have been followed and  
1749 that the department/unit in arriving at a recommendation did so by fairly applying  
1750 established criteria, standards, and guidelines for tenure (See C30.1-C31.4, C32.1-  
1751 C38). The committee, in advising the dean, will base its recommendation exclusively  
1752 on a comparison of the candidate's credentials with the criteria, standards, and  
1753 guidelines of the candidate's department. The committee will report its findings in  
1754 writing to the dean. The committee's report must specifically contain a statement as  
1755 to whether or not all applicable procedures were followed. The report must also  
1756 explain the rationale behind the committee's recommendation by providing a detailed  
1757 evaluation of the candidate's credentials with regard to how the candidate meets or  
1758 fails to meet the specific criteria, standards, and/or guidelines of the candidate's  
1759 department/unit. A minority committee report is required when the committee's  
1760 recommendation is not unanimous.

1761

1762 **C113.3** The dean, after consulting with the department head/chair and the college  
1763 advisory committee and after discussing his or her recommendations with the  
1764 head/chair and the committee, will submit his or her written recommendation to the  
1765 Deans Council accompanied by the recommendations and unedited written  
1766 comments of the department head/chair, the departmental faculty, and the college  
1767 advisory committee, and the departmental tenure criteria documents, no sooner  
1768 than seven calendar days following notification to the candidate (See C113.4). The  
1769 dean's recommendation and the recommendation of the college advisory committee  
1770 will be copied to the department head/chair and the candidate.

1771

1772 **C113.4** Notification to candidates. Candidates are informed of the college's  
1773 recommendations (See C113.3) prior to the time that the file and recommendations  
1774 are forwarded to the Deans Council. Candidates may withdraw from further  
1775 consideration for tenure by submitting to the dean a written request for withdrawal.  
1776 This must be done within seven calendar days following notification of the college's  
1777 recommendation. Withdrawal by a candidate who is in the final year of the  
1778 probationary period may be done only by formal resignation effective at the end of  
1779 the next academic year.

1780

1781 **C114.1** University tenure evaluation procedures. The Deans Council meeting will be  
1782 chaired by the senior dean (longest serving), and the provost will not be a party to  
1783 the discussions. The dean of the candidate's college will abstain from voting when  
1784 the council votes on the candidate, and will notify the candidate and the candidate's

1785 department head/chair of the council's vote. If the finding of the Deans Council  
1786 differs from those of the department and/or the college dean, written justification  
1787 must be provided as to how the candidate's credentials meet or fail to meet the  
1788 departmental criteria, standards, and/or guidelines, to the candidate, dean of the  
1789 candidate's college, and the department head/chair.  
1790

1791 **C114.2** If the finding of the Deans Council is to not grant tenure, the candidate may  
1792 appeal this decision to the provost within a period of fourteen calendar days of  
1793 receiving notification. If the provost concurs with the finding of the Deans Council to  
1794 not grant tenure, the candidate may file a grievance with the Grievance Chair (see  
1795 University Handbook, Appendix G).  
1796

1797 **C114.3** If the finding of the Deans Council is to grant tenure, the case is then  
1798 reviewed by the provost. If the provost does not concur with the finding of the Deans  
1799 Council, then the provost will offer to arrange a meeting with the candidate, the  
1800 senior dean, and a tenured faculty moderator mutually acceptable to the provost and  
1801 the candidate, within a period of fourteen calendar days of notification of provost's  
1802 decision. If no agreement is reached, then the provost will provide the candidate, the  
1803 department head/chair, the dean of the candidate's college, and the Deans Council,  
1804 written reasons for the decision. At that point, the candidate has the option to file a  
1805 grievance with the Grievance Chair.  
1806

1807 **C114.4** The provost will send his or her recommendation of the cases that are to be  
1808 granted tenure to the president. Decisions to deny tenure are not forwarded to the  
1809 president. When the provost's recommendation disagrees with that of the Deans  
1810 Council, the provost will provide a written explanation of her or his judgment to the  
1811 Deans Council, the dean, the department head/chair, and the candidate.  
1812

1813 **C115** The president has final authority for granting tenure. Candidates are notified of  
1814 the university's action when the provost's recommendation to grant tenure are  
1815 forwarded to the president.  
1816

1817 **C116.1** Interdisciplinary program faculty. Faculty members with appointments in  
1818 interdisciplinary programs will be evaluated for tenure in their disciplinary  
1819 departments in which the candidate holds majority appointment. The department  
1820 head/chair also must solicit input from the interdisciplinary program director as well  
1821 as the eligible tenured faculty members in the interdisciplinary program.  
1822 Departmental, college and university procedures as outlined in C110 to C115 shall be  
1823 followed. A copy of the department head's/chair's recommendation shall be provided  
1824 to the interdisciplinary program director.

1825 **C116.2** In the rare case when an appropriate disciplinary department cannot be  
1826 designated at the time of appointment, recommendations for tenure may come from  
1827 the formally designated eligible tenured faculty members within the interdisciplinary  
1828 program, provided that prior to the appointment the eligible tenured faculty of the  
1829 interdisciplinary program agree to provide this recommendation, and that the  
1830 appointment was approved by the dean(s) of the appropriate college(s) and provost.  
1831 The terms of the faculty appointment must be presented in writing and agreed to by  
1832 the appointee. Copies of the conditions for the appointment will be filed with the  
1833 interdisciplinary program director, respective dean(s) and provost.  
1834

## 1835 **Promotion in Rank**

1836

1837 **C120** Definition. Faculty members may expect to advance through the academic  
1838 ranks on the basis of demonstrated individual merit in relation to their association  
1839 with the university's mission and with their own disciplines. Each higher rank  
1840 demands a higher level of accomplishment.

1841  
1842 **C120.1** Promotion is based upon an individual's achievements related to the specific  
1843 criteria, standards, and guidelines developed by departmental faculty members in  
1844 consultation with the department head and the appropriate dean.

1845  
1846 **C120.2** Promotion to assistant professor reflects an acceptable level of achievement  
1847 and potential for excellence. Promotion to associate professor rests on substantial  
1848 professional contributions that reflect excellence in teaching, research and other  
1849 creative endeavor, directed service, or extension. Promotion to professor is based on  
1850 attainment of excellence in the assigned responsibilities of the faculty member and  
1851 recognition of excellence by all appropriate constituencies.

### 1852 1853 **General Guidelines for Promotion in Rank**

1854  
1855 **C130** Terminal degree requirements. A doctorate or other appropriate terminal  
1856 degree is a prerequisite for holding the rank of assistant professor, associate  
1857 professor, or professor. The provost maintains a list of appropriate terminal degrees  
1858 as recommended by the deans. There may be special cases in which  
1859 accomplishments or experience other than the terminal degree will allow promotion  
1860 to one of the professorial ranks. Such situations will be considered on an individual  
1861 basis.

1862  
1863 **C131** Time in rank. Although no explicit time in rank is required for promotion, the  
1864 median time for promotion at Kansas State University has been approximately six  
1865 years. Promotion may be granted earlier when the faculty member's cumulative  
1866 performance at rank clearly meets the standards for promotion.

1867  
1868 **C132** Promotion-related salary increases. Promotion in academic rank is recognition  
1869 by the university community of substantial achievement which deserves reward.  
1870 Promotion related increases in salary will be awarded at the university level and are  
1871 in addition to merit salary increase based on yearly evaluations. Salary increases for  
1872 promotion to associate professor and full professor will be a minimum of 15% of the  
1873 average salary of all university faculty members for the year preceding promotion.  
1874 Funds for these increases are to be from the unclassified salary adjustment pool for  
1875 faculty members and academic administrators. In years when no salary adjustment  
1876 pool exists, the funds will come from the same segment of the base budget and will  
1877 be repaid from the next readjustment pool.

### 1878 1879 **Standards for Promotion in Rank**

1880  
1881 **C140** General principles. Successful candidates for promotion will demonstrate  
1882 superior professional accomplishment and excellence in the performance of their  
1883 assigned duties. The assessment of a faculty member's performance upon which a  
1884 recommendation regarding promotion will be based must reflect the professional  
1885 expectations conveyed during annual evaluations.

1886  
1887 **C141** Departments' charge to establish criteria and standards. See C30-38: General  
1888 issues of faculty evaluation. Copies of the standards for promotion are available to

1889 faculty members in their department documents ([http://www.k-](http://www.k-state.edu/provost/deptdocs/)  
1890 [state.edu/provost/deptdocs/](http://www.k-state.edu/provost/deptdocs/)).

1891

## 1892 **Procedures for Evaluation Related to Promotion in Rank**

1893

1894 **C150** Timing. Recommendations concerning promotion are considered annually.

1895 Department heads/chairs are expected to notify faculty members regarding their  
1896 progress toward or readiness for promotion review.

1897

1898 **C151** Candidate's responsibilities. A faculty member, after consultation with the  
1899 department head/chair or appropriate departmental faculty, may request a review  
1900 for promotion. The candidate compiles and submits a file that documents his or her  
1901 professional accomplishments in accordance with the criteria, standards, and  
1902 guidelines established by the department (see C30.4).

1903

1904 **C152.1** Departmental procedures. Faculty members of the department who hold a  
1905 rank equal to or higher than the rank being sought by the candidate are eligible to  
1906 advise the department head/chair regarding the qualifications of the candidate for  
1907 promotion. Department heads/chairs are responsible for making the candidate's  
1908 promotion file and the departmental promotion criteria documents available to the  
1909 eligible faculty members at least fourteen calendar days prior to the scheduled  
1910 meeting date to discuss the candidate's petition. The promotion file shall in the main  
1911 provide a compilation of the candidate's professional accomplishments during tenure  
1912 in the current rank, and comments from other individuals relevant to the assessment  
1913 of the candidate's performance (See C152.2).

1914

1915 **C152.2** When appropriate, comments are solicited from appropriate students and  
1916 alumni, and from other faculty members and department heads/chairs in the college  
1917 or University. Outside reviewers (see C36.1) recognized as scholars or leaders in the  
1918 candidate's discipline or profession may be asked to advise. When outside reviewers  
1919 are used, an equal number are usually selected by the candidate and the department  
1920 head/chair.

1921

1922 **C152.3** Eligible faculty members individually review the candidate's file, considering  
1923 the department's criteria, standards, and guidelines for promotion, and then meet to  
1924 discuss the candidate's petition. All recommendations and written comments of  
1925 eligible departmental faculty are forwarded to the department head/chair.

1926

1927 **C152.4** Any member of the eligible faculty may, prior to the submission of any  
1928 recommendations to the department head/chair, request that a candidate meet with  
1929 the eligible tenured faculty to discuss, for purposes of clarification, the record of  
1930 accomplishment submitted by that candidate.

1931

1932 **C152.5** The department head/chair will forward a written recommendation letter  
1933 which includes the rationale for the recommendation to the dean and the vote of the  
1934 eligible faculty. All recommendations and unedited written comments of the  
1935 department's eligible faculty members and the candidate's complete file are also  
1936 forwarded to the dean. A copy of the department head's/chair's written  
1937 recommendation letter alone is forwarded to the candidate.

1938

1939 **C153.1** College procedures. Each college will have an advisory committee to advise  
1940 the dean on candidates proposed for promotion and/or tenure. The college faculty,  
1941 dean, and provost must approve the composition, procedures for selection of college

1942 advisory committee members, and the procedures for the operation of the college  
1943 advisory committee (See C153.2). The composition, procedures for selection of the  
1944 college advisory committee, and the procedures for operation of the college advisory  
1945 committee may be reviewed any year at the request of the faculty, dean or the  
1946 provost, and must be reviewed at least once every five years.

1947  
1948 **C153.2** A copy of the candidate's file and the departmental promotion criteria  
1949 documents will be forwarded to the college advisory committee. The committee's  
1950 specific charge is to assure that all applicable procedures have been followed and  
1951 that the department/unit in arriving at a recommendation did so by fairly applying  
1952 established criteria, standards, and guidelines that are specific for promotion to the  
1953 appropriate rank (See C30.1-31.4, C32.1- C38, and C141). The committee, in  
1954 advising the dean, will base its recommendation exclusively on a comparison of the  
1955 candidate's credentials with the criteria, standards, and guidelines of the candidate's  
1956 department. The committee will report its findings in writing to the Dean. The  
1957 committee's report must specifically contain a statement as to whether or not all  
1958 applicable procedures were followed. The report must also explain the rationale  
1959 behind the committee's recommendation by providing a detailed evaluation of the  
1960 candidate's credentials with regard to how the candidate meets or fails to meet the  
1961 specific criteria, standards, and/or guidelines for promotion to the petitioned rank in  
1962 the candidate's department/unit. A minority committee report is required when the  
1963 committee's recommendation is not unanimous.

1964  
1965 **C153.3** The dean, after consultation and discussion with the department head/chair  
1966 and college advisory committee, will submit his or her recommendation to the Deans  
1967 Council (subject to C153.4) accompanied by the recommendations and unedited  
1968 written comments of the department head/chair, the departmental faculty, and the  
1969 college advisory committee, and the departmental promotion criteria documents,  
1970 seven calendar days after notification to the candidate (See 153.4). The  
1971 recommendation of the dean and the recommendation of the college advisory  
1972 committee will be copied to the department head/chair and the candidate.

1973  
1974 **C153.4** Notification to candidates. Candidates are informed of the college's  
1975 recommendations prior to the time the file and recommendations are forwarded to  
1976 the Deans Council. Candidates may withdraw from further consideration for  
1977 promotion by submitting to the dean a written request for withdrawal. This must be  
1978 done within seven calendar days following notification of the college's  
1979 recommendation, and in this case the candidate's petition for promotion is not  
1980 forwarded to the Deans Council.

1981  
1982 **C154.1** University promotion evaluation procedures. The Deans Council meeting will  
1983 be chaired by the senior dean (longest serving), and the provost will not be a party  
1984 to the discussions. The dean of the candidate's college will abstain from voting when  
1985 the Council votes on the candidate, and will notify the candidate and the candidate's  
1986 department head/chair of the Council's vote. If the finding of the Deans Council  
1987 differs from those of the department and/or college dean, written justification must  
1988 be provided to the candidate, dean of the candidate's college, and the department  
1989 head/chair.

1990  
1991 **C154.2** If the finding of the Deans Council is to not grant promotion, the candidate  
1992 may appeal this decision to the provost within a period of fourteen calendar days of  
1993 receiving written notification. If the provost concurs with the finding of the Deans

1994 Council to not grant promotion, the candidate then has the option to file a grievance  
1995 with the Grievance Chair.

1996  
1997 **C154.3** If the finding of the Deans Council is to grant promotion, the case is then  
1998 reviewed by the provost. If the provost does not concur with the finding of the Deans  
1999 Council, then the provost will offer to hold a meeting with the candidate, the senior  
2000 dean (longest serving), and a tenured faculty moderator mutually acceptable to the  
2001 provost and the candidate, within a period of fourteen calendar days of notification of  
2002 provost's decision. If no agreement is reached, then the provost will provide the  
2003 candidate, the department head/chair, and the dean of the candidate's college, and  
2004 the Deans Council, written reasons for the decision. At that point, the candidate has  
2005 the option to file a grievance with the Grievance Chair.

2006  
2007 **C154.4** The provost will send his or her recommendation of the cases that are to be  
2008 granted promotion to the president. Decisions to deny promotion are not forwarded  
2009 to the president. When the provost's recommendation disagrees with that of the  
2010 Deans Council, the provost will provide a written explanation of her or his judgment  
2011 to the Deans Council, the dean, the department head/chair, and the candidate.

2012  
2013 **C155** The president has the final authority for granting promotion. Candidates are to  
2014 be notified when the provost's recommendation to grant promotions is approved by  
2015 the president.

2016  
2017 **C156.1** Interdisciplinary faculty. A tenured faculty member with appointment in an  
2018 interdisciplinary unit will be evaluated for promotion by the unit in which the  
2019 candidate is tenured. An untenured faculty member with an appointment in an  
2020 interdisciplinary unit will be evaluated for tenure and promotion by the unit in which  
2021 the candidate holds a majority appointment. The department head/chair also must  
2022 solicit input from the interdisciplinary program director as well as the eligible tenured  
2023 faculty members in the interdisciplinary program. Departmental, college, and  
2024 university procedures as outlined in C152, C153, and C154 shall be followed. A copy  
2025 of the department head's/chair's recommendation shall be provided to the  
2026 interdisciplinary program director.

2027 **C156.2** In the rare case when an appropriate disciplinary department cannot be  
2028 designated at the time of appointment, recommendations for promotion may come  
2029 from the formally designated eligible tenured faculty members within the  
2030 interdisciplinary program, provided that prior to the appointment the eligible tenured  
2031 faculty of the interdisciplinary program agree to provide this recommendation, and  
2032 that the appointment was approved by the dean(s) of the appropriate college(s) and  
2033 provost. The terms of the faculty appointment must be presented in writing and  
2034 agreed to by the appointee. Copies of the conditions for the appointment shall be  
2035 filed with the interdisciplinary program director, respective dean(s) and provost.

### 2036 **C157 Dean's Evaluation Procedures. Five-year comprehensive review**

2037

2038 **C157.1** During the fifth year of the dean's tenure, the provost will request that the  
2039 dean write a self-assessment of his/her activities for the past five years. In addition,  
2040 the provost will write a brief summary of the university administration's expectations  
2041 under which the dean has been operating. These expectations will be those agreed  
2042 upon by the provost and the dean.

2043 **C157.2** The formal process of the evaluation will be initiated by a letter from the  
2044 provost to the faculty and unclassified professionals of the college and other  
2045 personnel designated to provide input (e.g., students, classified staff, constituent  
2046 groups, etc.). This letter will initiate the formal process of the evaluation, explain the  
2047 process, state that an opportunity to provide feedback will be forthcoming, and note  
2048 that an advisory committee will be appointed. A summary of the university  
2049 administrative expectations under which the dean has been operating will be made  
2050 available to respondents.

2051 **C157.3** The provost will select and appoint an advisory committee. The advisory  
2052 committee selection process will involve consultation with the dean, elected faculty  
2053 senators, and a faculty council if the college has one. The committee will represent  
2054 each academic discipline or department, and reflect the gender and race diversity of  
2055 the college/unit to the extent practicable. As a general practice, only tenured faculty  
2056 and no more than one department head will serve on the advisory committee. With  
2057 the approval of the provost, the committee membership may be expanded by the  
2058 addition of representatives from non-faculty groups who are served by the college  
2059 (including students, unclassified professionals, classified staff, or clients of the  
2060 college). The announcement of the composition of the committee will be made after  
2061 the survey results have been collected.

2062 **C157.4** The provost will identify five references, external to the college, who have  
2063 knowledge of the dean's work in fund raising and alumni/constituent relations. The  
2064 references will be contacted by the provost and asked to provide a written summary  
2065 of the dean's performance as Dean at Kansas State University. Some of these  
2066 references will be in higher education, although others may be in related professional  
2067 disciplines. Both the dean and the advisory committee may provide suggested  
2068 references to the provost, according to a timeline established by the provost.

2069 **Development and distribution of the survey**

2070  
2071 **C157.5** The template for the dean's evaluation survey should be consistent across  
2072 the university. The dean and advisory committee may propose relevant questions to  
2073 be added to the survey instrument to better fit the specific dean being evaluated.  
2074 The provost will have the final approval of the questions to be included in the survey  
2075 instrument that is administered for a specific dean. The survey instrument,  
2076 collection of data, and analysis of data will protect the privacy and confidentiality of  
2077 respondents. The survey instrument will include a clear statement that the summary  
2078 of the numerical data and comments will be shared with the dean. The provost will  
2079 empower the Office of Planning and Analysis or other appropriate unit to distribute  
2080 the materials for confidential feedback. The method shall provide opportunity for  
2081 input on performance relative to established missions and goals, and focus on the  
2082 overall effectiveness of and confidence in the dean. The method used to collect  
2083 feedback shall be private and confidential, and the feedback shall be anonymous to  
2084 the dean being reviewed. However, absolute confidentiality and anonymity cannot  
2085 be guaranteed, such as when safety, security or due process requires disclosure.  
2086 The Office of Planning and Analysis or the other appropriate unit will collect the  
2087 results. Individuals also may choose to use other reasonable methods to provide  
2088 confidential feedback to the provost.

2089 **C157.6** Written comments will be compiled, protecting respondent confidentiality.  
2090 Prior to being finalized, the provost will review and retain all written comments.  
2091 Comments unrelated to the professional evaluation of the dean will not be included

2092 in the results, but will be subject to inquiry by the provost at his or her discretion.  
2093 The results will be summarized by the Office of Planning and Analysis or other  
2094 appropriate unit.

2095 **Responsibilities of the Advisory Committee**

2096  
2097 **C157.7** The provost will charge the advisory committee and provide a timeline for  
2098 reviewing the data and preparing the report and recommendations. Each advisory  
2099 committee member will receive a copy of the final composite of the results, a copy of  
2100 each letter of reference, the summary of the expectations of the university  
2101 administration under which the dean has been operating, the self-assessment by the  
2102 dean, including goals and objectives provided to the provost in previous years, and  
2103 evaluation materials from other relevant groups identified in Section C157.3.

2104 **C157.8** The advisory committee will write a draft report for the provost, which  
2105 summarizes strengths, weaknesses, and issues of substance which need to be  
2106 addressed. A draft copy of this report will be provided to the dean along with a copy  
2107 of the final composite of the results and written comments. Prior to the committee  
2108 drafting its final report to the provost, the dean will have an opportunity to respond  
2109 to the committee in writing to clarify misconceptions and provide further relevant  
2110 information. After due consideration of any responses from the dean, the committee  
2111 will produce a final copy of the report for the provost with an overall  
2112 recommendation for appointment or non-reappointment to a subsequent five-year  
2113 term and will forward any response from the dean to the provost. The final report  
2114 shall be signed by all committee members including the chair allowing for special  
2115 provisions for missing signatures when a committee member is unavailable to sign.  
2116 In the case that a minority report is deemed necessary, the report and its content  
2117 should be disclosed to all committee members including the chair. The minority  
2118 report shall be submitted at the same time as the final report. A separate letter from  
2119 the committee to the provost will contain the number of votes of the advisory  
2120 committee members for or against the reappointment of the dean. No identification  
2121 of any individual votes will be included. Following the receipt of the report and prior  
2122 to the final determination by the provost as to reappointment or non-reappointment,  
2123 the advisory committee will have the opportunity to meet with the provost, discuss  
2124 the survey results, and the vote of the committee on the recommendation.

2125 **C157.9** Absolute confidentiality is expected from the committee members  
2126 concerning all evaluation materials, committee deliberations, and final  
2127 recommendations. Confidentiality for committee members is a matter of both ethics  
2128 and policy.

2129 **C157.10** The committee's recommendations are advisory in nature. The final  
2130 decision resides with the provost subject to the approval of the president. If the  
2131 provost's decision as to reappointment is contrary to a recommendation from a  
2132 majority of the committee, he or she will meet with the committee members to  
2133 explain the reasons for not accepting the committee's recommendations.

2134 **C157.11** The provost will meet with the faculty of the college to announce the  
2135 outcome and discuss relevant issues.

2136  
2137 **Mid-appointment feedback**

2138 **C158.1** In the second or third year of a dean's initial appointment, the dean may  
2139 elect to initiate a feedback mechanism. The Office of Planning and Analysis may  
2140 serve as a resource to assist in the process.

2141 **C158.2** The intent of the feedback is to reinforce positive endeavors of the college  
2142 and/or dean, to help clarify the mission and direction of the college, to help clarify  
2143 the college's role in the university and the relationships with external support or  
2144 professional organizations, to help identify areas where the dean may want to focus  
2145 more attention, and to assist the dean in self-assessment.

2146 **C158.3** At the option of the dean he or she may choose to share the results of the  
2147 feedback with the provost and/or selected faculty members.

### 2148 **Administrative Assignments and Five-Year Comprehensive Reviews**

2149  
2150  
2151 **C159.1** The term of office of department/unit heads, associate deans, and assistant  
2152 deans holding faculty rank, and having supervisory or budgetary authority (referred  
2153 to as academic administrators for purposes of clarity) will be specifically determined  
2154 at the time of the administrative assignment, but shall not exceed five years.  
2155 Individuals in these positions serve at the pleasure of the dean who determines  
2156 whether annual reappointment is appropriate. These academic administrators are  
2157 eligible for renewal of the administrative assignment period of up to five years. To  
2158 continue in the administrative assignment, the administrator should have the support  
2159 of the majority of the faculty, unclassified professionals, and other staff under  
2160 his/her supervision.

2161  
2162 **C159.2** The dean shall consider the reappointment of an administrative assignment  
2163 with supervisory or budgetary authority to an additional term only after the  
2164 establishment of an advisory council and a review.

2165  
2166 **C159.3** During the final year of the academic administrator's term, the dean will  
2167 send a letter to all individuals who work under the supervision of this academic  
2168 administrator. This letter will initiate the formal process of the evaluation, explain the  
2169 process, state that an opportunity to provide feedback will be forthcoming, and note  
2170 that an advisory committee will be appointed. The dean will provide a summary of  
2171 the academic administrator's job expectations to those providing input. The dean and  
2172 the academic administrator will confer and reach agreement on the job summary.  
2173 Potential respondents will include faculty with tenure and on tenure track, regular  
2174 instructors, unclassified professionals, and all other staff within the group being  
2175 served. If requested by the academic administrator, and agreed to by the dean,  
2176 evaluation materials can be collected from other groups (e.g., students, constituent  
2177 groups, etc.).

2178  
2179 The dean of the college will request that the academic administrator write a self-  
2180 assessment of his/her activities since initial administrative assignment or last re-  
2181 appointment.

2182  
2183 **C159.4** To solicit and document the feedback of the group served, the Office of  
2184 Planning and Analysis or another group (e.g., administrative support staff)  
2185 empowered by the dean, shall develop a secure survey instrument that protects the  
2186 privacy and confidentiality of respondents. The survey shall provide for narrative  
2187 comments, ratings of specific performance areas listed on the self-evaluation, unit-  
2188 specific performance areas, and a final question/statement addressing the possibility

2189 of reappointment in the administrative assignment. The method used to collect the  
2190 feedback shall be private and confidential, and the feedback shall be anonymous to  
2191 the individual being reviewed. However, absolute confidentiality and anonymity  
2192 cannot be guaranteed, such as when safety, security or due process requires  
2193 disclosure. The Office of Planning and Analysis or other appropriate group will collect  
2194 the results. Individuals also may choose to use other methods for providing  
2195 confidential feedback to the supervisor of the individual being reviewed. .  
2196  
2197 **C159.5** After the materials have been administered, the dean will request that the  
2198 group served recommend a list of faculty, unclassified professionals, and other staff  
2199 members to serve on the academic administrator’s reappointment advisory  
2200 committee. The dean will review the list, then select a representative committee.  
2201 Students, alumni, and representatives of other university-related groups may also be  
2202 named as members of the reappointment advisory committee.  
2203  
2204 **C159.6** The reappointment advisory committee shall keep the faculty, unclassified  
2205 professionals, and other staff of the group being served regularly informed of the  
2206 status of the review. The feedback results will be summarized by the administrative  
2207 support staff. Written comments will be transcribed and compiled, protecting  
2208 respondent confidentiality. The data will be compiled and presented so that the  
2209 summary and other statistics will be standard outputs, along with an anonymous  
2210 listing of the narrative comments. Comments unrelated to the professional  
2211 evaluation of the administrator will not be included in the results, but will be subject  
2212 to inquiry by the dean at his/her discretion. A summary of respondents’ input will be  
2213 provided to the committee for its report to the dean.  
2214  
2215 **C159.7** The reappointment advisory committee will write a report to the dean, which  
2216 summarizes strengths, weaknesses, and issues of substance that need to be  
2217 addressed. The committee will make a recommendation for appointment or non-  
2218 reappointment of the administrative assignment. A draft copy of this report will be  
2219 provided to the academic administrator being reviewed. The academic administrator  
2220 can, if he or she desires, respond to the committee in writing concerning the draft  
2221 report. After due consideration of any responses, the committee will produce a final  
2222 copy of the report and an advisory recommendation and will forward any responses  
2223 from the academic administrator to the dean.  
2224  
2225 **C159.8** Confidentiality is expected for the committee members concerning all  
2226 evaluation materials, committee deliberations, and final recommendations.  
2227 Confidentiality for committee members is a matter of both ethics and policy.  
2228  
2229 **C159.9** To be reappointed, the administrator should have the support of the  
2230 majority of the faculty, professional staff, and other staff under his/her supervision  
2231 who responded to the request for feedback, as well as the concurrence of the dean.  
2232 The dean shall consider the advisory committee’s recommendation before  
2233 reappointing an administrative assignment. If the dean makes a reappointment  
2234 decision that is against the wishes of a majority of the faculty and staff, the dean will  
2235 schedule a meeting with the group being served and the next higher-level  
2236 administrator to give a rationale for the reappointment and an opportunity to  
2237 respond to his/her decision.  
2238  
2239 **C159.10** Those departments who elect a chair follow the departmental internal  
2240 evaluation procedures.  
2241

2242 **Other Unclassified Professional Administrators**

2243

2244 **C159.11** Includes all directors and other unclassified professional administrative  
2245 supervisors not specified in C159.1

2246

2247 At least once every five years, the responsible dean, vice provost, vice president,  
2248 provost or president, depending upon the department's/unit's reporting structure,  
2249 will issue a request for input from individuals regarding the performance of their  
2250 department/unit administrator(s). To solicit and document the feedback of the group  
2251 served, the Office of Planning and Analysis or another group (e.g., the administrative  
2252 support staff) shall develop a survey instrument that protects the privacy and  
2253 confidentiality of respondents. The survey shall provide for narrative comments,  
2254 ratings of specific performance areas listed on the self-evaluation, unit-specific  
2255 performance areas, and a final question/statement addressing the possibility of  
2256 reappointment. Examples of methods that may be used to protect the privacy and  
2257 confidentiality of those submitting responses to five-year evaluation materials  
2258 include electronic surveys or surveys submitted to a third party in Human Resources  
2259 or the Planning and Analysis Office. The designated group will collect the results, and  
2260 the feedback shall be anonymous to the individual being reviewed. However,  
2261 absolute confidentiality and anonymity cannot be guaranteed, such as when safety,  
2262 security or due process requires disclosure. Individuals also may choose to use  
2263 other methods to provide confidential feedback to the supervisor of the individual  
2264 being reviewed. These guidelines follow the unit/department head's/chair's review  
2265 process outlined in C159.4.

2266

2267 **Termination of Services**

2268

2269 **C160.1** General standards for non-reappointment. The Kansas Board of Regents has  
2270 adopted The Standards of Notice of Non-Reappointment set forth by the American  
2271 Association of University Professors in the autumn of 1964. (See Appendix A. Also  
2272 see AAUP Statement on Academic Freedom and Tenure, Appendix C.)

2273

2274 **C160.2** Non-reappointment in the case of financial exigency should not be  
2275 interpreted as a reflection on the quality of the individual faculty member's  
performance.

2276

2277 **C160.3** The termination for cause of faculty on continuous appointments and non-  
2278 tenured faculty, who have been appointed on contract for a specified term, before  
2279 the expiration of that term, shall be reviewed in accordance with the procedure  
described in C75.

2280

2281 **C161.1** Reasons for dismissing faculty and unclassified professionals. Any faculty  
member or unclassified professional may be recommended for dismissal for:

2282

2283

2284

2285

2286

- Professional incompetence
- Misconduct or unethical behavior
- Persistent violation of university rules and/or policy
- Bona fide financial exigency (See C162.4 and Appendix B.)
- Program discontinuance (See C162.5 and Appendix K.)

2287

2288

2289

**C161.2** Tenured faculty members who are dismissed for reasons other than  
misconduct or unethical behavior, or financial exigency, shall be given written notice  
by the university 12 months in advance of their separation. Financial exigency has

2290 been broadly defined by the Kansas Board of Regents (Appendix B) with detailed  
2291 procedures to be defined by each of the Regents' institutions.

2292 **C162.1** Dismissing faculty holding tenure. Termination of employment of a tenured  
2293 faculty member, other than by voluntary resignation or retirement, is extremely  
2294 rare. In such case the university upholds both the letter and the spirit of the tenure  
2295 principle of the AAUP (Appendix C).

2296 **C162.2** Faculty members with tenure who are dismissed have a right to a formal  
2297 hearing under the procedures stated in the Kansas Board of Regents policy on  
2298 tenure. (See C71-78.) In cases of dismissal for cause, the Procedure for Review of  
2299 Dismissal of Tenured Faculty in Appendix M will be followed. In cases of dismissal for  
2300 reasons of financial exigency the procedures in Appendix B will be followed. In cases  
2301 of dismissal for reasons of program discontinuance, the procedures of Appendix  
2302 K will be followed.

2303  
2304 **C162.3** For faculty members whose services are to be terminated before tenure is  
2305 attained, written notice shall be given to them by the dean of their college, according  
2306 to the following schedule: A faculty member on a regular appointment who has been  
2307 employed less than one year shall be notified by March 1 if services are to be  
2308 terminated at the end of that academic year. The intent here is to provide at least a  
2309 six-month evaluation period for the faculty member newly appointed at the  
2310 beginning of the academic year. Accordingly, persons who are appointed at mid-year  
2311 (that is, January or February) must also be notified by March 1 of the following  
2312 calendar year if not reappointed for the next academic year. A faculty member on a  
2313 regular appointment employed for more than one year shall be given the same  
2314 written notice by December 15 if services are to be terminated at the end of that  
2315 academic year. Any time after December 15, a faculty member on a regular  
2316 appointment employed one or more years shall be given the same written notice at  
2317 least 12 months before the expiration of an appointment. If the faculty member is  
2318 not to be continued in service beyond the expiration of the probationary period,  
2319 notice shall be given at least one year prior to the expiration of the probationary  
2320 period. Appointments designated as term teaching faculty do not require notification  
2321 of non-reappointment.

2322  
2323 **C162.4** A formal plan to be used in the event financial exigency necessitates the  
2324 dismissal of tenured faculty members is contained in Appendix B.

2325  
2326 **C162.5** A formal plan to be used in the event program discontinuance necessitates  
2327 the dismissal of tenured faculty members is contained in Appendix K.

### 2328 2329 **Continued Employment for Administrative Appointees**

2330  
2331 **C170.1** Individuals may be appointed to regular appointments or to term  
2332 appointments. A regular appointment is typically made when the need and the funds  
2333 for the position are expected to continue for the foreseeable future. A regular  
2334 appointment is made to a budgeted position. A term appointment is typically used  
2335 when the need or funding for the position is finite and is for a specified term, usually  
2336 not longer than one year. A term appointment carries no expectation of continued  
2337 employment beyond the period stated in the contract. Term appointments can be  
2338 made to either budgeted or non-budgeted positions.  
2339

2340 **C170.3** Persons holding regular or term unclassified professional appointments may  
2341 be terminated without cause, provided that notice is given according to the schedule  
2342 below. This notice is called notice of non-reappointment.

2343 During the first year of service, the individual must be notified by March 1 if  
2344 he/she will not be reappointed for the next fiscal year. During the second  
2345 year, notification of the non-reappointment for the next fiscal year must be  
2346 made by December 15. Thereafter, the individual must be provided 12  
2347 months' notice if he/she will not be reappointed. (The first year of service  
2348 ends with the fiscal year in which the individual was first appointed, unless  
2349 the date of the appointment was after September 30. For those whose initial  
2350 appointment was effective after September 30, the "first year" ends with the  
2351 fiscal year after the year of appointment. However, in no case shall more than  
2352 12 months' notice be required.)

2353  
2354 All appointments to term positions will be temporary appointments ending at  
2355 or before the end of the term. Should need or money for the position be  
2356 extended, a new term may be established with the approval of the provost. In  
2357 such instances, the incumbent may be appointed for the new term or a  
2358 portion thereof without the position being declared open for initiation of a  
2359 search process.

2360

2361

### 2362 **Bargaining Unit for Unclassified Employees**

2363

2364 **C180** In accordance with the laws of the State of Kansas, the potential bargaining  
2365 unit for Kansas State University unclassified employees has been determined by the  
2366 Public Employees Relations Board (PERB) on December 20, 1982, to be as follows:  
2367 The appropriate bargaining unit for unclassified personnel at Kansas State University  
2368 shall include:

- 2369 1. All unclassified faculty with the academic rank of research assistant, research  
2370 associate, assistant instructor, instructor, assistant professor, associate  
2371 professor, and professor if engaged five-tenths time or more in teaching,  
2372 research, or extension;
- 2373 2. Support unit personnel except physicians working in Lafene Health Center,  
2374 and shall exclude:

2375 A. Unclassified employees as stipulated: academic directors, associate  
2376 directors, assistant directors; department heads; part-time employees  
2377 (less than five-tenths time); temporary, visiting or adjunct employees  
2378 and appointees; all students, including graduate teaching assistants,  
2379 graduate research assistants, and graduate assistants; university  
2380 officials, including the president, assistants to the president,  
2381 administrative assistants to the president, provost, associate provost,  
2382 assistant provost, vice presidents, associate vice presidents, assistant  
2383 vice presidents, assistants to vice presidents, deans, associate deans,  
2384 assistant deans, assistants to deans, controller, associate controller,  
2385 assistant controller, registrar, associate registrar, assistant registrar,  
2386 university attorney, branch station superintendents, area directors of  
2387 extension;

2388 B. County extension agents;

2389 C. Physicians working in Lafene Student Health Center.

2390 (The complete text of the PERB order is on file in Human Capital Services and in the  
2391 Faculty Senate Office.)

2392

2393 **Administrative Appeals and Grievance Resolution**

2394

2395 **C190** (Deletion, POD 4/27/12)

2396

2397 **Grievance Resolution**

2398

2399 C191 (Deletion, POD 4/27/12)

2400

2401 **Ombudsperson**

2402

2403 **C192** Appointment and Term

2404 On the recommendation of the Faculty Senate President, the Faculty Senate  
2405 Executive Committee shall appoint, three ombudspersons. Candidates for the  
2406 ombudspersons shall have service qualifications that demonstrate knowledge of  
2407 university structure and operations, such as service on Faculty Senate or the General  
2408 Grievance Board. Faculty candidates shall have attained tenure in their respective  
2409 departments. Unclassified professional candidates shall be on regular appointments.  
2410 People in positions of line authority (e.g., department heads/chairs, deans, and some  
2411 directors) shall not be appointed. The ombudspersons should not serve in additional  
2412 roles within the university that would compromise their ability to be perceived as  
2413 unbiased. Any qualified person wishing to be considered for an ombudsperson  
2414 appointment may contact the Faculty Senate President.

2415

2416 Each ombudsperson shall serve a three-year term, which shall begin the first day of  
2417 each fall semester, and shall be listed as ombudsperson in the annual list of all-  
2418 university appointments and the Campus Directory. Reappointment to a second  
2419 consecutive term should take place only in exceptional circumstances, the basis of  
2420 which will be explained by the Faculty Senate President to the Faculty Senate prior to  
2421 the appointment. Terms of the ombudspersons will be staggered. Ombudspersons  
2422 who are unable or unwilling to adhere to **C194** are subject to immediate  
2423 replacement at the discretion of the Faculty Senate Executive Committee. If for any  
2424 reason an ombudsperson cannot complete a term, the term of the replacement will  
2425 be for the balance of the original term.

2426

2427 **C193** Recognition and Training

2428 Service as ombudsperson shall be given appropriate consideration as part of the  
2429 ombudsperson's responsibility during the term of appointment; the department head  
2430 or functional equivalent shall ensure that service as ombudsperson shall be given  
2431 consideration in decisions affecting assignments, salary, and promotion. The  
2432 ombudsperson shall receive released time or be compensated in some other fashion.  
2433 Expectations are that early in the term of an ombudsperson's appointment,  
2434 opportunities will be provided by the university for the ombudsperson to receive  
2435 supplemental preparation that may enhance his/her ability to be successful in the  
2436 functions and responsibilities of an ombudsperson. Beyond conferring with current  
2437 and former ombudspersons, such preparation shall include attending seminars,  
2438 workshops, and meetings. The university will pay for the costs involved with the  
2439 ombudsperson belonging to The Ombudsman Association or an equivalent  
2440 organization, during the ombudsperson's term.

2441

2442 **C194** Functions and Responsibilities The ombudsperson's role is to facilitate a  
2443 confidential, unbiased, and informal process to resolve concerns and disputes that  
2444 arise within the university. The ombudsperson is an information, communication, and

2445 referral resource available to the faculty and unclassified professionals who seek  
2446 service on a voluntary basis.  
2447 With exception(s) as specified in the University Handbook, the university recognizes  
2448 and the ombuds will follow the Code of Ethics 1985 of the Ombudsman Association,  
2449 <http://www.ombudsassociation.org/>  
2450  
2451 Ombudspersons are not mediators, arbitrators, or advocates for any person or  
2452 position. Ombudspersons are advocates for fair processes and fair administration.  
2453 While individuals are responsible for choosing a particular resolution, the  
2454 ombudsperson may help develop options to resolve problems and/or facilitate  
2455 discussion designed to identify agreeable options to resolve a dispute.  
2456 Ombudspersons will exercise the responsibilities of their position with objectivity and  
2457 impartiality, and will consider the concerns of all parties involved in a dispute. All  
2458 communications with the ombudsperson(s) are confidential and they will not be  
2459 expected to testify in any formal process inside or outside the university.  
2460  
2461 At the request or permission of the grievant, an ombudsperson shall provide  
2462 information about the grievance process at issue and help walk the grievant through  
2463 the initial stages of the grievance process. If requested by the grievant, the  
2464 ombudsperson may also contact the administrator(s) involved to inquire as to the  
2465 possibility of a resolution of the matter before a formal grievance hearing begins. The  
2466 ombudsperson shall have access to anyone in the university including the president.