

Grain Science & Industry

Department

Agriculture

College

Policy Statement Concerning:

Personnel Review and Evaluation Standards/Procedures

- Performance Evaluation Criteria
- Annual Evaluation
- Reappointment Evaluation for:
 - Annual Reappointment Reviews
 - Mid-Tenure Review
- Tenure
- Promotion
- Professorial Performance Award
- Chronic Low Achievement
- Post-Tenure Review
- Non-Tenure Track Faculty Titles

Approved by Faculty Vote on (10/24/2017)

NEXT REVIEW DATE: Summer 2023

See next page...

Department Head's Signature

Date

Dean's Signature

Date

Provost's Signature

Date

ANNUAL EVALUATION GUIDELINES

(Approved by Faculty Vote on October 24, 2017

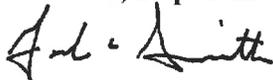
18 - yes, 2 - not voting)

PROMOTION AND TENURE GUIDELINES

(Approved by Faculty Vote on October 24, 2017)

NEXT REVIEW DATE FOR ALL GUIDELINES: Summer 2023

Gordon Smith, Department Head



Date: 5/11/2018

John Floros, Dean



Date: 5-14-18

April C. Mason, Provost & Senior Vice President

Date: April C. Mason 17 May 18

*Each academic department is required by University Handbook policy to develop Department documents containing criteria, standards, and guidelines for promotion, tenure, reappointment, annual evaluation and merit salary allocation. These documents must be approved by a majority vote of the faculty members in the Department, by the Department Head, by the Dean concerned, and by the provost. In accordance with University Handbook policy, provision must be made to review these documents at least once every five years or more frequently if it is determined to be necessary. Dates of revision (or the vote to continue without revision) must appear on the first page of the document.

FACULTY EVALUATION: PROCEDURES, CRITERIA, AND STANDARDS FOR REAPPOINTMENT, MID-PROBATIONARY REVIEW, TENURE, POST-TENURE REVIEW AND PROMOTION

**Grain Science and Industry Department
Kansas State University**

SUMMARY

Reappointment, mid-probationary review, tenure, post tenure review and promotion are based on faculty evaluation as discussed in the University Handbook (UH, Sec C). This process is designed to ensure that personnel decisions are both reasonable and defensible. Departments are responsible for establishing documents of guidelines, criteria, and standards for reappointment, mid-probationary review, tenure, post tenure review and promotion. The document must be approved by a majority of faculty members in the department, the Department Head, Dean and Provost, and be reviewed once every five years (UH, Sec C 31.2).

This document presents the current procedures, criteria, and standards for reappointment, mid-probationary review, tenure post-tenure review and promotion used in the Department of Grain Science and Industry. The faculty of the Department of Grain Science and Industry consists of academic and professional ranks (unclassified non-tenure track positions, regular and term appointments).

The Grain Science and Industry's evaluation process is based on assessing the contribution of each individual's activities to Departmental goals as guided by our departmental Vision and Mission statements (see appropriate Departmental documents).

The Grain Science and Industry Department's programs align with the Kansas State University 2025 Strategic plan themes as follows:

- Research, Scholarly and Creative Activities, and Discovery (RSCAD)
- Undergraduate Education Experience
- Graduate Scholarly Experience
- Engagement, Extension, Outreach and Service

The Department of Grain Science and Industry has divided its review program into four distinct phases: (A) Annual Evaluation and Achievement; (B) Reappointment of Faculty on Probation plus Mid-Probationary Review; (C) Evaluation, Tenure and Promotion; and (D) Post-Tenure Review. This program is based on the use of the annual evaluation as the metric of a faculty member's contributions to the Department's growth and achievement of its goals. The success of this approach is dependent on alignment with Departmental goals and efforts.

A. FACULTY ANNUAL EVALUATION: PROCEDURES, CRITERIA, AND STANDARDS FOR ANNUAL EVALUATION.

The evaluation of faculty and unclassified professionals is based on a series of policies that have been established by the [University Handbook \(UH\)](#) (Sec C 40.45 & 46). Each Department/unit has a set of guidelines that conforms to the general requirements as outlined below:

- Annual face-to-face meeting with the Department Head to jointly establish personal goals and objectives ([UH, Sec C 45.1](#)).
- Written summary of accomplishments prepared by the individual for the evaluation period in accordance with Appendix IV of this document ([UH, Sec C 45.2](#)).
- Written evaluation by the Department Head ([UH, Sec C 46.4b](#)).
- Written evaluations in draft form will be reviewed and subsequently discussed jointly ([UH, Sec C 46.4d](#)).
- This final summary will be documented by a signature of the faculty member and may include a written statement of unresolved differences regarding the evaluations. ([UH, Sec C 46.4e](#)), ([UH, Sec C 46.4d](#)).
- Evaluations will be the basis of merit salary adjustments ([UH, Sec C 40](#)).
- The Department Head may also provide recommendations for salary adjustments outside of the annual evaluation, together with supporting documentation (e.g., Promotion) ([UH, Sec C 46.4f](#)).

a. Introduction

The Grain Science and Industry Department's Academic Annual Evaluation procedure is based on performance in each of the four critical areas; research, education, extension/outreach and service. The weighting in each area is set at the beginning of the evaluation period through consultation with the Department Head, if they differ from the faculty member's appointed tenths.

The University Handbook (UH, Sec C & App Q) states that faculty must be evaluated periodically for accountability, reappointment, and merit salary increases. The process of faculty evaluation is designed to ensure that personnel decisions are both reasonable and defensible. Departments are responsible for establishing documents of criteria and standards for faculty evaluation which are the basis of annual merit increases. The document must be approved by a majority of faculty members in the department, the Department Head, Dean and the Provost and be reviewed at least every five years (UH Sec C 31.2).

The Department of Grain Science and Industry uses professional unclassified positions (non-tenure track, regular or term appointments) in support of its education, research, extension/outreach and service goals. The evaluation of faculty in these positions follows the procedures outlined in UH Sec C.12.0–12.5. The Department considers individuals holding these positions to have voting privileges in faculty meetings except for votes concerning tenured faculty.

b. Guidelines

By the end of the Fall semester each year, faculty members document their achievements for the previous year using the format outlined in Appendix IV.

On an annual basis, the Department Head and the faculty can negotiate appropriate weightings of assigned areas, if necessary. The negotiated weightings are not the same for each faculty, and can differ from the official, budgeted appointment tenths. The weightings reflect the actual service activities and demands that the faculty are responsible for during the year. Guidelines for assessing tenths are given in Appendix II. Service (directed and non-directed) is expected of all faculty with assignment not to exceed 30%.

The productivity of a faculty member may vary from year to year because of a time lag in demonstrating the completion of a task, e.g. submission of a manuscript until publication. To adjust for such annual variation, faculty measures of productivity in each critical area will be reported and assessed using a three-year rolling average.

Special rules apply for faculty members who are evaluated in their first year of appointment (UH, Sec C 42.1) and for faculty members on leave (UH, Sec C 42.2). For faculty members on sabbatical leave or leave without pay for part of the year, the merit rating is based on a consideration of both the merit rating obtained for performance during the period they were engaged in university assignments and the three-year rolling average. For faculty members on leave for the entire year, no performance rating would be given and that year removed from the rolling average (designated as “On Leave”).

c. Performance Rating System

The system consists of ratings for achievements in the assigned areas, negotiated weightings of assigned areas, and averaging over three years. All of those factors are used to determine the final Performance Rating.

Ratings for Achievement. In each area of official assignment, ratings are assessed as (UH, Sec C 31.8):

1. Exceeds (E), exceeded expectations
2. Meets (M), met expectations
3. Meets minus (M-), has fallen below expectations but met minimum-acceptable levels of productivity (defined in Table 1)
4. Below (B), has fallen below minimum-acceptable levels in one or more assigned areas

Factors such as teamwork, communication, responsiveness, meeting commitments, sharing of limited resources, and collegiality with faculty, staff, and off-campus representatives, are all important performance factors relating to the success of the Department in reaching its specified goals. As these areas will be considered during the evaluation process under the service category. Faculty may highlight evidence of such behavior in their annual summary. Quantitative expectations for each major area of contribution – research, teaching, extension/outreach are defined as required (UH Sec C 31.5) in Part D of this document.

Overall Performance Evaluation. The Overall Performance Rating is determined from the area ratings, negotiated weightings and based on a three-year rolling average of the overall performance ratings. The evaluation scale is the same as that used above for Rating of Achievement (UH Sec C 31.8):

1. Exceeds (E), exceeded expectations
2. Meets (M), met expectations
3. Meets minus (M-), has fallen below expectations but met minimum-acceptable levels of productivity (defined in Table 1)
4. Below (B), has fallen below minimum-acceptable levels in one or more assigned areas

d. Evaluation Summaries

Activities for each faculty member are reviewed and summarized by the Department Head in a Performance Evaluation letter. The draft letter is provided to the faculty member for review before the face-to-face discussion. During the formal discussion, modification will be made to the letter as agreed upon by both the faculty member and the Department Head.

e. Basis for Salary Increases. According to the Faculty Handbook (UH, Sec C 40), annual written evaluations must be conducted for the purpose of determining merit salary increases. The performance evaluation procedures described in this document will serve as the Department's evaluation tool.

f. Annual Meeting to Review Performance

The Department Head and each faculty member meet face to face to discuss achievements relative to the faculty member's position description and stated goals. They review achievements reported according to the Department of Grain Science and Industry's Faculty Evaluation form (Appendix VI), and discuss the draft performance evaluation letter.

After review, the performance evaluation letter may be modified if jointly agreed to, or the faculty member may add comments to the letter expressing areas of concern. In either case, the letter is signed by the faculty member acknowledging that it had been read and discussed with the Department Head. Faculty members have seven working days after signing the performance evaluation letter to submit written statements of unresolved differences to the Department Head and Dean (UH, Sec C46.3).

In addition to submitting the evaluation materials, the Department Head makes recommendations for salary increases that are subject to final approval by the Dean.

B. REAPPOINTMENT OF FACULTY ON PROBATION AND MID-PROBATIONARY REVIEW

1. Probationary Status

Academic faculty not yet approved for tenure are on probationary status. The Department Head appoints two tenured faculty members as Mentors to each Probationary Faculty Member (PFM). Each PFM has the option of requesting a change in Mentors. The Mentors assist and advise the PFM during the promotion and tenure process, including:

1. Professional development
2. Preparation of promotion and tenure materials
3. Updates on the progress of the candidate in the promotion and tenure process.

PFMs are evaluated annually and evaluated for reappointment (UH, Sec C 50.1-56). Annual evaluations also provide feedback against the Department's criteria and standards for tenure. The Department Head makes the reappointment file available to all tenured faculty members at least 10 working days prior to the annual Promotion and Tenure Meeting. This file includes:

1. The record of accomplishment prepared by the candidate (Appendix IV).
2. Suggestions/comments provided by tenured faculty from previous reappointment meetings.

After discussion, during this meeting, the eligible faculty vote on reappointment of the candidate. A summary of unattributed suggestions to the PFM by tenured faculty will be included as an appendix to their Annual Evaluation letter.

2. Mid-Probationary Review

The mid-probationary review is conducted for faculty members in the third year of a probationary appointment (UH, Sec C 92.1-C93), which could fall before or after the year-three annual review depending upon the original appointment date. The mid-probationary review gives the candidate a benchmark against which the individual can improve his or her performance and the likelihood of receiving tenure. A positive mid-probationary review does not insure that tenure will be subsequently granted nor does a negative review mean that tenure will be denied. The final tenure decision is based on the candidate's aggregate performance over the probationary period, including his/her response to tenured faculty input.

The Department Head makes the mid-probationary review file available to all tenured faculty members at least 10 working days prior to a meeting of tenured faculty. This file includes:

1. The record of accomplishment prepared by the candidate.
2. Suggestions/comments provided by tenured faculty from previous reappointment meetings.

The file is evaluated by the tenured faculty prior to the Mid-Probationary Review Meeting. During the 10 working-day review period, tenured faculty members may request that the candidate meet and discuss their record of accomplishment with them. The Mid-Probationary Review Meeting is then held and the candidate's record discussed and voted on by secret, written ballot. All "no" votes must be accompanied by a written justification, and if not, these ballots will not be counted towards the final outcome. These ballots are retained in departmental files for at least two years. Absentee votes are accepted provided they are given to the Department

Head prior to the meeting and a vote of “no” accompanied by written justification, and if not, these ballots will not be counted towards the final outcome..

All discussion and voting results at the review meeting are confidential.

The Department Head may discuss the tenured faculty’s assessment of the candidate with the Dean prior to providing the Letter of Assessment to the candidate (which includes the recommendation of the Head and becomes a part of the candidate's reappointment and Mid-Probationary Review file). The Department Head meets with the candidate to discuss the assessment. After receiving the assessment, the candidate has the right to submit a written response within 10 working days. The Department Head then forwards the letter of assessment to the Dean, along with the candidate's complete Mid-Probationary Review file and the result of the tenured faculty vote.

3. Criteria and Standards for Mid-Probationary Review

An assessment of accomplishments is made for each individual by the tenured faculty and the Department Head based on the criteria outlined in Appendix III. All faculty members are expected to have significant accomplishments in their appointed areas (teaching, research and/or outreach) and non-directed service.

C. TENURE AND PROMOTION

1. Procedures

All faculty seeking tenure and/or promotion are required to prepare documentation for consideration. Guidelines for the Organization and Format of Tenure and Promotion Documentation at Kansas State University) can be found at:

<http://www.ksu.edu/academicservices/depthead/promotion/promotio.html>

Outside reviewers are a mandatory component of the evaluation process for tenure and/or promotion in the Department of Grain Science and Industry. The candidate and the Department Head will each solicit one letter of evaluation from an external reviewer. The letters of evaluation will become part of the candidate's file. Documentation for tenure and/or promotion for a faculty member may be reviewed by a tenured faculty of the candidate's choice who may further assist the candidate in revising the documentation prior to its formal submission.

The Department Head makes the candidate's file for tenure and/or promotion available to the eligible faculty members of the Department at least 10 working days prior to the Promotion and Tenure Meeting. Any eligible faculty member may request that the candidate meet with them individually to clarify their record of accomplishment. Only tenured faculty can participate and vote on tenure decisions. For promotion decisions, tenured or non-tenured faculty members holding a rank equal to or higher than the rank being sought by the candidate can participate and vote depending on the status of the faculty member being considered for promotion.

Eligible faculty members individually review the materials for each candidate before the meeting and then discuss the candidate's file at the meeting. Formal written ballots are cast at the Promotion and Tenure Meeting for each individual being considered for tenure and/or promotion. All “no” votes must be accompanied by a written justification, and if not, these ballots will not be counted towards the final outcome. These ballots are retained in Departmental files for at least two years. Absentee votes are accepted provided they are given to the Department Head prior to the meeting and a vote of “no” accompanied by written justification, and if not, these ballots will not be counted towards the final outcome. All discussion and voting results at the review meeting are confidential.

The total number of votes in the categories of “yes”, “no”, and “not voting” are recorded on the Promotion and/or Tenure document and submitted to the Dean. The Department Head also submits to the Dean a written recommendation accompanied by an explanation, all recommendations/unedited written comments of the Department's eligible faculty members, and the document describing the criteria and standards for tenure and promotion used by the Department.

Faculty members in professional ranks do not receive the promotion-related salary increases described in the University Handbook (UH, Sec C 13.2) which are awarded at the University level and are given only for promotion to Associate Professor or Professor. Promotion-related salary increases for professional rank positions come from Department sources and are given at the discretion of the hiring manager and Department Head.

2. Criteria and Standards

Appendix IV is a subjectively evaluated list of achievements. For tenure, the Department does not have lists of accomplishments and standards that guarantee the awarding of tenure and/or promotion. Instead, an assessment of accomplishments is made for each individual by the eligible group of faculty and the Department Head. Most faculty members have an appointment split across the areas of teaching, research, extension, and/or directed service. All faculty members are expected to have accomplishments in the non-directed service area. The criteria and standards in each area for which the faculty member has responsibility in addition to the non-directed service area are considered in decisions concerning promotion and/or tenure.

2a. Academic Faculty

There is no simple list of accomplishments that guarantee that a faculty member will obtain tenure. Tenure is recommended based on the assessment by the tenured faculty of the Department. The successful candidate will have made significant contributions in appropriate academic endeavors as governed by Appendix IV. Evaluation procedures are outlined in the University Handbook (UH, Sec C 100.1 - 116.2). For persons appointed at the rank of Assistant Professor, the maximum probationary period for gaining tenure and promotion to Associate Professor is six regular annual appointments. Tenure is not granted below the rank of Associate Professor, except in special circumstances approved by the Provost (UH, Sec C 82.2). For persons appointed at the rank of Associate Professor or Professor, the maximum probationary period for gaining tenure is five regular annual appointments. In exceptional cases, faculty members on probationary appointments who have met the criteria and standards for tenure may be granted early tenure through the process outlined above. Faculty members are promoted based

on merit following procedures in the University Handbook (UH, Sec C 120 - 156.2). As with tenure, promotion can be granted when the faculty member's cumulative performance at rank clearly meets the standards for promotion (UH, Sec C 131).

2b. Faculty with Professional Rank

a. Categories & Descriptions

Faculty are appointed into one of the following categories (UH, Sec C 10) as appropriate to the Department. For the purposes of voting on reappointment of professional ranks, tenured professors will be considered of “higher rank” than faculty with professional rank. Faculty will be confirmed for reappointment on an annual basis.

1. Instructor (senior, advanced, instructor – regular or term appointment)

Primarily responsible for teaching, not required to hold a terminal degree, not eligible for tenure or eligible to vote on tenure decisions. Annual evaluation will be based on the information provided in Appendix IV and assessed by the Department Head based on the scale used for Rating of Achievement (UH, Sec C 31.8):

1. Exceeds (E), exceeded expectations
2. Meets (M), met expectations
3. Meets minus (M-), has fallen below expectations but met minimum-acceptable levels of productivity (defined in Table 1)
4. Below (B), has fallen below minimum-acceptable levels in one or more assigned areas

Reappointment is decided by the same process as for tenure-track faculty with the following exceptions: all faculty (tenured or untenured) at higher rank are eligible to vote. Promotion is

decided by the same process as for tenure-track/tenured faculty with the following exception, all faculty (tenured or untenured) at higher rank are eligible to vote. The Department Head will notify the Instructor regarding progress toward or readiness for promotion review.

2. Research Professor (full, associate, assistant - regular or term appointment)

Primarily responsible for research or other creative activities, required to hold a terminal degree, not eligible for tenure or eligible to vote on tenure decisions. Annual evaluation will be based on the information provided in Appendix IV and assessed by the Department Head based on the scale used for Rating of Achievement (UH, Sec C 31.8):

1. Exceeds (E), exceeded expectations
2. Meets (M), met expectations
3. Meets minus (M-), has fallen below expectations but met minimum-acceptable levels of productivity (defined in Table 1)
4. Below (B), has fallen below minimum-acceptable levels in one or more assigned areas

Reappointment is decided by the same process as for tenure-track faculty with the following exceptions, all faculty (tenured or untenured) at higher rank are eligible to vote. Promotion is decided by the same process as for tenure-track/tenured faculty with the following exception, all faculty (tenured or untenured) at higher rank are eligible to vote. The Department Head will notify the Professor regarding progress toward or readiness for promotion review.

3. Teaching Professor (full, associate, assistant - regular or term appointment)

Primarily responsible for teaching, required to hold a terminal degree, not eligible for tenure or eligible to vote on tenure decisions. Annual evaluation will be based on the information

provided in Appendix IV and assessed by the Department Head based on the scale used for Rating of Achievement (UH, Sec C 31.8):

1. Exceeds (E), exceeded expectations
2. Meets (M), met expectations
3. Meets minus (M-), has fallen below expectations but met minimum-acceptable levels of productivity (defined in Table 1)
4. Below (B), has fallen below minimum-acceptable levels in one or more assigned areas

Reappointment is decided by the same process as for tenure-track faculty with the following exceptions, all faculty (tenured or untenured) at higher rank are eligible to vote. Promotion is decided by the same process as for tenure-track/tenured faculty with the following exception, all faculty (tenured or untenured) at higher rank are eligible to vote. The Department Head will notify the Professor regarding progress toward or readiness for promotion review.

4. Extension Professor (full, associate, assistant - regular or term appointment)

Primarily responsible for extension, required to hold a terminal degree, not eligible for tenure or eligible to vote on tenure decisions. Annual evaluation will be based on the information provided in Appendix IV and assessed by the Department Head based on the scale used for Rating of Achievement (UH, Sec C 31.8):

1. Exceeds (E), exceeded expectations
2. Meets (M), met expectations
3. Meets minus (M-), has fallen below expectations but met minimum-acceptable levels of productivity (defined in Table 1)

4. Below (B), has fallen below minimum-acceptable levels in one or more assigned areas

Reappointment is decided by the same process as for tenure-track faculty with the following exceptions, all faculty (tenured or untenured) at higher rank are eligible to vote. Promotion is decided by the same process as for tenure-track/tenured faculty with the following exception, all faculty (tenured or untenured) at higher rank are eligible to vote. The Department Head will notify the Professor regarding progress toward or readiness for promotion review.

5. Professor of Practice (senior, professor of practice – regular or term appointment)

Primarily responsible for teaching, research or outreach, not required to hold a terminal degree but have substantial industry experience (UH, Sec C 12.3), not eligible for tenure or eligible to vote on tenure decisions. Annual evaluation will be based on the information provided in Appendix IV and assessed by the Department Head based on the scale used for Rating of Achievement (UH, Sec C 31.8):

1. Exceeds (E), exceeded expectations
2. Meets (M), met expectations
3. Meets minus (M-), has fallen below expectations but met minimum-acceptable levels of productivity (defined in Table 1)
4. Below (B), has fallen below minimum-acceptable levels in one or more assigned areas

Reappointment is decided by the same process as for tenure-track faculty with the following exceptions, all faculty (tenured or untenured) at higher rank are eligible to vote. Promotion is decided by the same process as for tenure-track/tenured faculty with the following exception,

all faculty (tenured or untenured) at higher rank are eligible to vote. The Department Head will notify the Professor regarding progress toward or readiness for promotion review.

b. Appointments

See UH Sec C 11.

c. Post Tenure Review

The purpose of post-tenure review at Kansas State University is to enhance the continued professional development of tenured faculty. The process is intended to encourage intellectual vitality and professional proficiency for all members of the faculty throughout their career, so they may more effectively fulfill the mission of the University. It is also designed to enhance public trust in the University by ensuring that the faculty community undertakes regular and rigorous efforts to hold all of its members accountable for high professional standards.

Kansas State University recognizes that the granting of tenure for university faculty is a vital protection of free inquiry and open intellectual debate. It is expressly recognized that nothing in this policy alters or amends the University's policies regarding removal of tenured faculty members for cause (UH Sec C 31.5 – 31.8). This policy and any actions taken under it are separate from and have no bearing on the chronic low achievement or annual evaluation policies and processes. The Department policy on post tenure review follows the overarching purpose, principles, objectives, and procedures in the University policy on post tenure review (UH, App W).

A tenured faculty member must submit documentation for post-tenure review every six years.

Documentation for post-tenure review shall include the following:

1. Copies of the previous five annual performance summaries (Appendix IV)
2. Copies of the previous five signed Department Head performance evaluation letters
3. A statement of service contributions, including evidence of leadership.

One of the following events can reset the post-tenure review period:

1. Promotion to full professor
2. Receipt of the K-State Professorial Performance Award
3. Being named a University Distinguished Professor or Coffman Teaching Scholar
4. Successful completion of a 5-year administrative review for people on administrative appointments that hold tenure in the Grain Science and Industry department

The six-year time frame will include the most recent performance review. For faculty serving interim administrative appointments, the post-tenure review clock is paused for the period for which the interim appointment is effective, and resumes when the faculty member returns to a faculty role.

The post-tenure review clock can also be paused for one year to accommodate sabbatical leave or a major health issue, provided that both the faculty member and Department Head approve the delay. Requests for a delay in the post-tenure review clock for the above noted reasons shall be made in writing to the Department Head.

The post-tenure review should assess the faculty member's strengths and areas for improvement to determine whether he/she is making appropriate contribution to the university or whether additional plans or activities need to be developed. Once the review is complete, a written

evaluation of the faculty member's materials, including suggestions for improvement and/or professional development as appropriate, will be prepared by the Department Head and forwarded to the faculty member, who will have an opportunity to discuss the written evaluation with the Department Head, and will sign a statement acknowledging the opportunity to review the evaluation. If the review suggests that a plan for additional professional development should be created, a face-to-face meeting to discuss options and develop a plan is required. The development plan will be used in future annual evaluations and post-tenure reviews to review progress toward goals set in the plan.

The Department Head will submit the following items to the Dean:

1. The Department Head's written evaluation and recommendation
2. A copy of the procedures for performing post-tenure review
3. Documentation establishing the candidate was given an opportunity to examine the written evaluation and recommendation

D. Chronic Low Achievement

In accordance with the University Handbook (UH, Sec C 31.5, Chronic Low Achievement), the Department of Grain Science and Industry is required to establish guidelines describing minimum acceptable levels of productivity for tenured faculty members (see Table 1. Minimum Performance Criteria).

In the Department of Grain Science and Industry the minimum-acceptable level of productivity is an overall performance rating of “Meets -“. A faculty member who receives an overall performance rating of “below” (defined by the teaching, research, extension, or directed service minimum standards outlined in Table 1) becomes subject to the procedures and criteria in UH, Sec C 31.5. When a tenured faculty member’s performance first falls below minimum departmental standards, the Head shall inform the faculty member in writing that his or her evaluation had fallen below minimum levels of productivity. The Head, with the faculty member in question, will develop a course of action to improve the performance of the faculty member. The faculty member will be assigned a tenured faculty of equal or greater rank mentor to help balance and improve his or her research, teaching, extension and service responsibilities. The Head informs the faculty member in writing of this improvement plan and expectations that the subsequent year’s performance will rise above minimum standards. In subsequent annual evaluations, the faculty member will report to the Head on activities designed to improve performance and evidence of improvement.

A faculty member with two successive evaluations below the minimal acceptable level of productivity or a total of three evaluations in any five-year period will be considered for “dismissal for cause” at the discretion of the Dean of the College of Agriculture. Unless the faculty member requests otherwise in writing, faculty members tenured in Agronomy holding a rank equal to or higher than the rank of the faculty member in question will provide input regarding “dismissal for cause”.

The Head will schedule a meeting of eligible faculty for the sole purpose of addressing the “dismissal for cause”. At least 14 days prior to this meeting, the Head provides a summary of the faculty member’s evaluation to eligible faculty for the period when evaluations were below the minimal acceptable level of productivity, along with descriptions of the course of action taken to improve the performance of the faculty member, and the outcome of that action. The faculty member facing “dismissal for cause” may provide information to eligible faculty he/she deems appropriate to help the faculty reach an informed decision. The faculty member may choose to meet with the eligible faculty to discuss, for purposes of clarification, the record of accomplishment they provide, or provided by the Head. Following discussion by the eligible faculty, formal written ballots are cast. These ballots are retained in departmental files for at least two years. Written recommendations and comments on the ballots are encouraged. Absentee votes are encouraged, provided they are given to the Head prior to the meeting. The faculty member being considered for “dismissal for cause” will be informed by the Head of the outcome of the vote by the eligible faculty members immediately following the meeting.

The Head will forward a written recommendation regarding “dismissal for cause” to the Dean, and a copy of the recommendation will be forwarded to the faculty member. If faculty members provided input, the Head will also forward to the Dean unedited written recommendations and comments of the department’s eligible faculty members, and the number of votes by the faculty recommending dismissal, not recommending dismissal, and not voting.

In accordance with UH, Sec C 31.5, the final decision for “dismissal for cause” resides with the Dean of the College after considering the tenured faculty and Department Head recommendations.

Table 1. Minimum Performance Criteria

<p>I. General / Non-directed</p> <ul style="list-style-type: none"> - Departmental citizenship - DH expectations 	<p>II. Directed (i.e. position description by tenths)</p> <ul style="list-style-type: none"> A. Research B. Teaching C. Extension/Outreach D. Directed Service
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<p><u>Ratings</u></p> <p>Exceeds, E 4</p> <p>Meets, M 3</p> <p>Meets minus, M- 2</p> <p>Below, B 1</p>	<p><u>Overall Score= (0.25 * Rating_{Non-directed}) + (0.75 * Rating_{Directed})</u></p>
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Minimum Standards (per year)			
Teaching	Research	Outreach/extension	Service
<p><u>Load</u>: 1.5 credit hour per tenth</p> <p><u>Quality</u>: minimum score of 2.0 on top three TEVAL categories</p> <p><u>Advising</u>: minimum 1.5 advisee per tenth</p>	<p><u>Grants</u>: minimum 0.2 proposal submitted as PI or co-PI per tenth</p> <p><u>Manuscripts</u>: minimum 0.1 paper submitted per tenth</p> <p><u>Presentations</u>: minimum 0.2 presentations per tenth at scientific/professional meetings and conferences</p> <p><u>Grad students</u>: minimum 0.3 students per tenth (any combination as a MS/PhD advisor, grad committee or PhD committee external member)</p>	<p><u>Outreach Event</u>: 0.4 workshop/ conference led per tenth</p> <p><u>Contacts</u>: 0.4 formal commission interactions per tenth</p> <p><u>Funding</u>: revenue generation of \$5,000 per tenth</p>	<p>Serve on Departmental, college and other university committees.</p> <p><u>Mentoring</u> junior faculty.</p> <p><u>Participate</u> in external professional activities.</p> <p><u>Attend</u> appropriate Department, college, university functions.</p> <p><u>Direct participation</u> in UG or grad student events.</p>

F. Professorial Performance Award

The Professorial Performance Award (PPA) is designed to reward strong performance at the Professorial rank with a base salary increase in addition to that provided by the annual evaluation process. It is not a right accorded to every Professor. Additionally, it is not granted simply as a result of a candidate's routinely meeting assigned duties with a record free of notable deficiencies. The intent of the award is to recognize excellent and sustained performance of Professors. The relevant criteria and standards are presented in University Handbook (UH, Sec C49).

1. Criteria and Standards

To be considered for the PPA, the candidate must meet the following standards:

- a. The candidate must be a full-time employee and have been in Full Professor rank at KSU and in the Department of Grain Science at least six years since promotion or receipt of a PPA.
- b. Based on annual evaluations, the candidate must have sustained productivity for at least the last six years before the performance review. Evidence includes earning an overall evaluation of “exceeded expectations” in at least four of the most recent six years and having no evaluations below “meet expectations” during that period.
- c. The University Handbook (UH, Sec C 120.2), states that “promotion to Professor is based on attainment of excellence in the assigned responsibilities of the faculty member and recognition of excellence by all appropriate constituencies.” Both promotion and the PPA are recognition that the individual is accomplished in all aspects of his or her assigned duties and will continue to

strive for higher levels of achievement. Receipt of a PPA requires the candidate to demonstrate superior accomplishments in the performance of his or her assigned duties (teaching, research, extension, and/or service) and achieved international recognition for excellence in his or her discipline.

2. Procedure

PPA applications are considered annually. The Department Head notifies faculty members regarding eligibility for a PPA review. The timeline for submittal of documentation and determination of awardees shall be consistent with the annual evaluation review process (UH, Sec C 49.4).

- a. Candidates will provide documentation of her or his professional accomplishments for the previous six years in accordance with the criteria, standards, guidelines and format established by Appendix IV. Faculty members awarded a PPA are not eligible to apply for a subsequent award for a period of six (6) years after receipt of the award. Outside reviews of the applicant's file will not be used for the PPA.
- b. The Department Head will review the candidate's file and prepare a written evaluation of the candidate's materials (UH, Sec C 49.5), along with a recommendation for or against the award.
- c. The candidate will be given the opportunity to discuss the written evaluation and recommendation with the Department Head, and will sign a statement acknowledging the opportunity to review the evaluation. Within seven working days after the review and discussion, the candidate will be given the opportunity to submit written statements of unresolved differences regarding his or her application to the Department Head and Dean. A copy of the

Department Head's written recommendation will be forwarded to the candidate (UH, Sec C 49.6).

d. The Department Head will submit the following items to the Dean for further action as described in UH, Sec C 49.8:

- a. Department Head's recommendation for or against the award.
- b. A copy of the evaluation document used to determine the recommendation.
- c. Documentation establishing the opportunity for the candidate to examine the written evaluation and recommendation.
- d. Any written statements of unresolved differences concerning the evaluation.
- e. Any supporting materials that served as the basis of determining eligibility for the award (UH, Sec C 49.7).

Appendix I. Annual Review and Evaluation of a Faculty

The annual review submitted by a faculty member consists of: (i) the current year's official appointment tenths in the areas of research, teaching, and service, the individual's goals and objectives, and any negotiated weighting of those areas with the Department Head; (ii) a description of one's achievements as detailed in Appendix IV; (iii) an updated CV, and (iv) goals and objectives for next year (developed in conjunction with the Department Head).

Achievements are provided for the past year. Achievements in each applicable area are evaluated by the Department Head with ratings of, Exceeds (E), Meets (M), Meets minus (M-) or Below (B). The overall annual rating by the Department Head is arrived at by considering the ratings and negotiated weightings in all applicable areas of responsibility. The overall ratings are; Exceeds (E), Meets (M), Meets minus (M-) or Below (B).

APPENDIX II. Guidelines for Negotiated Weighting of Assignments

Proportional Teaching Assignment. A full-time (10 tenths) teaching assignment in the Department of Grain Science and Industry is currently represented by teaching approximately 6 courses per year. Lecture courses are weighted as one course; laboratories are weighted as 0.5 course. A course with both laboratory and lectures is weighted 1.5. Teaching other than formal courses may be documented and considered as part of one's teaching assignment (this would include time spent teaching techniques, procedures, and concepts to individual students and would be assigned at the Department Head's discretion).

Proportional Service Assignment. The total service tenths and their distribution among the various types of service are negotiated with the Department Head using the following guidelines for each type of service. Maximum assignment in the total service area is three tenths. Non-directed service cannot be the major grounds upon which tenure or promotion is based (UH, Sec C32.6). Tenure-eligible faculty should limit non-directed service assignments to one tenth or less.

Non-directed service is apportioned into three categories (UH, Sec C6):

- Profession-based service: work directly related to the function of the unit providing leadership and service to the faculty member's profession as a discipline; for example, holding office in a professional association or service on an editorial board of a professional journal.

- Institution-based service: work essential to the University; for example, contributions to the formulation of academic policy and programs, service in the Faculty Senate, Graduate Council, and committees of the Department, College, University, acting as advisor to student organizations

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

Directed service is work that furthers the mission of and is directly related to the goals and objectives of a unit and the University, that requires academic credentials or special skills, and that is a part of a faculty member's specific assignment (UH, Sec C5).

APPENDIX III. Criteria for Evaluation of Mid-Probationary Review, Tenure and Promotion

I. General

The documentation required for mid-probationary review, tenure and promotion will consist of a multi-year summary of information required by Appendix VI for annual faculty evaluations. In addition, those items detailed below are expected.

II. Additional Required Information

No information required beyond what is outlined in Appendix IV.

III. General/Non-Directed Service

No information required beyond what is outlined in Appendix IV.

IV. Contributions to the Department, the College, the University

No information required beyond what is outlined in Appendix IV.

V. Extension

1. Number of meetings, tours and demonstrations conducted.
2. Quality of the program as assessed by the Associate Director of Kansas State Extension.
3. Development of programs directed to non-traditional clientele.

4. Examples of intra- and interdepartmental work.
5. Examples of level of involvement with county agents, individuals and groups.
6. Receipt and level of extramural funding broken out by funding received as a PI, funding received as a grant team member and proposals submitted but not funded.

VI. Teaching

1. Direct student verbatim comments from TEVALs.
2. Examples of syllabi, course outlines, exams, assignments and web pages.
3. Evidence of innovative and effective teaching.
4. Examples of course revisions/updates.
5. Examples of new course development.
6. Evidence of participation in peer evaluation of teaching.
7. Evaluation of undergraduate advising quality as determined by student interviews.
8. Evaluation of graduate advising quality as determined by student interviews.
9. Evidence of publications or presentations related to the scholarship of teaching.

10. Receipt and level of extramural funding for teaching-related research broken out by funding received as a PI, funding received as a grant team member and proposals submitted but not funded.

VII. Research

1. Demonstrated ability to continually publish research. Time in rank and journal reputation will be considered.
2. Receipt and level of extramural funding broken out by funding received as a PI, funding received as a grant team member and proposals submitted but not funded.

VIII. Directed Service

1. Examples of fee for service, consulting or other projects that significantly impact the industry.

APPENDIX IV. ANNUAL ACHIEVEMENT SUMMARY OUTLINE

I. General/Non-Directed Service

1. Current position description (describe your duties in no more than one-half page) and recommended weights for teaching, research, extension, and directed service.
2. Updated CV.
3. Continuing professional improvement activities (sabbatical leaves, retreats, professional meetings, workshops, or other self-improvement activities).
4. Awards, honors, and other forms of recognition. University, professional, governmental, civic, other (local, state, regional, national).

II. Contributions to the Department, the College, the University

1. Constructive participation and accountability to assignments received and commitments made that relate to the general operation of the Department including faculty meetings/retreats, committees, seminars, student activities, duties as otherwise assigned.
2. Mentoring of faculty members.
3. Committees.
 - a. Department.

b. College of Agriculture.

c. University.

4. Other activities.

a. Professional activity. Participation in and contributions to professional societies related to grain science (paper and poster presentations, session chairpersons, seminars, symposia, committee membership, offices, editorial services for professional journals).

b. Professional public service. Professional contributions to government, civic groups (local, state, national), or industrial, commercial, and agricultural organizations.

c. Private consulting activities. Subject, nature of clientele, duration.

d. International activities (resident faculty only; faculty on international assignment should detail achievements under extension, teaching or research).

e. Long-term benefits/impact of General/Non-Directed Service to the Department, College, University, profession, public, and international groups.

f. Extra effort. Describe exceptional or unusual contributions to General/Non-directed Service that are not covered above.

III. Extension

1. List goals and progress towards goals in extension for the current year. Include comments on roadblocks to achievement.

2. K-State Research and Extension Impact Report for the current year.
3. Significant accomplishments.
 - a. Summary of meetings and attendance at each meeting.
 - b. Educational materials for current year. Include bulletins (extension, experiment station, other), films, radio tapes, slide tapes, websites developed, computer software, regularly published newsletters, feature articles, refereed journal articles, and other. List by category with author, year, title, and citation.
 - c. Other extension activities not covered above.
4. Extension grants.
 - a. New proposals applied for and received during the current year (give source, date, amount, and duration).
 - b. Grant proposals that were submitted but not funded.
5. Extension awards, honors, and other forms of recognition.
6. Long-term benefits/impact of extension activities.
7. Extra effort. Describe exceptional or unusual contributions to extension that are not covered above.

IV. Teaching

1. List goals and progress towards goals in teaching for the current year. Include comments on roadblocks to achievement.
2. Courses taught during the past year, enrollment for each course.
3. Student rating scores (TEVAL Student Evaluation of Instruction). Provide complete summary sheets for courses taught during the last year in the Teaching Portfolio.
4. Significant accomplishments.
 - a. Publications and presentations during past year. Include refereed journal articles, laboratory manuals, books, bulletins (experiment station, extension, other), films, radio tapes, slide tapes, websites developed, computer software, regularly published newsletters, feature articles, other. Include those publications that are accepted but not yet published.
 - b. Teaching improvement activities.
 - c. Undergraduate advising.
 - d. Graduate academic advising.
 - e. Other teaching activities not covered above.
5. Teaching awards, honors, and other forms of recognition.
6. Extramural funding for teaching activities.
7. Goals for the coming year. Include comments on potential roadblocks to achievement.

8. Long-term benefits/impact of teaching activities.

V. Research

1. List goals and progress towards goals in Research for the current year. Include comments on roadblocks to achievement.

2. K-State Research and Extension Impact Report for the current year.

3. Current experiment station projects or team membership (include number and title for Hatch, RRF, and state OR funded projects; do not include 3000 or 5000 projects).

4. Significant research findings on at least one important problem and/or key issue (include economic value of these findings).

a. Publications for current year. Include refereed journal articles, bulletins (experiment station, extension, other), films, radio tapes, slide tapes, computer software, websites developed, regularly published newsletters, feature articles, other. List by category with title, principal author, other contributors, by whom published. List publications with AES number but not published yet (be sure to provide AES number).

5. Research grants.

a. New proposals (sponsored projects) applied for and received during current year (give source, date, amount, and duration).

- b. Current sponsored projects with amount of the project if past first year of grant.
 - c. Multi-sponsored projects (those that receive a small amounts of funds from many sources) with the total amount for current year.
 - d. Grant proposals that were submitted but not funded.
6. Graduate research advising (M.S. and Ph.D.).
- a. Advisees graduated during current year.
 - b. Current advisees and their arrival date and estimated departure date.
7. Visiting scientists and post doctorates.
8. Research awards, honors, and other forms of recognition.
9. Goals for the coming year. Include comments on potential roadblocks to achievement.
10. Long-term benefits/impact of Research activities.

VI. Directed Service

- 1. List goals and progress towards goals in Directed Service for the current year. Include comments on roadblocks to achievement.
- 2. Brief overview of responsibilities.
- 3. Significant accomplishments.

4. Summary of activities not included under Non-Directed Service, Extension, Teaching, or Research.
5. Goals for the coming year. Include comments on potential roadblocks to achievement.
6. Long-term benefits/impact of Directed Service activities.
7. Extra effort. Describe exceptional or unusual contributions to Directed Service that are not covered above.

VII. International Grains Program (IGP)

1. International Activities

- a. Short Courses organized and/or taught to domestic and international clientele
- b. Booklets, reports, and other documents compiled detailing IGP activities
- c. International assignments, including those for U.S. Wheat Associates, Agency for - International Development, U.S. Grains Council, etc.
- d. Presentations and other participation at meetings and workshops
- e. Visitors hosted and coordination of their activities
- f. Interactions with KS Commodity Commissions

2. Service Activities

- a. Non-directed service

- b. Profession based service for example, officer of a professional organization
- c. Institution-based services for example, member of a University committee
- d. Public-based service for example, responding to inquiries from clientele, conducting tours, and consulting
- f. Public news interviews and media postings

3. Directed Service

- a. Teaching or research in support of departmental objectives
- b. Expanding IGP activities and increasing support, facilities and dollars
- c. Supervision of IGP facilities.

Attachments. Updated cv covering publications, articles, grant proposals etc.