

DEPARTMENT OF CHEMICAL ENGINEERING

ANNUAL EVALUATION GUIDELINES

(Approved by Faculty Vote on 4/18/2014)

PROMOTION AND TENURE GUIDELINES

(Approved by Faculty Vote on 4/18/2014)

POST-TENURE REVIEW

(Approved by Faculty Vote on 4/18/2014)

REVIEW DATE FOR ANNUAL EVALUATION GUIDELINES *(WHICH INCLUDES THE CHRONIC LOW ACHIEVEMENT STATEMENT AND THE PROFESSORIAL PERFORMANCE AWARD): 4/18/2019

REVIEW DATE FOR PROMOTION AND TENURE GUIDELINES*: 4/18/2019

James Edgar, Department Head

Date signed: 11/10/2014

Darren Dawson, Dean

Date signed: 11/15/2014

April C. Mason, Provost and Senior Vice President

Date signed: 12/17/2014

**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 or chair, 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.*

Chemical Engineering

Department

Engineering

College

Policy Statement Concerning:

**Annual Evaluations
(including Professorial Performance Award Criteria and
Standards and Chronic Low Achievement Standards)**

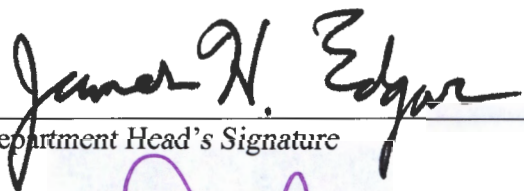
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Promotion, Tenure, Mid-Tenure Review and Reappointment

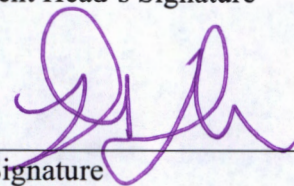
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Post-Tenure Review

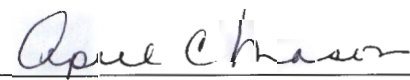
Approved by Faculty Vote on (4-18-2014)


Department Head's Signature

11-10-2014
Date


Dean's Signature

11/15/14
Date


Provost's Signature

17 Dec 14
Date

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I. ANNUAL EVALUATION

A. DEFINITIONS

The department's policy for faculty evaluation encourages and rewards a broad spectrum of professional activities, where each faculty member is evaluated based on teaching, research, and service. These three criteria are described in detail in the following sections. These criteria are flexible to foster creativity and innovation. A specific activity might be listed in one category for one faculty member and in a different category for another depending on the precise nature of the activity.

Overlaid and incorporated within the faculty member's primary responsibilities is professional development; the efforts an individual undertakes to improve his/her teaching, research, and service. It is not necessarily synonymous with current teaching, research, or service performance because professional development activities may improve future performance. All faculty members should be engaged in activities that help maintain or enhance their intellectual capital.

1. TEACHING

Teaching includes communicating knowledge to students and developing the intellectual foundation necessary to prepare students for self-directed life-long learning. Teaching also involves preparing students for entry into professional and scholarly disciplines. Faculty should arouse curiosity, generate interest in the subject matter, stimulate creativity, and develop and organize instructional materials. Mentoring of graduate and undergraduate student is valued as an instructional activity.

Expectations for effective teaching include the following.

1. Be conscientious about: meeting classes on time; the content organization and presentation of lectures and laboratory instructions; accurate assessment of student work; fairness in grading; and treating students equitably.
2. Cover course subject matter in sufficient breadth and depth such that students earning a 'C' or better are appropriately prepared for subsequent courses.
3. Keep course materials and methods current.
4. Ensure an appropriate mix of analysis, design, and computer tools is covered, when necessary.
5. Communicate effectively with students.
6. Willing to help other faculty in their teaching efforts

During the faculty member's appointment, teaching performance must be evaluated by measuring effectiveness **and/or** continued improvement. The following list is organized into

broad categories of measures considered appropriate for assessing teaching effectiveness. This is not an exhaustive list; further types of measures may be found in the University Handbook.

- A. Instructional evaluations. All faculty members in the department are required to utilize the IDEA and/or TEVAL system for collecting student ratings of instruction. Combination of several numerical scores from the survey will be used to evaluate teaching effectiveness. Additional assessment metrics may include:
 - 1. Senior surveys.
 - 2. Alumni evaluations concerning quality of instruction.
 - 3. Performance of students on standardized examinations.
 - 4. Student feedback to the dean or department head (which must be documented if considered).
 - 5. Review of course documentation (syllabi, tests, and homework assignments).
- B. Development of innovative curriculum for new or existing courses with respect to content, instructional techniques or course materials.
- C. Scholastic publications, studies, or work that aims to improve teaching effectiveness.
- D. Supervision of independent study, undergraduate research, masters' reports or theses, PhD dissertations, or serving on thesis or dissertation committees.
- E. Awards, honors, or nominations recognizing excellence in teaching
- F. Peer evaluation, defined as a comprehensive, critical review by knowledgeable colleagues of each faculty member's teaching activities.

2. RESEARCH

Research includes a broad spectrum of scholarship and other creative activities that require critical examination and investigation. These endeavors are directed toward discovering new ideas, developing new interpretations of existing ideas, developing new technology, putting ideas into practice, and pedagogical research to improve student learning. The results of research, scholarship, or creative activity should be shared with the chemical engineering profession through recognized channels appropriate to the subdiscipline. These outputs may include theoretical and experimental studies, as well as publication on innovative teaching materials and methods. Research is expected to support the educational training of graduate students. Research is evaluated according to its quality, complexity, scope, impact, funding, and students supported.

Expectations for effective research include the following:

1. Advancing knowledge in a relevant and viable field.
2. Assisting graduate students in their independent research resulting in the completion of their degrees within a reasonable timeframe.
3. Seeking and obtaining significant funding from external funding sources.
4. Regular dissemination of research findings through publications and presentations.
5. Collaboration with colleagues.
6. Evidence of having an impact on the field.

The following is a non-exclusive list of activities and products that can be considered in evaluating the faculty member's research. In the evaluation of research products, the primary consideration is the quality of the outlet and the impact of the work (including analysis of the number of citations generated, any awards or recognitions received, or the nature of the conference, as appropriate).

A. Publications and Presentations

1. Peer-reviewed journal articles
2. Invited articles
3. Books (including edited proceedings)
4. Non-peer reviewed papers, conference proceedings, and reviews
5. Patents
6. Invited presentations
7. Submitted presentations
8. Other scholarly output

B. Research Proposals and Research Awards

The submission of proposals is necessary to support the faculty member's scholarly activities and students' training. Criteria for evaluating faculty efforts in research proposals and awards include their role (as principal investigator, co-PI, senior personnel, etc.), the competitiveness of the funding process, the proposal value and complexity, and the number of students supported.

C. Research personnel trained

- D. Awards, honors, or nominations recognizing excellence in research

3. SERVICE

Service activities provide opportunities for faculty to apply professional expertise, serve the engineering profession, participate in the governance and mission of the university, and voice positions important to the department. Excellence in service entails the faculty member's contribution toward results which reflect favorably on the individual's academic status and favorably on the department, college, or university. Faculty should document achievements that resulted from their service activity. The evaluation process will place more weight on contributions leading to results and less on mere attendance at committee meetings.

Service responsibilities may be fulfilled in a number of ways, many of which are listed below. Other areas of service are listed in the University Handbook.

I. Within the University

- A. Service to the university and college includes but is not limited to:

1. Chairing of, or active membership on, college or university-wide committees or university-controlled organizations.
2. Organizing and advising, or participating in, student professional societies and clubs.
3. Directing or participating in activities associated with college or university centers or institutes.
4. Providing topical reviews for PE (Professional Engineer) or other exams.

- B. Service to the department includes but is not limited to:

1. Chairing of, or active membership on, departmental standing or *ad hoc* committees;
2. Assuming administrative opportunities and/or responsibilities;
3. Participating in and supporting department activities.
4. Individual counseling and faculty advisor work with students groups.
5. Making arrangements for seminars and hosting seminar speakers
6. Providing accurate and timely academic advising of students.
7. Meeting with alumni for department advancement.
8. Participating in development with the University Foundation.
9. Mentoring junior faculty.

II. Outside the University

Service to the profession includes but is not limited to:

1. Serving as an officer of professional organizations.
2. Chairing, or active membership on, professional committees.
3. Developing, organizing, or conducting conferences and/or seminars.
4. Serving as an editor or as a reviewer for a journal, conference, or funding agency.
5. Serving as a reviewer of promotion and tenure nominations from other universities.
6. Serving on academic, industrial, or governmental advisory boards.
7. Giving presentations to groups as a representative of the department, college, or university.
8. Writing letter of reference or support for students, alumni, and colleagues.

Greater recognition will be given to positions with greater leadership responsibilities.

II. GUIDELINES FOR THE ANNUAL EVALUATION PROCESS

Generally, annual evaluations will be based on activities conducted within the current evaluation period.

The evaluation of teaching, research, service and professional development activities should be based on valid supporting material. The annual evaluation process takes place at the beginning of each calendar year by the department head. The department head will inform each faculty member concerning the specific timing of performance evaluations. A suggested procedure for gathering evaluation evidence follows:

Evaluation for Salary Adjustment:

1. At the end of the calendar year, the department head shall request annual faculty activity reports (Appendix A) documenting their accomplishments in teaching, research, service and professional development during the past year.

It is the responsibility of the faculty member to gather and organize the documentation for the Department Head. However, the faculty member is not responsible for gathering data such as items A1, A2, A3, A4 and A5 under "TEACHING" in this document (see page 2 above). Requests by the department head for activity reports will be made well in advance of their due date so that faculty members can be complete and clear in their descriptions.

2. Along with the activity reports, each faculty member shall outline goals for the upcoming year in each of the three areas of performance, as appropriate, as described in the next section (Appendix A, VII). These goals shall be discussed with the department head, resulting in goals that are mutually agreed upon.

3. The department head shall be responsible for the evaluation of faculty member activity reports for purposes of recommending merit salary adjustments. See University Handbook Sections C40-C48.3 for details regarding Annual Merit Salary Adjustments.
4. Each faculty member will review and must have the opportunity to discuss his/her written evaluation with the individual who prepared it.
5. Within seven working days after the review and discussion, faculty members have the opportunity to submit written statements of unresolved differences regarding their evaluations to the department head and to the next administrative level.

In the event of unresolved differences between the faculty member and department head related to the annual evaluation, the procedures outlined in the University Handbook should be followed.

6. In the event that the responsibilities of a faculty member change during the year, a meeting should be scheduled by the faculty member with the department head to make corresponding changes to their goals and expectations for the year. These changes should be approved using the same process described above.

III. ANNUAL EVALUATION PROCESS

At the beginning of the calendar year, each faculty member will meet with the department head and together they shall set goals for teaching, research, service and professional development performance for the coming year. These goals shall include the specific weights assigned to each performance area. The typical distribution between teaching, research, and service for tenure track and tenured professors is 50%, 40%, and 10%, respectively. Specific weights for each individual will be negotiated with the department head.

These predetermined expectations and category weights will serve as the basis for the faculty member's next annual performance evaluation unless an agreement between the department head and faculty member is reached to change them, consistent with the goals of the department and college, during the course of the evaluation period due to unforeseen opportunities or circumstances; for example, if additional teaching responsibilities were added because of an unexpected sabbatical by a colleague. In such instances, both the weights assigned for each area of service, and the goals should be adjusted to correspond to the time commitment implied by these weights.

During the annual evaluations, the department head shall assess the faculty member's performance in each of the three areas of teaching, research, and service and will assign a numerical rating using the following scale:

- Significantly exceeds expectations (5)
- Exceeds expectations (4)
- Meets expectations (3)

- Fails to meet expectations (i.e., needs improvement) (2)
- Substantially fails to meet expectations (1)
- Falls below the minimum-acceptable level of productivity (0)

The assessment will be based on the faculty's completed Appendix A using the criteria for teaching, research, and service described earlier in this document (Sections I.A., pages 1-4) and the faculty member's goals as established in the previous year. The department head may assign ratings between categories (i.e. using a continuous scale) to the extent deemed necessary for fairness and to more accurately describe a faculty member's performance in each of these areas.

The overall faculty evaluation will be computed as a weighted average of the numerical ratings assigned for the three performance categories, using the weights assigned to each performance category at the beginning of the year (See Appendix B).

Merit pay increases for individual faculty members will be determined by comparing each individual's annual weighted overall rating as determined above to those of the other faculty.

Faculty should recognize that tenure and promotion are separately determined from annual evaluations. Non-tenured, tenure-track faculty should consider the feedback provided by tenured faculty consistent with the tenure and promotion guidelines of the department.

IV. PROFESSORIAL PERFORMANCE AWARD

Description - Faculty who have attained the rank of Professor and who have completed at least six years of service since promotion or since the last Professorial Performance Award, may submit materials to apply for a Professorial Performance Award. This is not a promotion, but instead a base salary increase in addition to that provided for by the annual evaluation process. It is intended to reward strong performance at the same level necessary to achieve promotion from associate to full professor.

Requirements - Similar to the requirements for promotion from associate professor to full professor, an individual applying for a Professorial Performance Award should submit a portfolio that demonstrates the candidate's proficiency in teaching, research, and service. The items considered important in each of these areas are described in Section I. A. of this document, Annual Evaluation: Definitions. In particular, faculty members should demonstrate their continued role in meeting the department's strategic objectives through activities in these areas. The following items will be given paramount emphasis:

1. Teaching – The faculty member should demonstrate continued quality teaching as well as leadership in the area of curriculum development.
2. Research – The faculty member should provide evidence of a continued stream of high quality research that examines relevant areas as well as other activities.

3. Service – The faculty member should demonstrate service that enhances the strategic goals of the department, college and/or university. While this service may be achieved in part by maintaining relationships with the professional or academic community, leadership within the department, college and/or university should also be demonstrated.

The candidate must also provide evidence that activities conducted since promotion to full professor or since the last Professorial Performance Award have had an impact on the profession (academe or practice) at the national or regional level. This evidence cannot rely on reputation retained based on activities conducted in prior years, but only specific activities conducted in the past six years and should demonstrate evidence of sustained productivity in this period before the performance review.

Evaluation – The faculty member should complete a file documenting accomplishments in the past six years consistent with the criteria defined above. This file shall include:

1. A one-page summary of major achievements during the evaluation period
2. A one-page summary of instructional productivity, including courses taught, student advisement, and thesis supervision, in addition to evidence of instructional quality such as ratings, peer evaluations, or evaluation of advising,
3. A one-page statement of research and other creative activities accompanied by a list of scholarly products and a list of funded grants and contracts,
4. A one-page statement of service contributions, including evidence of leadership.

The department head will prepare a written evaluation of the candidate's application in terms of these guidelines, along with a recommendation for or against the award. External reviews of the candidate's file are not required.

The procedure and time line for those faculty wishing to apply for the PPA are:

Fall Semester End (nominally December 15):

The candidate informs department head in writing of his/her wish to be considered for the PPA and consults with the department head.

Start of Spring Semester (nominally January 15):

After another consultation with the department head, if the candidate decides to continue the PPA application process, then the candidate forwards the documents and records concerning teaching, scholarship, and service occurring over the previous six years with the PPA Summary Table to the department head.

Last week in January (nominally January 31):

The forwarded material is made available to the eligible faculty (all full professors with a departmental appointment of at least 50%) for the purposes of review.

At least 14 days following the previous step (nominally February 15):

The eligible faculty will meet to consider the merits of each PPA applicant and the materials submitted by that applicant. No candidate may participate in the review of his or her own application for the PPA. The eligible faculty will choose a chairperson from its membership. It is the responsibility of the chairperson to conduct the

meeting, to assure the fairness of the proceedings, and to prepare and submit in a timely fashion all documents regarding the review to the department head. The purpose of the meeting is for the eligible faculty to identify those candidates deemed worthy of the PPA and to forward to the department head within one week following the meeting of the eligible faculty a list containing the recommended candidates together with written evaluations attesting to why each individual is or is not worthy of the PPA. A transcript of the written comments pertaining to a particular candidate is given to that candidate by the department head. After considering the results of the review, the candidate may either choose to continue the application process or to withdraw from further consideration during that year by so notifying the department head in writing. If the candidate chooses to continue the application process, the department head prepares a written recommendation. A copy of the department head's written recommendation is given to the candidate.

Approximately two weeks following the meeting of the eligible faculty (nominally March 1):

Each candidate will have the opportunity to discuss with the department head the written evaluation from the eligible faculty and the written recommendations. Each candidate will sign a statement acknowledging the opportunity to discuss and review the evaluation and recommendations. Within seven working days after the review and discussion of the recommendations and eligible faculty evaluation, each candidate has the opportunity to submit to the department head and to the Dean of Engineering written statements of unresolved differences regarding his or her evaluation by the eligible faculty and the recommendations.

End of the second week in March (nominally March 15):

At a minimum, the department head must submit the following items to the Dean of Engineering:

- a) The candidate's supporting materials that served as the basis of evaluating eligibility for the award.
- b) The recommendation prepared by the department head.
- c) A copy of the department's evaluation document used to determine qualification for the award,
- d) Documentation establishing that there was an opportunity for the candidate to examine the written evaluation and recommendations,
- e) Any written statements of unresolved differences concerning the evaluation and recommendations.

When the department head applies for the PPA, the chair of the Reappointment, Promotion and Tenure Committee will fulfill the function of the department head in all of the above procedures for that individual.

V. MINIMUM-ACCEPTABLE LEVEL OF PRODUCTIVITY STANDARDS

A. PREFACE

This policy is the Department of Chemical Engineering's response to the requirements of the University Handbook which requires each department or unit establish policies describing minimum-acceptable productivity standards as well as procedures for enforcing these requirements. It describes departmental standards that are separate and distinct from individually initiated annual goals and performance plans. These criteria apply to all faculty. Infrequent events, such as sabbaticals, may require special adjustments to the application of this policy.

B. OVERVIEW

The Department of Chemical Engineering is committed to and considers its highest priority high-quality teaching, including innovative curriculum and other instructional development. The faculty is also committed to research and other forms of scholarly activity that add to the body of knowledge or support and foster improvement in teaching. Within this broader context, professional service and professional development also represent essential tasks for the professorate, which are important to the overall functioning of the department and cannot be ignored. It is vital for all faculty members to demonstrate a minimum level of attention to all three of these areas – teaching, research, and service. Consequently, a tenured faculty member's performance shall be defined as failing "overall" (as defined in section C31.8. of the University Handbook) to meet the minimum acceptable level of productivity any time his or her performance in any one of these three areas fails to meet the minimum acceptable productivity standards outlined in this document. Therefore, below minimum-acceptable performance in any one of these categories shall be cause for invoking the process envisioned by C31.5 through C31.8 of the University Handbook (revocation of tenure) and further enumerated in section III of this document. For probationary faculty, failure to meet minimum acceptable level of productivity will result in non-reappointment and notice of termination pursuant to C162.3 and Appendix A of the University Handbook.

C. CHRONIC LOW ACHIEVEMENT

In conformity with Sections C31.5 and C31.6 of the University Handbook, this policy is concerned with revocation of tenure and should not be confused with criteria for the initial awarding of tenure or other pre-tenure evaluations. During the annual review of all faculty members, the department head will determine whether any tenured faculty member fails to meet the "minimum acceptable level of productivity" as defined in this document, based on the annual evaluation materials. If the department head determines that a tenured faculty member fails to meet the minimum standard in any area of assigned responsibility, a committee of fulltime full professors with departmental appointments of at least 50% will be convened (unless the faculty member requests otherwise) to review performance.

If the department head receives adequate evidence that a tenured faculty member does not meet the minimum acceptable level of productivity in any substantial or critical area of work, then action will be initiated following procedures outlined in the University Handbook. Specifically, the department head, in consultation with the tenured faculty member, will prepare a plan to improve the performance of the tenured faculty member during the next and following review years. As noted in the University Handbook, if the tenured faculty member has two successive evaluations or a total of three evaluations in any five-year period in which minimum standards are not met, then "dismissal for cause" will be considered at the discretion of the Dean of Engineering.

D. MINIMUM-ACCEPTABLE STANDARDS

The following standards shall constitute the Department of Chemical Engineering's minimum-acceptable productivity standards.¹ All faculty members must perform all duties outlined in the University Handbook and be in compliance with all university policies. The "minimum acceptable level of productivity" standards established in this document apply to all faculty members in the department. Decisions on acceptable performance levels must contain the individual judgments of the faculty and administrators involved in the decision. These individuals evaluate productivity in each area based on assigned activities and the percentage of the individual's appointment allocated to that activity. Each faculty member is expected to perform, at a minimum, the following activities, as assigned:

¹ A faculty member's goals and expectations for annual evaluation purposes must dovetail with the department's minimum-acceptable productivity standards. For example, in the fourth year of a four-year minimum-acceptable productivity standard evaluation period for research (see under **Research** below), a faculty member's minimum research expectations for annual evaluation purposes must be the minimum requirement(s) needed to meet minimum-acceptable productivity standards for the four-year period. A faculty member cannot receive a score above "Substantially fails to meet expectations" for the same category for which he or she "Falls below the minimum-acceptable level of productivity."

a. Teaching

- i. Be conscientious about meeting classes on time; about the content, organization and presentation of lectures; and about the appropriate evaluation of students.
- ii. Be consistent in content and depth of material covered in required courses such that the students earning a >C or better are appropriately prepared for the subsequent courses.
- iii. Work to keep course materials current. Ensure the appropriate mix of analysis, design, and computer tools is covered.

b. Research

- i. Engage in scholarly and other creative activities appropriate to the profession.
- ii. Serve as graduate student advisor and/or on the graduate committee of one or more graduate students.
- iii. Communicate the results of the scholarly activities by publishing or giving presentations

c. Service

- i. Perform student advising conscientiously
- ii. Serve on departmental committees.
- iii. Attend department faculty meetings.
- iv. Attend an appropriate number of student-oriented functions such as Open House, Scholarship Days, and so forth.

In addition faculty members are expected to be respectful of students, staff and other faculty, and contribute to the pursuit of department/college/university goals, see sections D3 and D12 of the University Handbook.

VI. GUIDELINES FOR TENURE AND PROMOTION

University criteria and procedures for promotion and tenure decisions are described in the Kansas State University Handbook, Sections C70-C156. The following departmental criteria and procedures are to be used in conjunction with university guidelines.²

A. GENERAL GUIDELINES

1. Outside reviewers will be required to evaluate a candidate's portfolio for both tenure and promotion. The candidate shall provide the department head with the names of four individuals from outside the university who are qualified to evaluate the candidate's portfolio. The department head shall select two reviewers from that list along with two additional reviewers from outside the university who are similarly qualified to evaluate the candidate's portfolio. The four outside evaluations shall supplement the review of the candidate's promotion or tenure application by the resident faculty.
2. Tenure decisions for persons appointed at the rank of assistant professor shall be made no later than during the sixth year of service. Tenure decisions for persons appointed at the rank associate professor or professor shall be made no later than during the fifth year of service. The department head shall provide each tenure-track faculty member with a letter specifying the responsibilities of tenure-track faculty when the faculty member accepts a position in the department. For new faculty, the department head shall draft, and the dean shall approve a letter of expectations specific to the new faculty member. Tenure-track faculty seeking tenure shall submit a portfolio that demonstrates proficiency in teaching, research, and service consistent with the expectations specified in the department head's letter of responsibilities.
3. There is no explicit time-in-rank requirement for promotion in rank (with the exception that assistant professors must earn promotion within seven years). Associate professors seeking promotion to the rank of full professor shall submit a portfolio that demonstrates the candidate's proficiency in teaching, research, and service. The candidate must also provide evidence that he or she has had an impact on the profession (academe or practice) at the national or regional level.
4. Documents submitted by candidate for evaluation. These documents must include, but are not limited to:
 - a. Completed University Promotion Forms
 - b. Copies of up to five representative research products
 - c. A detailed curriculum vita (a template is attached)
 - d. Copies of annual reviews

² Although these requirements are necessary, they are not automatically sufficient.

B. REAPPOINTMENT, PROMOTION, and TENURE PROCEDURE

1. Reappointment of nontenured faculty members

In addition to the annual evaluation process required of all faculty members, probationary faculty seeking tenure must submit their tenure documentation annually to the Department's tenure and promotion committee for evaluation as per the guidelines and procedures discussed in Section II of this document (described in section VI.A.4) to the RPT Committee.³ Upon review of the evaluation materials by the RPT Committee, the faculty member may change and/or modify the materials in response to suggestions provided by the RPT Committee. In the event that the RPT committee recommends against reappointment, these materials are then evaluated by the eligible tenured faculty. Otherwise, all further proceedings will be between the department head and RPT committee only. The department head and the RPT Committee members (reappointment recommended) or eligible faculty (if reappointment was not recommended by the RPT committee) will meet to discuss the nontenured faculty member's suitability for reappointment and advancement toward tenure. The RPT committee will make its recommendation to the eligible faculty members at this time. At this meeting, any eligible faculty member may request that the nontenured faculty member (within 5 calendar days) meet with all the eligible faculty members to discuss, for purposes of clarification, the evaluation materials submitted by the probationary faculty member. After all discussions are complete, a ballot of the eligible faculty concerning the reappointment of the probationary faculty member will be submitted to the department head. The RPT committee chair writes a letter to the department head summarizing the committee or faculty vote and the factors that influenced the outcome. The department head submits the final recommendation, explanations, and complete evaluation materials to the dean. Included in the submitted materials to the dean is the recommendation letter from the RPT committee chair. The department head will present to the probationary faculty member the written recommendation and the associated explanations. Also, the department head will discuss with the probationary faculty member their advancement toward tenure. These recommendations and explanations are kept in the probationary faculty member's confidential file.

Mid-probationary review

During the faculty member's third year, the process will include evaluation by the RPT committee, evaluation by the eligible faculty, and review by the department head. Additionally, the College of Engineering Reappointment, Promotion and Tenure Committee reviews the case. The purpose of this review is to provide substantial feedback to the probationary faculty member from both the faculty and the administration about how well the faculty member's accomplishments satisfy the department's criteria for obtaining tenure. A favorable mid-probationary review does not guarantee that tenure will be given in the future, nor does a negative review guarantee that tenure will not be given. See University Handbook Sections C92.1-C93 for details regarding mid-probationary review.

³ The RPT committee will consist of three tenured faculty selected by a majority vote from the faculty.

Pre-tenure Evaluation Timeline:

- a. Every September, end of second week: Faculty member submits the evaluation materials to the RPT committee.
- b. October before the end of the second week, RPT committee meets and reviews application. In the third year and in cases where the RPT committee recommends against reappointment, evaluation materials are made available for review by eligible departmental faculty.
- c. In cases where the RPT committee recommends for reappointment, October second week, RPT committee meets with department head to discuss reappointment and progress towards tenure.
- d. In the third year and in cases where the RPT committee recommends against reappointment, November, end of first week: Eligible tenured faculty meet with department head to discuss reappointment and progress towards tenure.
- e. November, end of second week: Department head submits recommendation to the dean and provides the probationary faculty with a copy of the materials.

2. Procedure for Tenure and/or Promotion

By the first day of the fall semester, each faculty member intending to seek tenure or promotion during the academic year must write a letter to the department head indicating the intention to seek tenure and promotion, if applicable. This letter must include completed University Promotion Forms responding to the department's Promotion and/or Tenure Guidelines, as well as all supporting materials (see section VI.A.4 above).

The RPT committee will review the letter, forms, and any supporting material as a committee and then meet with each candidate seeking tenure and/or promotion (see Appendix C). The department head will participate in this meeting. Suggestions for improving the candidate's application and for addressing any concerns the committee perceives will be discussed with the candidate. The final decision to go forward rests with the candidate.

Faculty going forward for promotion will submit to the department head by June a list of four potential reviewers outside the University. Faculty going forward for promotion will prepare the final documentation supporting their application, in consultation with the RPT Committee and the department head, by October 1.

Eligible ChE faculty members individually review each candidate's file, which will be available at least fourteen days prior to the meeting at which eligible faculty discuss the candidate's petition. Any eligible faculty member, prior to the vote, may request to meet with the candidate to clarify any materials submitted by the candidate. Following any such candidate-clarification meetings, a meeting of eligible faculty will be called. At this meeting, the RPT Committee will report to the eligible faculty its deliberations. The eligible faculty members, less the department head, then submit their votes and written

comments to the department head. The vote and unedited faculty comments are forwarded with the candidate's material to the dean.

The department head will report to the eligible faculty the faculty vote tally and his or her recommendation to the dean. If the department head's recommendation is contrary to the faculty vote, the head will meet with the eligible faculty to explain the reasons for not accepting the faculty vote.

C. MEETINGS OF THE REAPPOINTMENT, PROMOTION AND TENURE (RPT) COMMITTEE

Meetings of the RPT Committee, when individual qualifications are considered, will be closed and any written documentations from the meeting will be confidential. Summary of comments on the ballots may be provided to the candidate.

VII. 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 careers, 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 (which are stipulated in the University Handbook). 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 (see University Handbook, Appendix W), which was approved by Faculty Senate on February 11, 2014.

Departmental Procedures

The department head will identify tenured faculty members who will undergo Post Tenure Review during each evaluation period. In general, post tenure review shall be conducted for tenured faculty every six years in accordance with the timeline and exceptions as outlined in the University Handbook. To initiate the review process, the identified tenured faculty member will submit copies of the six previous annual evaluations, and their goals for the next five years. The six previous annual evaluations are to be submitted at the same time as the annual evaluation materials as described in Section III above and used as a basis for the review.

The department head will conduct the review concurrently with the tenured faculty member's annual evaluation. The review will assess the faculty member's strengths and areas for improvement to determine whether he/she is making appropriate contributions to the University or whether additional plans or activities need to be developed. If the tenured faculty member has met or exceeded expectations for the six previous annual evaluations, the current level of professional development should be considered sufficient to demonstrate "appropriate contribution to the University". A copy of the review (See Appendix D – Post-Tenure Review Form) will be provided and discussed in a face-to-face meeting between the department head and the tenured faculty member.

**APPENDIX A
FACULTY ACTIVITY REPORT
DEPARTMENT OF CHEMICAL ENGINEERING**

January 1 to December 31, 20__

Name: _____

Rank: _____

Fractional Assignment: _____ Teaching _____ Research _____ Service

I. TEACHING ACTIVITIES

Include the course name and number and the number of students enrolled.

A. Undergraduate courses taught

Spring

Summer

Fall

B. Graduate courses taught

Spring

Summer

Fall

Note: Append copies of student evaluations for each class (IDEA Reports) to this document.

C. Graduate students advised (note if co-advised or off-campus).

M.S. candidates

Ph.D. candidates

D. Graduate students who obtained their degrees under your supervision.

M.S.

Ph.D.

E. New instructional approaches developed, preparation of instructional devices or aids, new courses and teaching laboratories developed (attach any appropriate documentation).

F. Additional training and education for enhancing teaching effectiveness (attach any appropriate documentation).

G. Mentoring of research associates.

II. RESEARCH AND CREATIVE ACTIVITIES

A. Books and monographs published (attach a copy each of the published work if available).

B. Journal articles and book chapters (attach copies or reprints)

Refereed Articles

Non-Refereed Articles

Book Chapter

C. Reports and bulletins

D. Material submitted or accepted for publication but not yet published (attach a copy each of the preprints)

E. Papers presented (attach a copy each of the reprints, if available)

F. Research Funding – Please complete the following table.

Proposal Title	Names of PI and any co-PI's (list all and include department)	Funding Source	Project Period (month/year – month/year)	Total Value	Estimated value of budget directly controlled by you	Your Role (PI, co-PI, senior personnel)	Status (pending, funded, declined)
CONTINUING PROJECTS							
PROJECTS THAT RECEIVED INITIAL FUNDING THIS YEAR							
PROPOSALS SUBMITTED THIS YEAR							

G. Patent applications filed and granted (attach appropriate documentation)

a. M.S. and Ph.D. Supervisory Committees on which you served

M.S. candidates

Ph.D. candidates

III. PROFESSIONAL ACTIVITIES

A. Consulting services

B. Summer employment

C. Professional appearances and invited lectures

D. Other professional activities

IV. INSTITUTIONAL AND PUBLIC SERVICE

- A. Committee assignments (department, college of engineering, and university)
- B. Other departmental and institutional services
- C. Public service assignments

V. HONORS

List all prizes, awards, fellowships, honor society memberships, honorary degrees, visiting professorships, etc. (attach any appropriate documentation)

VI. OTHER (list or indicate any additional activities and items not previously covered)

VII. PROFESSIONAL GOALS AND OBJECTIVES

- A. Provide a brief summary of the past year's accomplishments relative to the expectations set for the year in last year's activity report.
- B. Expectations for the current calendar year (please list major items you would like to accomplish in the coming year. For ongoing projects, service, etc., it is only necessary to state "continued current level of service" or something similar.)
 - 1. Teaching (Course development, equipment proposals, textbook or manual writing, etc.) Planned tenths: _____
 - 2. Research (Proposals, publications, conferences, etc.)
Planned tenths: _____
 - 3. Service (professional society, university committees, consulting, etc.)
Planned tenths: _____

APPENDIX B
FACULTY EVALUATION FORM
Department of Chemical Engineering
Kansas State University
January 1 to December 31, 20__

FACULTY MEMBER _____ **RANK** _____

The list below describes the primary types of faculty activities. An individual's total work load is represented by 1.0 FTE (for full time appointment). In Column 1, the fraction of the faculty member's FTE assigned to each responsibility is shown for the past 12 months. Column II provides the department head's rating of performance in each area, using the scale below.

Performance Rating Scale

- 5 = Significantly exceeds expectations
- 4 = Exceeds expectations
- 3 = Meets expectations
- 2 = Fails to meet expectations (but meets minimum acceptable level of performance)
- 1 = Substantially fails to meet expectations
- 0 = Falls below the minimum-acceptable level of productivity

	<u>Column I</u> <u>RESPONSIBILITY</u>	<u>Column II</u> <u>PERFORMANCE</u>
I. Teaching	_____	_____
II. Research	_____	_____
III. Service	_____	_____
Total	_____	Weighted Overall

Department Head's basis for the faculty member's performance ratings:

I. Teaching:

II. Research:

III. Service:

Faculty member's comments:

EXPECTATIONS FOR CURRENT CALENDAR YEAR

<u>Activities</u>	<u>Responsibility</u>
I. Teaching	
II. Research	
III. Service	
TOTAL	

Note: The typical tenth-time assignment for a full time faculty member is 0.5 for teaching, 0.4 for research, and 0.1 for service. These will be appropriately scaled according to the actual assignment for an individual.

REMARKS ON EXPECTATIONS FOR CURRENT CALENDAR YEAR:

Department Head

Date

Reviewed by Faculty Member

Date

Appendix C

Summary of Research Products for Promotion and/or Tenure Consideration

Contents

Publications: rationale, definitions	25
Refereed Articles	26
Unrefereed articles	28
Books and Book Chapters	30
Patents	31
Patent Applications	31
Invited Presentations	31
Presentations at Conferences, given or co-authored	32
Poster Presentations, given or co-authored	32
Other Scholarly Activities	32
Proposals submitted	32
Proposals awarded	33
Miscellaneous activities	10

Please complete the tables provided below for inclusion with your review.

The time period is the same as for your review.

Publications: rationale, definitions

"Refereed" means that at least one referee has read and anonymously provided written feedback for your paper, and that you/the authors have responded appropriately, resulting in acceptance and ultimately publication of the paper. The esteem of the refereed articles far exceeds that of any unrefereed materials such as news releases, not refereed book chapters or books, unrefereed proceedings, etc.

Refereed articles in **well established journals** are most valuable. Well-established journals are recognized through their inclusion in Thomson Reuters' Web of Science.

Refereed articles may also be published in journals **not abstracted** by Web of Science, but publishing in these journals is far less esteemed.

The same as for refereed articles is true for **non-refereed articles**: there are established journals such as Chemical Engineering Progress or C&E News (found in the databases), and other journals. Pay-per-page often indicates recently launched on-line only journals with little track record.

A note on Google Scholar: Google Scholar has apparently no reliable gate keeping function such as Web of Knowledge. Google Scholar is therefore not meaningful to establish literature citations, publication statistics, value of a journal, etc. Google Scholar does not reveal which journals it abstracts or how choices for abstracting are made, or if any gatekeeping is done at all. Spoofing of Google Scholar is well reported.

Competitive funding: More than one proposal or request was available to the sponsor to choose from.

Your Refereed Articles

Refereed Journal Articles accepted by or published in well established Journals, list only articles in Journals that can be found in **Web of Science** (Examples: AIChE Journal, Journal of Applied Polymer Science, Advanced Materials, Nano Letters etc.)

Full Journal Title	Impact Factor (database)	Article Title	Authors, indicate corresponding:* (example Smith, J.C., Miller*, R.)	Year	Vol.	Number	Page start	Page end	Times cited

Refereed Journal Articles in review in well established Journals, list only articles in Journals that can be found in **Web of Science** (Examples: AIChE Journal, Journal of Applied Polymer Science, Advanced Materials, Nano Letters etc.)

Full Journal Title	Impact Factor (database)	Article Title	Authors, indicate corresponding:* (example Smith, J.C., Miller*, R.)	Year	Vol.	Number	Page start	Page end	Times cited

Refereed Journal Articles accepted by or published in journals not found in **Web of Science**

Full Journal Title	Impact Factor (database)	\$ Charge per page published (y/n)?	Online only? (y/n)	Article Title	Authors, indicate corresponding:* (example Smith, J.C., Miller*, R.)	Year	Volume	Number	Page start	Page end

Refereed Journal articles in review in journals not found in **Web of Science**

Full Journal Title	Impact Factor (database)	\$ Charge per page published (y/n)?	Online only? (y/n)	Article Title	Authors, indicate corresponding:* (example Smith, J.C., Miller*, R.)	Year	Volume	Number	Page start	Page end

Unrefereed articles

Unrefereed Journal Articles accepted by or published in well established Journals, list only articles in Journals that can be found in **Web of Science** (Examples: AIChE Journal, Journal of Applied Polymer Science, Advanced Materials, Nano Letters etc.)

Full Journal Title	Impact Factor (database)	Article Title	Authors, indicate corresponding:* (example Smith, J.C., Miller*, R.)	Year	Volume	Number	Page start	Page end

Unrefereed Journal Articles in review in well established Journals, list only articles in Journals that can be found in **Web of Science** (Examples: AIChE Journal, Journal of Applied Polymer Science, Advanced Materials, Nano Letters etc.)

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Not Refereed Journal Articles accepted by or published in Journals not found in **Web of Science**

Full Journal Title	Impact Factor (database)	\$ Charge per page published (y/n)?	Online only? (y/n)	Article Title	Authors, indicate corresponding:* (example Smith, J.C., Miller*, R.)	Year	Volume	Number	Page start	Page end

Not Refereed Journal Articles in review in Journals not found **Web of Science**

Full Journal Title	Impact Factor (database)	\$ Charge per page published (y/n)?	Online only? (y/n)	Article Title	Authors, indicate corresponding:* (example Smith, J.C., Miller*, R.)	Year	Volume	Number	Page start	Page end

Proceedings refereed,

Non refereed,

Books and Book Chapters

Books, not edited

Title	Publisher	Publication date	Refereed y/n, if y: how?	Co authors

Chapter, edited book

Book title, Chapter Title	Publisher	Publication date	Refereed y/n, if y: how?	Editor	Co authors

Patents

Inventors listed in the same sequence as by U.S. PTO

Inventor 1	Inventor 2	Inventor 3	Inventor 4	U.S. Patent Number	Granted	Title

Patent Applications

Application filed with U.S. PTO (**not** preliminary or provisional applications, application must be searchable in PTO's application database)

Inventor 1	Inventor 2	Inventor 3	Inventor 4	U.S. Application Number	Filed date	Title		

Patent Disclosures

Invited Presentations by You (Conferences, Companies, Universities, National Laboratories, Research Organizations etc.)

Organization and/or Meeting	Title of Presentation	Registration paid y/n	Financially supported?	Date	

Presentations at Conferences, Companies, Universities, National Laboratories, Research Organizations etc.), given or co-authored

Author who presented	Author 2	Author 3	Total number of authors	Organization and/or Meeting	Title of Presentation	Date

Poster Presentations, given or co-authored

Author who presented	Author 2	Author 3	Total number of authors	Organization and/or Meeting	Title of Poster	Date

Other Scholarly Activities

Describe

Proposals submitted

Proposal Title	Sponsor	Your name on transmittal sheet?	Pi, Co-PI, senior personnel?	\$ total	\$ your control	Years (Start/End)	Co-PI's (name, unit)	Competitive y/n?

Proposals awarded

Your name must appear on the Kansas State University transmittal sheet

Proposal Title	Sponsor	Your name on transmittal sheet?	Pi, Co-PI, senior personnel?	\$ total	\$ you control	Years (Start/End)	Co-PI's (name, unit)	Competitive y/n? If yes, how

Miscellaneous funding

Source	Obtained how? (competition? distribution?)	\$ total	Years (Start/End)	PI's (name, unit)	Your involvement	Competitive? y/n

XI. APPENDIX D: POST-TENURE REVIEW FORM

Evaluation Period:

Faculty Member: _____

The department policy on post-tenure review follows the overarching purpose, principles, objectives, and procedures in the university policy on post-tenure review (see University Handbook, Appendix W), which was approved by Faculty Senate on February 11, 2014.

___ All six annual evaluations meet or exceed expectations and the tenured faculty member is making appropriate contributions to the university.

OR

___ The following additional plans or activities need to be developed:

Notable strengths:

Areas for improvement:

I have completed this post-tenure review based on the materials submitted by the faculty member and the procedures set forth in the Departmental Documents.

Department Head: _____ Date: _____

I have been given the opportunity to review this evaluation with the department head.

Faculty Member: _____ Date: _____