K-STATE LIBRARIES

ANNUAL EVALUATION GUIDELINES
(Approved by Faculty Vote on 3/26/2009)

PROMOTION AND TENURE GUIDELINES
(Approved by Faculty Vote on 3/02/2011, corrected 9/25/2012)


REVIEW DATE FOR PROMOTION AND TENURE GUIDELINES*: 9/2017

Lori Goetsch, Dean
Date signed: 9/27/2012

April C. Mason, Provost and Senior Vice President
Date signed: 10/04/2012

*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.
Tenure Criteria*
and
Procedures for
• Annual Reappointment/Tenure Review,
• Mid-Probationary Review and
• Final Tenure

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* These criteria apply to faculty appointed in 2008 and later. Procedures go into effect upon ratification.

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Part 1. Criteria for Tenure

I. Introduction

To achieve tenure at Kansas State University (K-State) Libraries, faculty members must demonstrate both excellence and commitment: excellence as demonstrated in their daily work as well as commitment to the library profession and to the goals of the Libraries and Kansas State University (the University). Excellence in directed service is essential but not sufficient for the granting of tenure. While the candidate may emphasize one or the other, excellence must also be demonstrated in Non-Directed Service and Research, Scholarly and Creative Achievements.

No single definition or standard of excellence suitably addresses all aspects of librarianship. The criteria outlined in this document are intended to provide flexibility so each candidate can attain tenure through pursuit of activities that reflect his/her unique skills and talents. This document contains examples throughout of activities that would meet each of the criteria listed below. These lists are intended for illustrative purposes only and are not meant to be prescriptive.

Flexibility in tenure-track careers is essential for helping faculty achieve excellence. It is therefore occasionally necessary for faculty members to have significant changes in their job descriptions to build upon their strengths and to advance the mission of K-State Libraries. Given the flexibility of the criteria in this document, such changes should not impede a candidate’s potential for tenure.

Some faculty members may have administrative responsibilities prior to earning tenure. Many administrative duties would be included under Directed Service. When an administrators’ duties involve non-directed service or creative activities (e.g., serving on university committees, innovations, grants, professional papers and presentations, partnering on project, etc.), they should be recognized in the other categories, as appropriate.

K-State Libraries’ faculty are encouraged to actively participate in collaborative efforts, both internally and externally. To attain tenure, it is essential that faculty members demonstrate the ability to work cooperatively and collaboratively with library personnel and, as appropriate, university personnel to further the goals of K-State Libraries and the University. It is incumbent upon each faculty member to elucidate his/her role in the partnership, so the resulting effort can be judged accordingly.

For the tenure process to work fairly and effectively, candidates must present themselves well by using the guidelines set forth in this document. Also, the Committee on Academic Tenure\(^a\) must evaluate each candidate objectively against these criteria and with K-State Libraries’ goals in mind. Strong candidates and knowledgeable, impartial members of the Committee on Academic Tenure will ensure that the quality of K-State Libraries’ faculty is always maintained at a high level.

Finally, it is recognized that scholarship and activities of value to the library community are evolving. As new avenues of scholarship and service emerge, it is critical that K-State Libraries’ faculty develop, through regular discussion and consensus, a means of assessing the value of those contributions. These discussions should occur annually, approximately one or two months before portfolios are reviewed.

Tenure may, on occasion, be granted at the time of appointment. For procedures related to this process, refer to W:\Teams\Faculty\Recruitment\Appointment with Rank or Tenure.

\(^a\) According to the Bylaws of the Kansas State University Libraries Faculty, this committee is composed of all tenured faculty within the K-State Libraries, excluding the Dean.

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II. Criteria for Tenure

A. Directed Service

The practice of librarianship is diverse, taking place in a variety of settings and valuing various skills and talents. In keeping with the multifaceted nature of the discipline, library faculty members engage in a broad spectrum of activities. As specialists providing access to information, library faculty are involved in activities such as the development of resources, collections, and information systems, bibliographic control and organization, instruction, reference, administration and planning, and outreach services.

Excellence in one’s job-related responsibilities includes, but is not limited to, the following:

1. High level of performance, working independently, collaboratively, innovatively, and with initiative. Increasing knowledge of one’s assigned responsibilities and demonstrated skill in performing those responsibilities. This includes judgment and decision-making abilities, quality of completed work assignments, and the ability to set and accomplish appropriate short- and long-term performance goals.

2. Progressive knowledge of the profession, including trends, issues, new ideas, and technological changes in librarianship. This includes a demonstrated effectiveness in applying one’s expertise relevant to librarianship, developing timely access to research-level information resources, and offering user-centered library services to support research and teaching in order to meet the needs of the user community.

3. Commitment to K-State Libraries’ mission as a collaborative partner with members of the library and university communities in meeting the information, curricular, and research needs of students, faculty, and staff of the university.

4. Understanding of the organization, policies, procedures, and services of K-State Libraries, and a demonstrated ability to serve the library clientele through interpretation of these policies and procedures.

B. Research, Scholarly and Creative Achievements

Scholarly activity can be demonstrated in several different ways, as defined by Boyer (1990) and Glassick, Huber, and Maeroff (1977). The scholarship of discovery pursues new knowledge. Scholarship of integration synthesizes and interprets knowledge to provide perspective. Scholarship of application solves problems for a larger community using knowledge from one’s particular field of expertise. Scholarship of teaching and learning contributes to knowledge about how people learn. Any one of these avenues of scholarship is sufficient for tenure when pursued to a high level of achievement. High achievement is characterized by qualities such as impact, renown, creativity, contribution to the body of knowledge, and uniqueness.

Excellence in research, scholarly, and creative achievements must be demonstrated by the candidate. Candidates must be able to detail their contributions to collaborative projects and to succinctly summarize the impact of their achievements. While recognizing the work involved in submitting
proposals, projects that have been presented or published or otherwise completed will demonstrate the greatest achievement. The Committee on Academic Tenure will look at evidence such as, but not limited to, the following activities. Other activities and achievements that demonstrate excellence are encouraged.

1. Research as evidenced by publications. Publications will be evaluated in light of purpose, audience, and potential contribution to the goals of K-State Libraries. In general, works that undergo considerable scrutiny before publication (for example by referees, editorial boards, anthology, editors, etc.) will be deemed of highest value.

2. Presentations at professional meetings, such as papers, workshops, and poster sessions; organizing or chairing committees that produce a research product. In general, presentations/poster sessions that are competitively selected and have a demonstrable positive impact will be deemed of highest value.

3. Pursuing or receiving grants, awards, scholarships, internships, or other honors giving evidence of scholarly activity and achievement. Funded grants and those written to national granting agencies are given greater weight. Awards, internships, honors will be evaluated based on their significance.

4. Creation and/or development of tools that aid the institution or profession, such as focused blogs and Web sites. The quality and impact of these efforts will determine their consideration for tenure.

5. Creative or artistic productions. The quality and scholarly impact of these efforts will determine their consideration for tenure.

C. Non-Directed Service

A strong service profile at the local, regional, and national levels is highly valued among K-State Libraries faculty. Candidates must demonstrate non-directed service beyond their assigned area of responsibility (directed service). Teaching and/or development of courses or workshops conducted for audiences external to K-State Libraries may be considered. External activities such as these should be managed so as not to create conflicts of interest and/or time commitment as defined in University Handbook Appendix S. Teaching K-State courses unrelated to librarianship may be considered in non-directed service as long as this falls outside the candidate’s directed service. The quality and impact of these efforts will determine their consideration for tenure and promotion.

UH Section C6, defines three categories of non-directed service: profession-based service, institution-based service, and public-based professional service. K-State Libraries allow latitude within this category so that candidates may choose the area(s) that best suit their interests and abilities. Any one of the avenues of non-directed service described below is sufficient for tenure when pursued to a high level of achievement.

1. Profession-based service. This type of activity provides leadership and service to the library profession. Profession-based service may include, but is not limited to, the following:
   a. Active involvement in state, regional, national, international professional associations. Activities at the local level may also be considered (e.g. training for the local school or public library). Such participation might include holding office, serving on committees and panels, organizing events at professional meetings.
b. Performing editorial functions for professional publications.
c. Activities garnering professional recognition as evidenced by awards, honors, consultantships, grants, fellowships, etc.

2. **Institution-based service.** This area of service embraces a broad range of activities involved in establishing and implementing policies at every level of K-STATE Libraries and University. Institution-based service may include, but is not limited to, active participation in the following:
   a. University committees.
b. Faculty governance bodies.
c. University-sponsored events.

3. **Public-based professional service.** Professional training as an information specialist provides a broad knowledge base. Public-based professional service is not limited to the area of directed service, but must be related to the profession of librarianship. Only civic and personal service that employ professional practice are applicable. Other types of civic activities are viewed as a person’s participation as a citizen and indicate personal skills and individual choice in use of private time. Public-based professional service may include, but is not limited to, the following:
   a. Serving as an expert witness.
b. Developing programs and providing training, or providing consultation to a non-academic audience.

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**Part 2. Procedures for Annual Reappointment/Tenure Review**

For purposes of reappointment, eligible faculty include all tenured faculty. Eligible faculty have full voting privileges. Probationary faculty may appear and participate in discussions, as noted in Number 10 below, but do not have voting privileges. Faculty with a family relationship to a candidate will not participate in any discussion or vote related to that candidate (see *UH Appendix S & PPM Ch. 4095*). It is essential that all tenured faculty participate fully in reviewing the tenure portfolios and voting.

1. By the middle of August, the Chair of the K-State Libraries Faculty, in collaboration with the Director of Human Resources and Diversity, establishes dates and distributes the Libraries’ Unclassified Master Calendar for the Committee on Academic Tenure deliberations, following university deadlines. Deliberations are always conducted after the annual merit evaluations have been completed.

2. In years when there are assistant professors who will be considered for both tenure and promotion to associate professor, the Committee on Academic Tenure and the Committee on Promotion to Associate Professor will meet together for discussion of those candidates. Annual reappointment/tenure review, however, is restricted to members of the Committee on Academic Tenure only, since promotion is not a factor in these deliberations.

3. In years when both committees are meeting together to discuss tenure/promotion candidate(s), as noted above, the Chair and Secretary of the deliberation committee will be elected from the group of tenured faculty within the K-State Libraries, excluding the Dean.

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\(^{b}\) According to the *Bylaws of the K-State University Libraries Faculty*, this committee is composed of all tenured faculty within the K-State Libraries, excluding the Dean.

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faculty who are members of both the Committee on Academic Tenure and the Committee on Promotion to Associate Professor. In other years, both committees will elect a Chair and Secretary from their full membership. Faculty receiving tenure the previous academic year are not eligible to serve as Chair or Secretary.

a. For a combined deliberation committee, the Chair serves for annual reappointment/tenure review, mid-probationary review, tenure with promotion discussion and, in June of the following year, polls the Committee regarding internal/external reviewers for next year’s reviews.

b. In other years, the Chair of the Committee on Academic Tenure will conduct the deliberations for annual reappointment/tenure review, mid-probationary review, tenure without promotion and, in June of the following year, polls the Committee regarding internal/external reviewers for next year’s reviews.

4. The Secretary will take minutes reflecting attendance at the meeting and the procedures that were followed. The Secretary’s minutes do not record the deliberations. The Secretary will also forward a list of the Committee on Academic Tenure members to the Personnel Specialist, prepare a ballot form for each candidate, storing the ballots on the LAN in a folder for the current year’s deliberations (e.g., W:\Faculty\Tenure and Promotion Docs\Ballots\2007 Deliberations), and prepare envelopes for members’ votes with the information: [name of Personnel Specialist], Hale Library, 504, RE: Reappointment.

5. The members of the K-State Libraries Faculty Committee on Professional Development organize and schedule a workshop held in early September to assist all probationary faculty in the preparation of tenure deliberation materials. The Dean of Libraries participates in the workshop.

The Tenure and Promotion Committee(s) will meet annually to review tenure and promotion documents and standards to help ensure consistency in interpreting the documents in advance of the tenure workshop.

6. During December, one year prior to a mid-probationary and/or final tenure decision, the Director of Human Resources and Diversity notifies each probationary library faculty member of the date of his/her candidacy.

7. Following each new-tenure track appointment, the Director of Human Resources and Diversity updates the Annual Status Review Worksheet and makes it available to all faculty on the Libraries' Intranet (Information & Forms/Human Resources/Annual Status Review Worksheet).

8. Candidate’s portfolio
It is the responsibility of the candidate to complete the portfolio. Assistance may be sought from the supervisor, mentor, and others, if desired. The statement of accomplishments and summary documents should be cumulative, including substantial professional accomplishment prior to employment at Kansas State University. The portfolio should contain, in this order:


b. Statement of Candidate Accomplishments (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Candidate Accomplishments).

c. Statement of Five-Year Goals (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Five-Year Goals).

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**d. Summary of Candidate's Directed Service** (w:\Faculty\Tenure and Promotion Docs\Drafts\Summary of Directed Service).

**e. Summary of Candidate's Non-directed Service** (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Non-Directed Service).

**f. Evidence of Research and Other Creative Activities** (w:\Faculty\Tenure and Promotion Docs\Drafts\Evidence of Research and Other Creative Activities).

**g. Position descriptions and evaluations for all years of employment at K-State Libraries.**

**h. Department head's previous reappointment recommendation letter(s).**

**i. Vita.**

**j. Other brief supporting documentation the candidate would like to include.**

9. Portfolios for annual reappointment/tenure review candidates are available to the Committee on Academic Tenure fourteen (14) calendar days prior to the beginning of deliberations. Each member of the deliberation committee must be familiar with all materials prior to the beginning of deliberations and must be prepared to discuss each candidate.

10. The Chair of the deliberation committee schedules the annual reappointment/tenure review with department head(s), supervisor(s) and tenured faculty.
    a. Associate Deans, Assistant Deans, and Directors with tenure may participate as regular members of the tenured faculty.
    b. Probationary department heads/chairs and supervisors offer testimony regarding their candidate(s) and remain for the discussion.
    c. The Dean does not attend unless acting in the role of supervisor of one or more candidates to be evaluated; in this instance the Dean offers testimony and participates in the discussion. The Dean serves both as department head and Dean in this circumstance.

11. The Committee on Academic Tenure must be prepared to devote sufficient time to the deliberations so all candidates can be discussed thoroughly. Attendance at the deliberation meeting is mandatory for all committee members. Absences for exceptional circumstances must be approved by the Dean in advance. The Dean will notify the Chair of the deliberation committee of approved absences.

12. Deliberation meeting
    a. The Chair of the deliberation committee determines the order of candidates to be discussed. All testimony and evidence is based on direct observation and/or written documents. Hearsay evidence is not accepted. It is the duty of the Chair to disallow hearsay evidence. Each candidate is judged on (1) criteria given in Part I. of this document (Criteria for Tenure), (2) on the contents of the candidate’s portfolio, and (3) on testimony given before the Committee on Academic Tenure during its deliberations.
    b. All proceedings are confidential. They are not revealed to the candidate(s) or to anyone not a member of the Committee on Academic Tenure except probationary department heads and supervisors.
    c. Order of business for each candidate
       1. Candidate will appear before the Committee to make a brief statement of accomplishments and answer questions related to the tenure portfolio. The candidate then leaves the meeting. Candidates with extenuating circumstances can be excused from appearing.
       2. The department head/chair and supervisor testify about the candidate’s progress toward tenure and basis for reappointment and participate in the discussion. The department head/chair may want to take notes, but no formal minutes are taken.
3. Discussion about the candidate’s progress toward tenure and suitability for reappointment.

13. Three (3) working days after the deliberations, the Secretary will prepare minutes of the meeting. Minutes will be signed and dated by both the Chair and Secretary, and given to the Personnel Specialist to be filed in the Administrative Office.

14. Voting
   a. Any individual who is not able to conduct a thorough review of the portfolios during their two-week availability (e.g., due to sabbatical, hospitalization, etc.) will be excluded from voting.
   b. Within two (2) working days after the meeting, each eligible faculty member prints the ballots from the LAN, and completes, signs and submits a ballot for each candidate to the Personnel Specialist. Each ballot must include an indication of whether the faculty member finds the candidate acceptable, not acceptable, or abstains. Acceptable/not acceptable votes must be accompanied by supporting comments; comments should be typed on the ballot form so they are not separated from the signature. In addition, each voter is asked to submit these files on a flash drive to the Personnel Specialist. Abstentions are allowed only for extenuating circumstances (e.g., personal relationship, business relationship, extended leave resulting in inability to review portfolio, etc.). Abstentions must be accompanied by reasons justifying the abstention.
   c. Immediately after the deadline (or the next working day), the Chair and Secretary of the deliberation committee and the Personnel Specialist will open the ballots, check the name of each eligible faculty member submitting ballots, thus assuring full participation by each faculty member, and record the total votes for each candidate on the Summary of Votes form.
   d. Within three (3) working days of opening the ballots, the Personnel Specialist records the total votes for each candidate on the Summary of Votes form, and transcribes each individual ballot on the Summary of Votes form, including the vote/abstention, but without the faculty member’s name. The Chair and Secretary of the deliberation committee must be present when the ballots are counted.
   e. At the end of the three working days (or sooner), the Chair and Secretary of the deliberation committee verify the accuracy of the transcriptions by comparing the transcribed documents with the original ballots.
   f. The Chair of the deliberation committee reviews the abstentions on the original ballots and the list of voting members. The Chair notifies the appropriate department head/chair and the Dean of abstentions and faculty members who failed to vote.
   g. Upon verification, the Personnel Specialist immediately gives the transcribed, unedited comments and vote summary for each candidate to the appropriate department head/chair.
   h. In the event of illness or other absence of the Chair, Secretary, or Personnel Specialist, the Director of Human Resources and Diversity or his/her designee shall serve in that capacity to ensure the master calendar deadlines are met.
   i. The original comments for each candidate are filed in his/her individual reappointment/promotion/tenure file in the Administrative Office. The original comments are not shared with the candidate, but may be available to courts and/or grievance boards.

15. Within five (5) working days of receiving the unedited comments and vote summary, the department head/chair reviews the transcribed ballots and makes his/her own recommendation on reappointment.

16. The department head/chair prepares a brief letter to the Dean with his/her reappointment recommendation and forwards the following documents to the Dean for each candidate:

Approved by KSUL Faculty/Unclassified Professionals 09-12-07; rev. 09-10-08, 12-09-08, 03-26-09
a. His/her reappointment recommendation letter.
b. Candidate’s portfolio.
c. Transcribed ballots with unedited faculty comments.
d. Vote summary sheet.

17. The department head/chair prepares a more detailed letter to the candidate including the results of the reappointment vote, the department head’s/chair’s recommendation with his/her supporting comments, and substantive comments supporting the faculty recommendation. The following statement should appear at the bottom of the letter: “I have met with [chair’s name and title] and discussed the contents of this letter. My signature does not imply agreement with the contents of this letter.” Meetings with candidate(s) to review their reappointment/tenure review letters will be completed within four weeks following completion of the Committee on Academic Tenure deliberations. Review letters are distributed to candidate(s) one week prior to the meetings.

18. After the letter is sent to the candidate, the department head/chair notifies the deliberation committee members the results of the vote in writing or via email, as preferred.

19. The department head/chair meets with the candidate and the candidate signs the letter acknowledging the discussion of its contents. After the meeting and signing of the letter, the original letter is filed in the candidate’s individual reappointment/promotion/tenure file in the Administrative Office; a copy is given to the candidate for his/her portfolio.

20. Dean makes independent reappointment recommendation and notifies the candidate and department head/chair his/her decision.

21. Dean forwards his/her recommendation to the Provost along with the department head’s/chair’s recommendation, the results of the vote, and the transcribed unedited comments of the tenured faculty. The candidate’s complete portfolio will be available to the Provost upon his/her request.

22. At the end of the process, the documents are retained as follows
   a. Faculty members’ individual reappointment/promotion/tenure files in the Administrative Office
      1. Copy of Dean’s recommendation letter.
      2. Copy of department head’s/chair’s recommendation letters to the Dean and the candidate.
      3. Original ballots for the individual.
      4. Vote summary sheet for the individual.
      5. Transcribed ballots for the individual.
   b. General Reappointment/Promotion/Tenure file in the Administrative Office
      1. Minutes of deliberation meeting.
      2. List of qualified voters from the Secretary.

Part 3. Procedures for Mid-Probationary and Final Tenure Review

I. Introduction

For purposes of tenure, the K-State Libraries functions as a single department rather than as a college. These procedures, therefore, are based on UH sections C110-C112. As UH procedures are revised, updates in the UH take precedence over procedures in this document.
According to the *Bylaws of the K-State University Libraries Faculty*, the Committee On Academic Tenure is composed of all tenured faculty within the K-STATE Libraries, excluding the Dean. The Committee on Promotion to Associate Professor is a separate committee composed of all faculty within the K-State Libraries with academic rank above assistant professor, excluding the Dean. Given the substantial overlap between the two committees, both committees will meet together for discussion of candidates who are under consideration for both final tenure and promotion to associate professor. Only members of the Committee on Academic Tenure vote for tenure, and only members of the Committee on Promotion to Associate Professor vote for promotion.

In years when there are assistant professors who will be considered for both tenure and promotion to associate professor, the Chair and Secretary of the deliberation committee will be elected from the group of faculty who are members of both the Committee on Academic Tenure and the Committee on Promotion to Associate Professor. In other years, both committees will elect a Chair and Secretary from their full membership.

Untenured supervisors of candidates will appear and participate in discussions but do not have voting privileges. Candidates will appear before the committee. Faculty with a family relationship to a candidate will not participate in any discussion or vote related to that candidate (see *UH Appendix S & PPM Ch. 4095*).

It is the responsibility of the Chair and Secretary of the deliberation committee to assure that all applicable procedures have been followed and that the Committee fairly applies established criteria, standards, and guidelines for tenure. The Secretary's minutes will include the names of those present, and record the procedures followed during the deliberations rather than the comments about particular candidates.

Tenure is not granted below the rank of associate professor except in special circumstances approved by the Provost. To achieve tenure, assistant professors must also meet criteria for promotion to associate professor. For persons appointed at the rank of assistant professor, the maximum probationary period for gaining tenure and promotion to associate professor consists of six regular annual appointments at Kansas State University. (*UH C82.2*). For persons appointed at the rank of associate professor or professor, the maximum probationary period for gaining tenure consists of five regular annual appointments. (*UH C82.3*)

Recommendations for tenure are considered annually. Faculty members in the final year of probation will be automatically reviewed for tenure unless they resign. A faculty member may request an early tenure review. Ordinarily, this is done after consultation with the dean and the tenured faculty members. (*UH C110*) A mid-probationary review is conducted during the faculty member's third year.

**II. Procedures**

1. Following each new tenure-track appointment, the Director of Human Resources and Diversity updates the Annual Status Review Worksheet (See K-State Libraries’ Intranet under Information & Forms/Human Resources/Annual Status Review Worksheet).

2. During December, one year prior to a mid-probationary and/or final tenure decision, the Director of Human Resources and Diversity notifies each library faculty member of the date of his/her candidacy.
3. Additional Reviewers:
The deliberation committee may request that any individual participate as a reviewer in final tenure deliberations. In June, the current Chair of the deliberation committee will ask the Committee on Academic Tenure members and members of the Committee on Promotion to Associate Professor, when appropriate, if they desire any internal and/or external reviewers.

   a. Internal reviewers – when deemed appropriate by a simple majority of the Committee members, comments are solicited from students and from other faculty members, classified staff, and department chairs/heads in the college [i.e., Library] or university. (*UH C112.2*)
   
   b. External reviewers – when deemed appropriate by a simple majority of the Committee members, comments from external reviewers may be solicited for final tenure review. (As defined in *UH C36.1*, external reviewers are “Persons outside the university who are recognized for excellence in the candidate’s discipline or profession.”) When a candidate requests early tenure, external reviewers are required. When outside reviewers are used, an equal number are usually selected by the candidate and the department chair/head. (*UH C112.2*) The following guidelines will apply to external reviewers:

   1. External reviewers will be sent a copy of the K-State Libraries’ criteria for Tenure and Promotion to Associate Professor plus the candidate’s position description for the time frame being evaluated, summary sheets, vita, and copies of publications.

   2. External reviewers will be asked to describe his/her relationship with the candidate and assess whether the candidate adequately meets the K-State Libraries’ criteria.

   3. External reviewers will be asked to submit their assessment of the candidate by October 1.

4. By the middle of August, the Chair of the K-State Libraries Faculty, in collaboration with the Director of Human Resources and Diversity, establishes dates and distributes the Libraries’ Unclassified Master Calendar for the Committee on Academic Tenure deliberations, following university deadlines. Deliberations are always conducted after the annual merit evaluations have been completed.

5. As noted above, in years when the Committee on Academic Tenure and the Committee on Promotion to Associate Professor are meeting together to discuss tenure/promotion candidate(s), as noted above, the Chair and Secretary of the deliberation committee will be elected from the group of faculty who are members of both the Committee on Academic Tenure and the Committee on Promotion to Associate Professor. In other years, both committees will elect a Chair and Secretary from their full membership. Faculty receiving tenure the previous academic year are not eligible to serve as Chair or Secretary.

   a. For a combined deliberation committee, the Chair serves for annual reappointment/tenure review, mid-probationary review, tenure with promotion discussion and, in June of the following year, polls the Committee regarding internal/external reviewers for next year’s reviews.

   b. In other years, the Chair of the Committee on Academic Tenure will conduct the deliberations for annual reappointment/tenure review, the mid-probationary review, tenure without promotion and, in June of the following year, polls the Committee regarding internal/external reviewers for next year’s reviews.

6. The Secretary takes minutes of the procedures conducted for the mid-probationary review and final tenure deliberation. The Secretary will forward a list of the eligible voting members to the Personnel Specialist. Committee on Academic Tenure members only vote on tenure; Committee on Promotion to Associate Professor members only vote on promotion; members of both committees vote on both tenure and promotion. The Secretary also prepares a ballot form for each candidate, storing the ballots on the LAN in a folder for the current year’s deliberations (e.g., w:\Faculty\Tenure and Promotion
Docs\Ballots\2007 Deliberations), and prepares envelopes for members’ votes with the information: [name of Personnel Specialist], Hale Library 504, RE: Mid Tenure or Tenure/Promotion as appropriate. Tenure and promotion ballots, or reappointment ballots, for each candidate may be placed in one envelope per voting member.

7. The members of the K-State Libraries Faculty Committee on Professional Development organize and schedule a workshop held in early September to assist all probationary faculty in the preparation of tenure deliberation materials. The Dean of Libraries participates in the workshop.

8. In September, candidates for final tenure must submit a list of three names and contact information for letters of support from people external to the Libraries to the Director of Human Resources and Diversity. Candidates should solicit letters that are representative of their contributions to the institution and profession.

Letters of support are not required for mid-probationary candidates.

9. Candidate’s portfolio
It is the responsibility of the candidate to complete the portfolio. Assistance may be sought from the supervisor, mentor, and others, if desired. The statement of accomplishments and summary documents should be cumulative, including substantial professional accomplishment prior to employment at Kansas State University. The portfolio should contain, in this order:

a. Recommendation for Promotion and Tenure (transmittal sheet) – for final tenure only
c. Statement of Candidate Accomplishments (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Candidate Accomplishments).
d. Statement of Five-Year Goals (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Five-Year Goals).
e. Summary of Candidate's Directed Service (w:\Faculty\Tenure and Promotion Docs\Drafts\Summary of Directed Service).
f. Summary of Candidate's Non-directed Service (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Non-Directed Service).
g. Evidence of Research and Other Creative Activities (w:\Faculty\Tenure and Promotion Docs\Drafts\Evidence of Research and Other Creative Activities).
h. Position descriptions and evaluations for all years of employment at K-State Libraries.
i. Department head's previous reappointment recommendation letter(s).
j. Vita.
k. Other brief supporting documentation the candidate would like to include.

For final tenure, the Director of Human Resources and Diversity will insert the letters of support and assessment(s) by external reviewer(s), if applicable, into the portfolio for review by members of the Committee on Academic Tenure.

10. Portfolios for mid-probationary and final tenure candidates are available to the deliberation committee (14) calendar days prior to the beginning of deliberations. Each member of the Committee must be familiar with all materials prior to the beginning of deliberations and must be prepared to discuss each candidate.
11. The Chair of the deliberation committee schedules the mid-probationary and final tenure deliberations with the tenured faculty, members of the Committee on Promotion to Associate Professor (when appropriate), probationary department head(s) and supervisor(s).
   a. Associate Deans, Assistant Deans, and Directors with tenure may participate as regular members of the tenured faculty.
   b. Department heads/chairs and supervisors offer testimony and remain for the discussion regarding their candidate(s).
   c. The Dean does not attend unless acting in the role of supervisor of one or more candidates to be evaluated; in this instance the Dean offers testimony and participates in the discussion. The Dean serves both as department head and Dean in this circumstance.

12. The deliberation committee must be prepared to devote sufficient time to the deliberations so all candidates can be discussed thoroughly. Attendance at the deliberation meeting is mandatory for all committee members. Absences for exceptional circumstances must be approved by the Dean in advance. The Dean will notify the Chair of the deliberation committee of approved absences.

13. Deliberation meeting
   a. It is the responsibility of the Chair and Secretary of the deliberation committee to assure that all applicable procedures have been followed and that the Committee fairly applies established criteria, standards, and guidelines for tenure and, when appropriate, promotion. The Secretary's minutes will include the names of those present, and record the procedures followed during the deliberations rather than the comments about particular candidates.
   b. The Chair of the deliberation committee determines the order of candidates to be discussed. All testimony and evidence is based on direct observation and/or written documents. Hearsay evidence is not accepted. It is the duty of the Chair to disallow hearsay evidence. Each candidate is judged on (1) criteria given in Part I. of this document (Criteria for Tenure), (2) on the contents of the candidate’s portfolio, and (3) on testimony given before the committee during its deliberations.
   c. All proceedings are confidential. They are not revealed to the candidate(s) or to anyone not a member of the deliberation committee except probationary department heads and supervisors.
   d. Order of business for each candidate
      1. Candidate will appear before the Committee to make a brief statement of accomplishments and answer questions related to the tenure portfolio. The candidate then leaves the meeting. Candidates with extenuating circumstances can be excused from appearing.
      2. The department head/chair and supervisor testify about the candidate’s progress toward tenure and basis for reappointment and participate in the discussion. The department head/chair may want to take notes, but no formal minutes are taken.
      3. Discussion about the candidate’s suitability for tenure.

14. Three (3) working days after the deliberations, the Secretary of the deliberation committee will prepare minutes of the meeting. Minutes will be signed and dated by both the Chair and Secretary, and given to the Personnel Specialist to be filed in the Administrative Office.

15. Voting
   a. Any individual who is not able to conduct a thorough review of the portfolios during their two-week availability (e.g., due to sabbatical, hospitalization, etc.) will be excluded from voting.
   b. Within two (2) working days after the meeting, each eligible faculty member prints the ballots from the LAN, and completes, signs and submits a ballot for each candidate to the Personnel Specialist.
Specialist. Each ballot must include an indication of whether the faculty member finds the candidate acceptable, not acceptable, or abstains. Acceptable/not acceptable votes must be accompanied by supporting comments; comments should be typed on the ballot form so they are not separated from the signature. In addition, each voter is asked to submit these files on a flash drive to the Personnel Specialist. Abstentions are allowed only for extenuating circumstances (e.g., personal relationship, business relationship, extended leave resulting in inability to review portfolio, etc.). Abstentions must be accompanied by reasons justifying the abstention.

c. Immediately after the deadline (or the next working day), the Chair and Secretary of the deliberation committee and the Personnel Specialist will open the ballots, check the name of each eligible faculty member submitting ballots, thus assuring full participation by each faculty member, and record the total votes for each candidate on the Summary of Votes form.

d. Within three (3) working days of opening the ballots, the Personnel Specialist records the total votes for each candidate on the Summary of Votes form, and transcribes each individual ballot on the Summary of Votes form, including the vote/abstention, but without the faculty member’s name. The Chair and Secretary of the deliberation committee must be present when the ballots are counted.

e. At the end of the three working days (or sooner), the Chair and Secretary of the deliberation committee verify the accuracy of the transcriptions by comparing the transcribed documents with the original ballots.

f. The Chair of the deliberation committee reviews the abstentions on the original ballots and the list of voting members. The Chair notifies the appropriate department head/chair and the Dean of abstentions and faculty members who failed to vote.

g. Upon verification, the Personnel Specialist immediately gives the transcribed, unedited comments and vote summary for each candidate to the appropriate department head/chair.

h. In the event of illness or other absence of the Chair, Secretary, or Personnel Specialist, the Director of Human Resources and Diversity or his/her designee shall serve in that capacity to ensure the master calendar deadlines are met.

i. The original comments for each candidate are filed in his/her individual reappointment/promotion/tenure file in the Administrative Office. The original comments are not shared with the candidate, but may be available to courts and/or grievance boards.

16. Within five (5) working days of receiving the unedited comments and vote summary, the department head/chair reviews the transcribed ballots and makes his/her own recommendation on mid-tenure progress/tenure.

17. The department head/chair prepares a brief letter to the Dean with his/her recommendation and forwards the following documents to the Dean for each candidate:
   a. His/her recommendation letter.
   b. Candidate’s tenure portfolio.
   c. Transcribed ballots with unedited faculty comments.
   d. Vote summary sheet.

18. Notification to the candidate
   a. For mid-tenure review, the department head/chair prepares a more detailed letter to the candidate including the results of the mid-tenure review vote, the department head’s/chair’s recommendation with his/her supporting comments, and substantive comments supporting the faculty recommendation. The following statement should appear at the bottom of the letter: “I have met with [chair’s name and title] and discussed the contents of this letter. My signature does not imply agreement with the contents of this letter.” The department head/chair will meet

Approved by KSUL Faculty/Unclassified Professionals 09-12-07; rev. 09-10-08, 12-09-08, 03-26-09
with the candidate to discuss his/her mid-tenure review within four weeks following completion of the Committee on Academic Tenure deliberations. Review letters are distributed to the candidate(s) one week prior to the meetings. During the meeting, the candidate signs the letter acknowledging discussion of the letter’s contents.
b. For final tenure, the department head/chair prepares a more detailed letter to the candidate including the results of the final tenure vote, the department head’s/chair’s recommendation with his/her supporting comments, and substantive comments supporting the faculty recommendation. In instances of tenure with promotion, the tenure and promotion information may be conveyed in a single letter. A copy of the department head/chair’s written recommendation to the Dean is also forwarded to the candidate with the letter.

c. For both mid-tenure review and final tenure, after the letter is sent to the candidate, the department head/chair notifies the deliberation committee members the results of the vote in writing or via email, as preferred.

19. Dean makes independent recommendation and notifies the candidate and department head/chair of his/her decision.

20. Dean forwards his/her recommendation to the Provost along with the department head’s/chair’s recommendation, the results of the vote, and the transcribed unedited comments of the tenured faculty. The candidate’s complete portfolio will be available to the Council of Deans upon request.

21. At the end of the process, the documents are retained as follows
   a. Faculty members’ individual reappointment/promotion/tenure files in the Administrative Office
      1. Copy of Dean’s recommendation letter.
      2. Copy of department head’s/chair’s recommendation letters to the Dean and the candidate.
      3. Original ballots for the individual.
      4. Vote summary sheet for the individual.
      5. Transcribed ballots for the individual.
   b. General Reappointment/Promotion/Tenure file in the Administrative Office
      1. Minutes of deliberation meeting.
      2. List of qualified voters from the Secretary.
Part 4. References


Appendix A

Ballot for Reappointment

Candidate's Name:_________________________

For the purposes of Reappointment, I find the candidate:

Acceptable __________

Not acceptable ________

Comments in support of acceptable/not acceptable recommendation:

I abstain __________

Give reason(s) for abstention:

Signed: ________________________________

Date: ________________________________
Appendix B.

Ballot for Mid Tenure Review

Candidate's Name: ______________________

For the purposes of Mid Tenure Review, I find the candidate:

Acceptable ________

Not acceptable ________

Comments in support of acceptable/not acceptable recommendation:

I abstain ________

Give reason(s) for abstention:

Signed: ________________________________

Date: ____________________
Appendix C.

Ballot for Final Tenure without Promotion

Candidate's Name:_________________________

For the purposes of Final Tenure, I find the candidate:

Acceptable __________

Not acceptable ________

Comments in support of acceptable/not acceptable recommendation:

I abstain __________

Give reason(s) for abstention:

Signed: ______________________________________

Date: ____________________
Appendix D.

Ballot for Final Tenure and Promotion to Associate Professor

Candidate's Name:_________________________

For the purposes of Final Tenure and Promotion to Associate Professor, I find the candidate:

Acceptable for tenure__________ Acceptable for promotion ______________

Not acceptable for tenure ________ Not acceptable for promotion __________

Comments in support of acceptable/not acceptable recommendation:

I abstain __________

Give reason(s) for abstention:

Signed: ________________________________

Date: __________________________

Approved by KSUL Faculty/Unclassified Professionals 09-12-07; rev. 09-10-08, 12-09-08, 03-26-09
Appendix E.

Summary of Votes for Reappointment, Tenure (circle one)

Candidate’s name: _______________________________________

Acceptable: __________________

Not acceptable: ________________

Abstentions: ___________________

Date: _________________________
Appendix F.

Contents of Department Head/Chair Reappointment/Mid-Tenure Letter to Candidate

Candidate’s Name: ________________________

Results of Vote for Reappointment, Tenure, Promotion

   Acceptable: _______________

   Not acceptable: ____________

   Abstentions: _______________

Department Head/Chair’s Recommendation and Rationale:

Themes of Significance from Faculty Comments:

Department Head’s Signature: ________________________________

Date: ___________________
Promotion Criteria and Procedures

Part I. Associate Professor
Part II. Professor

For Associate Professor, these criteria apply to faculty appointed in 2008 or later.

For Professor, these criteria go into effect upon ratification.

Procedures go into effect upon ratification.
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**Introduction**

“Faculty members may expect to advance through the academic ranks on the basis of demonstrated individual merit in relation to their association with the university’s mission and with their own disciplines. Each higher rank demands a higher level of accomplishment.” (University Handbook (UH) C120)

To achieve promotion at Kansas State University (K-State) Libraries, faculty members must demonstrate both excellence and commitment: excellence as demonstrated in their daily work as well as commitment to the library profession and to the goals of the Libraries and Kansas State University (the University). Excellence in directed service is essential but not sufficient for the granting of promotion. Excellence must also be demonstrated in Non-Directed Service and Research, Scholarly and Creative Achievements. In addition to librarianship or archival studies, research and creative activities in other academic areas are recognized as tools of outreach and fulfillment of the university mission of interdisciplinary scholarship.

No single definition or standard of excellence suitably addresses all aspects of librarianship. The criteria outlined in this document are intended to provide flexibility so each candidate can achieve promotion through pursuit of activities that reflect his/her unique skills and talents. This document contains examples throughout of activities that would meet each of the criteria listed below. These lists are intended for illustrative purposes only and are not meant to be prescriptive.

Flexibility in tenure-track careers is essential for helping faculty achieve excellence. It is therefore occasionally necessary for faculty members to have significant changes in their job descriptions to build upon their strengths and to advance the mission of K-State Libraries. Given the flexibility of the criteria in this document, such changes should not impede a candidate’s potential for promotion.

For purposes of promotion, the K-State Libraries functions as a single department rather than as a college. These procedures, therefore, are based on UH sections C120-C152.5. As UH procedures are revised, updates in the UH take precedence over procedures in this document.

Rank above Assistant Professor may, on occasion, be granted at the time of appointment. For procedures related to this process, refer to W:\Teams\Faculty|Recruitment\Appointment with Rank or Tenure.

**I. Associate Professor**

At Kansas State University, tenure is not granted below the rank of associate professor except in special circumstances approved by the Provost. For probationary assistant professors, tenure and promotion to associate professor are generally granted concurrently. Therefore the criteria in this document for promotion from assistant to associate professor are the same as the K-State Libraries’ criteria for tenure.

An associate professor should have a solid academic reputation based on sustained performance and show promise of further development and productivity in his or her academic career. Candidates for this rank must have mastered the skills and techniques of librarianship, demonstrated a high level of professional performance, and made meaningful professional contributions. The candidate must offer evidence that he or she has kept abreast of developments in the field, has retained interest in good basic
service and operations, and has a high likelihood of sustained contributions to the profession and to the University.

For persons appointed at the rank of assistant professor, the maximum probationary period for gaining tenure and promotion to associate professor consists of six (6) regular annual appointments at Kansas State University at a probationary rank *(UH C82.2)*. Promotion may be granted earlier when the faculty member’s cumulative performance at rank clearly meets the standards for promotion *(UH C13)*. Early promotion is generally accompanied by application for early tenure.

**A. Criteria for Promotion to Associate Professor**

**1. Directed Service**

The practice of librarianship is diverse, taking place in a variety of settings and valuing various skills and talents. In keeping with the multifaceted nature of the discipline, library faculty members engage in a broad spectrum of activities. As specialists providing access to information, library faculty are involved in activities such as the development of resources, collections, and information systems, bibliographic control and organization, instruction, reference, administration and planning, and outreach services.

Excellence in one’s job-related responsibilities includes, but is not limited to, the following:

a. High level of performance, working independently, collaboratively, innovatively, and with initiative. Increasing knowledge of one’s assigned responsibilities and demonstrated skill in performing those responsibilities. This includes judgment and decision-making abilities, quality of completed work assignments, and the ability to set and accomplish appropriate short- and long-term performance goals.

b. Progressive knowledge of the profession, including trends, issues, new ideas, and technological changes in librarianship. This includes a demonstrated effectiveness in applying one’s expertise relevant to librarianship, developing timely access to research-level information resources, and offering user-centered library services to support research and teaching in order to meet the needs of the user community.

c. Commitment to K-State Libraries’ mission as a collaborative partner with members of the library and university communities in meeting the information, curricular, and research needs of students, faculty, and staff of the University.

d. Understanding of the organization, policies, procedures, and services of K-State Libraries, and a demonstrated ability to serve the library clientele through interpretation of these policies and procedures.

**2. Research, Scholarly and Creative Achievements**

Scholarly activity can be demonstrated in several different ways, as defined by Boyer (1990) and Glassick, Huber, and Maeroff (1977). The scholarship of discovery pursues new knowledge. Scholarship of integration synthesizes and interprets knowledge to provide perspective. Scholarship of application solves problems for a larger community using knowledge from one’s particular field of
expertise. Scholarship of teaching and learning contributes to knowledge about how people learn. Any one of these avenues of scholarship is sufficient for promotion when pursued to a high level of achievement. High achievement is characterized by qualities such as impact, renown, creativity, contribution to the body of knowledge, and uniqueness.

Excellence in research, scholarly, and creative achievements must be demonstrated by the candidate. The Committee on Promotion to Associate Professor will look at evidence such as, but not limited to, the following activities. Other activities and achievements that demonstrate excellence are encouraged.

a. Research as evidenced by publications. Publications will be evaluated in light of purpose, audience, and potential contribution to the goals of K-State Libraries. In general, works that undergo considerable scrutiny before publication (for example by referees, editorial boards, anthology, editors, etc.) will be deemed of highest value.

b. Presentations at professional meetings, such as papers, workshops, and poster sessions; organizing or chairing committees that produce a research product. In general, presentations/poster sessions that are competitively selected and have a demonstrable positive impact will be deemed of highest value.

c. Pursuing or receiving grants, awards, scholarships, internships, or other honors giving evidence of scholarly activity and achievement. Funded grants and those written to national granting agencies are given greater weight. Awards, internships, honors will be evaluated based on their significance.

d. Creation and/or development of tools that aid the institution or profession, such as focused blogs and Web sites. The quality and impact of these efforts will determine their consideration for promotion.

e. Creative or artistic productions. The quality and scholarly impact of these efforts will determine their consideration for promotion.

3. Non-Directed Service

A strong service profile at the local, regional, and national levels is highly valued among K-State Libraries faculty. Candidates must demonstrate non-directed service beyond their assigned area of responsibility (directed service). Teaching and/or development of courses or workshops conducted for audiences external to K-State Libraries may be considered. External activities such as these should be managed so as not to create conflicts of interest and/or time commitment as defined in University Handbook Appendix S. Teaching K-State courses unrelated to librarianship may be considered in non-directed service as long as this falls outside the candidate’s directed service. The quality and impact of these efforts will determine their consideration for tenure and promotion.

*UH* Section C6, defines three categories of non-directed service: profession-based service, institution-based service, and public-based professional service. K-State Libraries allow latitude within this category so that candidates may choose the area(s) that best suit their interests and abilities. Any one of

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^c According to the *Bylaws of the K-State Libraries Faculty*, this committee is composed of all faculty holding academic rank above Assistant Professor within the K-State Libraries, excluding the Dean.
the avenues of non-directed service described below is sufficient for promotion to associate professor when pursued to a high level of achievement.

a. Profession-based service. This type of activity provides leadership and service to the library profession. Profession-based service may include, but is not limited to, the following:
   1. Active involvement in state, regional, national, international professional associations. Activities at the local level may also be considered. Such participation might include holding office, serving on committees and panels, organizing events at professional meetings.
   2. Performing editorial functions for professional publications.
   3. Activities garnering professional recognition as evidenced by awards, honors, consultancies, grants, fellowships, etc.

b. Institution-based service. This area of service embraces a broad range of activities involved in establishing and implementing policies at every level of K-State Libraries and the University. Institution-based service may include, but is not limited to, active participation in the following:
   1. University committees.
   2. Faculty governance bodies.
   3. University-sponsored events.

c. Public-based professional service. Professional training as an information specialist provides a broad knowledge base. Public-based professional service is not limited to the area of directed service, but must be related to the profession of librarianship. Only civic and personal service that employ professional practice are applicable. Other types of civic activities are viewed as a person’s participation as a citizen and indicate personal skills and individual choice in use of private time. Public-based professional service may include, but is not limited to, the following:
   1. Serving as an expert witness.
   2. Developing programs and providing training, or providing consultation to a non-academic audience.

B. Procedures for Promotion to Associate Professor

1. According to the Bylaws of the K-State Libraries Faculty, the Committee on Promotion to Associate Professor is composed of all faculty within the K-State Libraries with academic rank above assistant professor, excluding the Dean. The Committee on Academic Tenure is a separate committee composed of all tenured faculty within the K-State Libraries, excluding the Dean. Given the substantial overlap between the two committees, both committees will meet together for discussion of candidates who are under consideration for both final tenure and promotion to associate professor. Only members of the Committee on Academic Tenure vote for tenure, and only members of the Committee on Promotion to Associate Professor vote for promotion.

2. In years when there are assistant professors who will be considered for both tenure and promotion to associate professor, the Chair and Secretary of the deliberation committee will be elected from the group of faculty who are members of both the Committee on Academic Tenure and the Committee on Promotion to Associate Professor (CPAP). In other years, both committees will elect a Chair and Secretary from their full membership.

3. Untenured supervisors of candidates will appear and participate in discussions but do not have voting privileges. Candidates will appear before the committee. Faculty with a family relationship to a
candidate will not participate in any discussion or vote related to that candidate (see UH Appendix S & PPM Ch. 4095).

4. Additional reviewers:
The deliberation committee may request that any individual participate as a reviewer in promotion deliberations. In June the current Chair of the deliberation committee will ask the CPAP, or the combined membership of the CPAP and the Committee on Academic Tenure when appropriate, if they desire any internal and/or external reviewers.

   a. Internal reviewers – when deemed appropriate by a simple majority of the committee members, comments are solicited from students and from other faculty members, classified staff, and department chairs/heads in the college [i.e., Library] or university. (UH C112.2)
   
   b. External reviewers – when deemed appropriate by a simple majority of the committee members, comments from external reviewers may be solicited for final tenure review. As defined in UH C36.1, external reviewers are “Persons outside the university who are recognized for excellence in the candidate’s discipline or profession.” When outside reviewers are used, an equal number are usually selected by the candidate and the department chair/head (UH C112.2). The following guidelines will apply to external reviewers:
      1. External reviewers will be sent a copy of the K-State Libraries’ criteria for Tenure and Promotion to Associate Professor plus the candidate’s position description(s) for the time frame being evaluated, summary sheets, vita, and copies of publications.
      2. External reviewers will be asked to describe his/her relationship with the candidate and assess whether the candidate adequately meets the K-State Libraries’ criteria.
      3. External reviewers will be asked to submit their assessment of the candidate by October 1.

5. By the middle of August, the Chair of the K-State Libraries Faculty, in collaboration with the Director of Human Resources and Diversity, establishes dates and distributes the Libraries' Unclassified Master Calendar for the tenure and promotion deliberations, following university deadlines. Deliberations are always conducted after the annual merit evaluations have been completed.

6. The CPAP elects a Chair and a Secretary for the coming year. As noted above, in years when there are assistant professors who will be considered for both tenure and promotion to associate professor, these officers will be elected from the group of faculty who are members of both the Committee on Academic Tenure and the CPAP. In other years, the CPAP may elect officers from its full membership. Faculty receiving tenure the previous academic year are not eligible to serve as Chair or Secretary.
   
a. For a combined deliberation committee, the Chair serves for annual reappointment/tenure review, the mid-probationary review, final tenure/promotion discussion and, in June of the following year, polls the Committee regarding internal/external reviewers for next year’s reviews.
   
b. In other years, the Chair of the CPAP will conduct the deliberations for promotion to associate professor without consideration for tenure (a rare occurrence).
   
c. The Secretary takes minutes of the procedures conducted during the deliberations. The Secretary will forward a list of the eligible voting members to the Personnel Specialist. CPAP members only vote on promotion; Committee on Academic Tenure members only vote on tenure; members of both committees vote on both tenure and promotion. The Secretary also prepares a ballot form for each candidate, storing the ballots on the LAN in a folder for the current year’s deliberations (e.g., w:\Faculty\Tenure and Promotion Docs\Ballots\2007 Deliberations), and prepares envelopes for members’ votes with the information: [name of Personnel Specialist], Hale Library 504, RE:
Tenure/Promotion or Associate Professor Promotion as appropriate. Tenure and promotion ballots, or reappointment ballots, for each candidate may be placed in one envelope per voting member.

7. In September, candidates for promotion must submit a list of three names and contact information for letters of support from people external to the Libraries to the Director of Human Resources and Diversity. Candidates should solicit letters that are representative of their contributions to the institution and profession.

Candidates also under consideration for tenure will use the same individuals for both tenure and promotion.

8. Candidate’s portfolio
It is the responsibility of the candidate to complete the portfolio. Assistance may be sought from the supervisor, mentor, and others, if desired. The statement of accomplishments and summary documents should be cumulative, including substantial professional accomplishment prior to employment at Kansas State University. The portfolio should contain, in this order:
   a. Recommendation for Promotion and Tenure (transmittal sheet)
   c. Statement of Candidate Accomplishments (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Candidate Accomplishments).
   d. Statement of Five-Year Goals (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Five-Year Goals).
   e. Summary of Candidate's Directed Service (w:\Faculty\Tenure and Promotion Docs\Drafts\Summary of Directed Service).
   f. Summary of Candidate's Non-directed Service (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Non-Directed Service).
   g. Evidence of Research and Other Creative Activities (w:\Faculty\Tenure and Promotion Docs\Drafts\Evidence of Research and Other Creative Activities).
   h. Position descriptions and evaluations for all years of employment at K-State Libraries.
   i. Department head's previous reappointment recommendation letter(s).
   j. Vita.
   k. Other brief supporting documentation the candidate would like to include.

For promotion and final tenure, the Director of Human Resources and Diversity will insert the letters of support and assessment(s) by external reviewer(s), if applicable, into the portfolio for review by members of the deliberation committee.

9. Portfolios for promotion candidates are available to the deliberation committee fourteen (14) calendar days prior to the beginning of deliberations. Each member of the committee must be familiar with all materials prior to the beginning of deliberations and must be prepared to discuss each candidate.

10. The Chair of the deliberation committee schedules the deliberation meeting with the CPAP members, the Committee on Academic Tenure members (when appropriate), probationary department head(s) and supervisor(s).
   a. Associate Deans and Directors may participate if they are eligible members of the CPAP or, when appropriate, the Committee on Academic Tenure.
   b. Department heads/chairs and supervisors offer testimony regarding their candidate(s) and remain for the discussion.
c. The Dean does not attend unless acting in the role of supervisor of one or more candidates to be evaluated; in this instance the Dean offers testimony and participates in the discussion. The Dean serves both as department head and Dean in this circumstance.

11. The deliberation committee must be prepared to devote sufficient time to the deliberations so all candidates can be discussed thoroughly. Attendance at the deliberation meeting is mandatory for all committee members. Absences for exceptional circumstances must be approved by the Dean in advance. The Dean will notify the Chair of the deliberation committee of approved absences.

12. Deliberation meeting
   a. It is the responsibility of the Chair and Secretary of the deliberation committee to assure that all applicable procedures have been followed and that the Committee fairly applies established criteria, standards, and guidelines for tenure. The Secretary's minutes will include the names of those present, and record the procedures followed during the deliberations rather than the comments about particular candidates.
   b. The Chair determines the order of candidates to be discussed. All testimony and evidence is based on direct observation and/or written documents. Hearsay evidence is not accepted. It is the duty of the Chair to disallow hearsay evidence. Each candidate is judged on (1) criteria given in Part I Section A of this document, (2) on the contents of the candidate’s portfolio, and (3) on testimony given before the deliberation committee during its discussion.
   c. All proceedings are confidential. They are not revealed to the candidate(s) or to anyone not a member of the deliberation committee except department heads and supervisors of candidates.
   d. Order of business for each candidate
      1. Candidate will appear before the Committee to make a brief statement of accomplishments and answer questions related to the portfolio. The candidate then leaves the meeting. Candidates with extenuating circumstances can be excused from appearing.
      2. The department head/chair and supervisor testify about the candidate’s qualifications for promotion and participate in the discussion. The department head/chair may want to take notes, but no formal minutes are taken.
      3. Discussion about the candidate’s suitability for promotion.

13. Three (3) working days after the deliberations, the Secretary of the deliberation committee will prepare minutes of the meeting. Minutes will be signed and dated by both the Chair and Secretary, and given to the Personnel Specialist to be filed in the Administrative Office.

14. Voting
   a. Any individual who is not able to conduct a thorough review of the portfolios during their two-week availability (e.g., due to sabbatical, hospitalization, etc.) will be excluded from voting.
   b. Within two (2) working days after the meeting, each eligible faculty member prints the ballots from the LAN, and completes, signs and submits a ballot for each candidate to the Personnel Specialist. Each ballot must include an indication of whether the faculty member finds the candidate acceptable, not acceptable, or abstains. Acceptable/not acceptable votes must be accompanied by supporting comments; comments should be typed on the ballot form so they are not separated from the signature. In addition, each voter is asked to submit these files on a flash drive to the Personnel Specialist. Abstentions are allowed only for extenuating circumstances (e.g., personal relationship, business relationship, extended leave resulting in inability to review portfolio, etc.). Abstentions must be accompanied by reasons justifying the abstention.
c. Immediately after the deadline (or the next working day), the Chair and Secretary of the deliberation committee and the Personnel Specialist will open the ballots, check the name of each eligible faculty member submitting ballots, thus assuring full participation by each faculty member, and record the total votes for each candidate on the Summary of Votes form.

d. Within three (3) working days of opening the ballots, the Personnel Specialist records the total votes for each candidate on the Summary of Votes form, and transcribes each individual ballot on the Summary of Votes form, including the vote/abstention, but without the faculty member’s name. The Chair and Secretary of the deliberation committee must be present when the ballots are counted.

e. At the end of the three working days (or sooner), the Chair and Secretary of the deliberation committee verify the accuracy of the transcriptions by comparing the transcribed documents with the original ballots.

f. The Chair of the deliberation committee reviews the abstentions on the original ballots and the list of voting members. The Chair notifies the appropriate department head/chair and the Dean of abstentions and faculty members who failed to vote.

g. Upon verification, the Personnel Specialist immediately gives the transcribed, unedited comments and vote summary for each candidate to the appropriate department head/chair.

h. In the event of illness or other absence of the Chair, Secretary, or Personnel Specialist, the Director of Human Resources and Diversity or his/her designee shall serve in that capacity to ensure the master calendar deadlines are met.

i. The original comments for each candidate are filed in his/her individual reappointment/promotion/tenure file in the Administrative Office. The original comments are not shared with the candidate, but may be available to courts and/or grievance boards.

15. Within five (5) working days of receiving the unedited comments and vote summary, the department head/chair reviews the transcribed ballots and makes his/her own recommendation on promotion.

16. The department head/chair prepares a brief letter to the Dean with his/her recommendation and forwards the following documents to the Dean for each candidate:
   a. His/her recommendation letter.
   b. Candidate’s portfolio.
   c. Transcribed ballots with unedited faculty comments.
   d. Vote summary sheet.

17. The department head/chair prepares a more detailed letter to the candidate including the results of the promotion vote, the department head’s/chair’s recommendation with his/her supporting comments, and substantive comments supporting the faculty recommendation. In instances of promotion with tenure, the promotion and tenure information may be conveyed in a single letter. A copy of the department head/chair’s written recommendation to the Dean is also forwarded to the candidate with the letter.

18. After the letter is sent to the candidate, the department head/chair notifies the deliberation committee members the results of the vote in writing or via email, as preferred.

19. Dean makes independent recommendation and notifies the candidate and department head/chair of his/her decision.
20. Dean forwards his/her recommendation to the Provost along with the department head’s/chair’s recommendation, the results of the vote, and the transcribed unedited comments of the tenured faculty. The candidate’s complete portfolio will be available to the Council of Deans upon request.

21. At the end of the process, the documents are retained as follows
   a. Faculty members’ individual reappointment/promotion/tenure files in the Administrative Office
      1. Copy of Dean’s recommendation letter.
      2. Copy of department head’s/chair/s recommendation letters to the Dean and the candidate.
      3. Original ballots for the individual.
      4. Vote summary sheet for the individual.
      5. Transcribed ballots for the individual.
   b. General Reappointment/Promotion/Tenure file in the Administrative Office
      1. Minutes of the deliberation meeting.
      2. List of qualified voters from the Secretary.

Part II. Professor

A. Criteria for Promotion to Professor

Promotion to the rank of professor is a critical step in the development of the K-State Libraries. Faculty in this senior rank serve as leaders in the organization and assist the Dean to determine the direction of the Libraries.

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 (UH C120.2). It is not an entitlement based on time in rank, but rather a privilege based on achievements and recognition sustained at the highest level. Excellence in directed service is required but not sufficient to attain the rank of professor.

To qualify for promotion to professor, a faculty member must demonstrate national and/or international recognition of contributions to scholarship and professional service. Quality of the contributions will be weighed more heavily than quantity.

Performance at the professor level must be well balanced: directed service, non-directed service, research/scholarly/creative achievements all taken to and sustained at a high level of excellence. Research/scholarly/creative and professional contributions in librarianship, archival studies, or other academic areas will be evaluated for quality and professional significance as evidenced through recognition of one’s expertise and stature at the national or international level.

Faculty seeking to attain the rank of professor must demonstrate continuing significant contributions to the K-State Libraries, Kansas State University, and to the library or archival professions. Professors are expected to share their knowledge and expertise through active engagement with the K-State or higher education communities.

As a guide, these and similar questions can be used to assess a candidate’s level of achievement for promotion to professor:
• What is his/her stature in the library profession?
• What is the impact of his/her work on scholarship and professional service?
• What is the rigor and originality of the work?
• What is the level of contribution to K-State Libraries and Kansas State University?
• Has the candidate maintained excellence across changing times and circumstances?
• Has he/she demonstrated an ability to recognize, assess, and adapt positive trends in the external environment to the K-State Libraries?

Faculty are encouraged to strive for attainment of the level of excellence required of professors and are encouraged to pursue promotion. At the level of professor, the committee members – individually or collectively – will provide guidance to their colleagues upon request concerning pursuit of the highest rank.

It is possible to apply multiple times if not granted initially. The Committee on Promotion to Professor is available to provide guidance to unsuccessful candidates, indicating areas for improvement to achieve the goal.

B. Procedures for Promotion to Professor

1. According to the *Bylaws of the K-State Libraries Faculty*, the Committee on Promotion to Professor is composed of all faculty within the K-State Libraries with academic rank of professor, excluding the Dean.

2. Additional reviewers:
For promotion to the rank of professor, external reviewers will be required. The Committee on Promotion to Professor may also request internal reviewers for any candidate.

   a. Internal reviewers – when deemed appropriate by a simple majority of the committee members, comments are solicited from students and from other faculty members, classified staff, and department chairs/heads in the college [i.e., Library] or university (*UH C112.2*).

   b. External reviewers – review by external professionals is required for promotion to the rank of professor. As defined in *UH C36.1*, external reviewers are “Persons outside the university who are recognized for excellence in the candidate’s discipline or profession.” An equal number are usually selected by the candidate and the department chair/head (*UH C112.2*). The following guidelines will apply to external reviewers:

   1. External reviewers will be sent a copy of the K-State Libraries’ criteria for Tenure and Promotion to Professor plus the candidate’s position description(s) for the time frame being evaluated, summary sheets, vita, and copies of publications included in the portfolio.

   2. External reviewers will be asked to describe his/her relationship with the candidate and assess whether the candidate adequately meets the K-State Libraries’ criteria.

   3. External reviewers will be asked to submit their assessment of the candidate by October 1.

3. In early June
   a. The Chair of the committee will ask the members if they desire any internal reviewers.
   b. The candidate and the department head/chair will forward names of possible external reviewers to the Dean.

Approved by KSUL Faculty/Unclassified Professionals 09-12-07; rev. 09-10-08, 12-09-08, 03-26-09
c. On behalf of the Dean, the Personnel Specialist will query potential external reviewers regarding their willingness to provide comments on the candidate’s qualifications for promotion, noting that the candidate’s information will be forwarded to them in September.

4. By July 31 (or date as determined on Master Calendar), the Committee on Promotion to Professor elects a Chair and a Secretary for the coming year. Faculty promoted to professor the previous academic year are not eligible to serve as Chair or Secretary.
   a. The Chair of the committee will conduct the deliberations.
   b. The Secretary takes minutes of the procedures conducted during the deliberations. The Secretary will forward a list of the eligible voting members to the Personnel Specialist. The Secretary also prepares a ballot form for each candidate, storing the ballots on the LAN in a folder for the current year’s deliberations (e.g., w:\Faculty\Tenure and Promotion Docs\Ballots\2007 Deliberations) and prepares envelopes for members’ votes with the information: [name of Personnel Specialist], Hale Library 504, RE: Professor Promotion.

5. At the beginning of August, the Chair of the K-State Libraries Faculty, in collaboration with the Director of Human Resources and Diversity, establishes dates and distributes the Libraries’ Unclassified Master Calendar for the tenure and promotion deliberations, following university deadlines. Deliberations are always conducted after the annual merit evaluations have been completed.

6. In September, approximately four weeks prior to the portfolio review period:
   a. Candidates for promotion must submit a list of three names and contact information for letters of support from people external to the Libraries to the Director of Human Resources and Diversity.
   b. Chair will contact internal reviewer(s) (if needed per decision from June discussions of the committee), to request their input during the committee’s deliberations.
   c. External reviewers will be sent a copy of the K-State Libraries’ criteria for Tenure and Promotion to Professor plus the candidate’s position description(s) for the time frame being evaluated, summary sheets, vita, and copies of publications included in the portfolio.

7. Candidate’s portfolio
   It is the responsibility of the candidate to complete the portfolio. Assistance may be sought from the supervisor, mentor, and others, if desired. The statement of accomplishments and summary documents should be cumulative, including substantial professional accomplishment prior to employment at Kansas State University. The portfolio should contain, in this order:
   a. Recommendation for Promotion and Tenure (transmittal sheet).
   c. Statement of Candidate Accomplishments (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Candidate Accomplishments).
   d. Statement of Five-Year Goals (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Five-Year Goals).
   e. Summary of Candidate's Directed Service (w:\Faculty\Tenure and Promotion Docs\Drafts\Summary of Directed Service).
   f. Summary of Candidate's Non-directed Service (w:\Faculty\Tenure and Promotion Docs\Drafts\Statement of Non-Directed Service).
   g. Evidence of Research and Other Creative Activities (w:\Faculty\Tenure and Promotion Docs\Drafts\Evidence of Research and Other Creative Activities).
   h. Position descriptions and evaluations since the last promotion at K-State Libraries or the last six years, whichever is less.
i. Vita.

j. Other brief supporting documentation the candidate would like to include.

The Director of Human Resources and Diversity will insert the letters of support and assessment(s) by external reviewer(s) into the portfolio for review by members of the Committee on Promotion to Professor.

8. Portfolios for promotion candidates are available to the committee members fourteen (14) calendar days prior to the beginning of deliberations. Each member of the committee must be familiar with all materials prior to the beginning of deliberations and must be prepared to discuss each candidate.

9. The Chair of the Committee of Promotion to Professor schedules the deliberation meeting with the members, department head(s) and supervisor(s) of the candidate(s), and the candidate(s).
   a. Associate Deans, Assistant Deans, and Directors may participate if they are eligible members of the Committee on Promotion to Professor.
   b. Probationary department heads/chairs and supervisors offer testimony regarding their candidate(s) and remain for the discussion.
   c. The candidate(s) will appear before the committee to discuss his/her qualifications for promotion, but will leave prior to the discussion.
   d. The Dean does not attend unless acting in the role of supervisor of one or more candidates to be evaluated; in this instance the Dean offers testimony and participates in the discussion. The Dean serves both as department head and Dean in this circumstance.

10. Faculty with a family relationship to a candidate will not participate in any discussion or vote related to that candidate (see UH Appendix S & PPM Ch. 4095).

11. The Committee on Promotion to Professor must be prepared to devote sufficient time to the deliberations so candidates can be discussed thoroughly. Attendance at the deliberation meeting is mandatory for all committee members. Absences for exceptional circumstances must be approved by the Dean in advance. The Dean will notify the Chair of the Committee on Promotion to Professor of approved absences.

12. Deliberation meeting
   a. It is the responsibility of the Chair and Secretary of the Committee on Promotion to Professor to assure that all applicable procedures have been followed and that the Committee fairly applies established criteria, standards, and guidelines for promotion. The Secretary's minutes will include the names of those present, and record the procedures followed during the deliberations rather than the comments about particular candidates.
   b. The Chair determines the order of candidates to be discussed. All testimony and evidence is based on direct observation and/or written documents. Hearsay evidence is not accepted. It is the duty of the Chair to disallow hearsay evidence. Each candidate is judged on (1) criteria given in Part II Section A of this document, (2) contents of the candidate’s portfolio, (3) external reviewers’ assessments, and (4) testimony given during the deliberation meeting.
   c. All proceedings are confidential. They are not revealed to the candidate(s) or to anyone not a member of the Committee on Promotion to Professor except as noted in 17, 18, and 19 below.
   d. Order of business for each candidate
      1. Candidate will appear before the Committee to make a brief statement of accomplishments and answer questions related to the portfolio. The candidate then leaves the meeting.

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2. The department head/chair and supervisor testify about the candidate’s qualifications for promotion and participate in the discussion. The department head/chair may want to take notes, but no formal minutes are taken.

3. Discussion about the candidate’s suitability for promotion.

13. Three (3) working days after the deliberations, the Secretary of the Committee on Promotion to Professor will prepare minutes of the meeting. Minutes will be signed and dated by both the Chair and Secretary, and given to the Personnel Specialist to be filed in the Administrative Office.

14. Voting
   a. Any individual who is not able to conduct a thorough review of the portfolios during their two-week availability (e.g., due to sabbatical, hospitalization, etc.) will be excluded from voting.
   b. Within two (2) working days after the meeting, each eligible faculty member prints the ballots from the LAN, and completes, signs and submits a ballot for each candidate to the Personnel Specialist. Each ballot must include an indication of whether the faculty member finds the candidate acceptable, not acceptable, or abstains. Acceptable/not acceptable votes must be accompanied by supporting comments; comments should be typed on the ballot form so they are not separated from the signature. In addition, each voter is asked to submit these files on a flash drive to the Personnel Specialist. Abstentions are allowed only for extenuating circumstances (e.g., personal relationship, business relationship, extended leave resulting in inability to review portfolio, etc.). Abstentions must be accompanied by reasons justifying the abstention.
   c. Immediately after the deadline (or the next working day), the Chair and Secretary of the deliberation committee and the Personnel Specialist will open the ballots, check the name of each eligible faculty member submitting ballots, thus assuring full participation by each faculty member, and record the total votes for each candidate on the Summary of Votes form.
   d. Within three (3) working days of opening the ballots, the Personnel Specialist records the total votes for each candidate on the Summary of Votes form, and transcribes each individual ballot on the Summary of Votes form, including the vote/abstention, but without the faculty member’s name. The Chair and Secretary of the deliberation committee must be present when the ballots are counted.
   e. At the end of the three working days (or sooner), the Chair and Secretary of the deliberation committee verify the accuracy of the transcriptions by comparing the transcribed documents with the original ballots.
   f. The Chair of the deliberation committee reviews the abstentions on the original ballots and the list of voting members. The Chair notifies the appropriate department head/chair and the Dean of abstentions and faculty members who failed to vote.
   g. Upon verification, the Personnel Specialist immediately gives the transcribed, unedited comments and vote summary for each candidate to the appropriate department head/chair.
   h. In the event of illness or other absence of the Chair, Secretary, or Personnel Specialist, the Director of Human Resources and Diversity or his/her designee shall serve in that capacity to ensure the master calendar deadlines are met.
   i. The original comments for each candidate are filed in his/her individual reappointment/promotion/tenure file in the Administrative Office. The original comments are not shared with the candidate, but may be available to courts and/or grievance boards.

15. Within five (5) working days of receiving the unedited comments and vote summary, the department head/chair reviews the transcribed ballots and makes his/her own recommendation on promotion.
16. The department head/chair prepares a brief letter to the Dean with his/her recommendation and forwards the following documents to the Dean for each candidate:
   a. His/her recommendation letter.
   b. Candidate’s portfolio.
   c. Transcribed ballots with unedited faculty comments.
   d. Vote summary sheet.

17. The department head/chair prepares a more detailed letter to the candidate including the results of the promotion vote, the department head’s/chair’s recommendation with his/her supporting comments, and substantive comments supporting the faculty recommendation. In instances of promotion with tenure, the promotion and tenure information may be conveyed in a single letter. A copy of the department head’s/chair’s written recommendation to the Dean is also forwarded to the candidate.

18. After the letter is sent to the candidate, the department head/chair notifies the deliberation committee members the results of the vote in writing or via email, as preferred.

19. Dean makes independent recommendation and notifies the candidate and department head/chair of his/her decision.

20. If the Dean’s decision is negative or contrary to the majority vote of the Committee, he/she also informs the chair and members of the Committee on Promotion to Professor. The Dean will include reasons for his/her decision in the communication.

21. If the decision is negative, the Dean, committee chair, department head/chair and the candidate meet to discuss the result and provide mentoring suggestions.

22. Dean forwards his/her recommendation to the Provost along with the department head’s/chair’s recommendation, the results of the vote, and the transcribed unedited comments of the tenured faculty. The candidate's complete portfolio will be available to the Council of Deans upon request.

23. At the end of the process, the documents are retained as follows
   a. Faculty members’ individual reappointment/promotion/tenure files in the Administrative Office
      1. Copy of Dean’s recommendation letter.
      2. Copy of department head’s/chair’s recommendation letter to the dean and the candidate.
      3. Original ballots for the individual.
      4. Vote summary for the individual.
      5. Transcribed ballots for the individual.
   b. General Reappointment/Promotion/Tenure file in the Administrative Office
      1. Minutes of deliberation meeting.
      2. List of qualified voters from the Secretary.
Part III. References


Part IV. Appendices

Appendix A.

Ballot for Final Tenure and Promotion to Associate Professor

Candidate's Name: _______________________

For the purposes of Final Tenure and Promotion to Associate Professor, I find the candidate:

Acceptable for tenure ___________ Acceptable for promotion ______________

Not acceptable for tenure _________ Not acceptable for promotion ___________

Comments in support of acceptable/not acceptable recommendation:

I abstain ___________

Give reason(s) for abstention:

Signed: ___________________________________________

Date: __________________
Appendix B.

Ballot for Promotion without Tenure

Candidate's Name: ____________________

For the purposes of Promotion, I find the candidate:

Acceptable ______

Not acceptable ______

Comments in support of acceptable/not acceptable recommendation:

I abstain __________

Give reason(s) for abstention:

Signed: ________________________________

Date: ____________________
Appendix C.

Summary of Votes for Promotion

Candidate’s name: _________________________________

Acceptable: ________________

Not acceptable: ________________

Abstentions: ________________

Date: ___________________________
Appendix D.

Contents of Department Head/Chair Promotion Letter to Candidate

Candidate’s Name: ______________________

Results of Vote for Promotion

  Acceptable: ______________

  Not acceptable: ____________

  Abstentions: ______________

Department Head/Chair’s Recommendation and Rationale:

Themes of Significance from Faculty Comments:

Department Head’s Signature: ____________________________

Date: ____________________
K-STATE LIBRARIES
UNCLASSIFIED EVALUATION PROCEDURES

PART A
GUIDELINES FOR PREPARATION OF PERFORMANCE PLAN

PART B
ANNUAL EVALUATION INSTRUCTIONS

PART C
PROFESSORIAL PERFORMANCE AWARD

**Purposes of Evaluation:**

Unclassified evaluations form the basis of decisions concerning annual merit salary, reappointment, tenure, and promotion. More than that, evaluations are a roadmap providing direction for faculty development. Evaluations provide documentation of past performance and accomplishments as well as finite future expectations. They are used to assess an individual's progress and to guide the growth of skills and expertise. This ongoing cycle of individual assessment and improvement aids in continuing productivity throughout the course of the individual's career as well as promoting consistency with the role and mission of the university and library.
PART A
GUIDELINES FOR PREPARATION OF PERFORMANCE PLAN

1. The Performance Plan is prepared at the beginning of the evaluation year (calendar), when the position description is reviewed, and a copy is submitted to the Administrative Office.

2. Performance expectations reflect position description responsibilities, departmental goals and personal goals. They should support the Libraries’ strategic plan, mission and/or vision. They should be specific, measurable in some manner, acceptable and realistic to both the individual and supervisor, and should be attainable.

3. For tenured and tenure track faculty, who will use these expectations to assist in tenure and/or promotion, performance expectations will address or include the traditional categories of directed service, non-directed service, or research and creative activities.

4. Each expectation should be given a weight of “high”, “medium” or “low” to indicate its importance.

5. The individual prepares a draft Performance Plan document in collaboration with the supervisor. A final version of the Performance Plan is signed by employee and supervisor.

6. Progress will be reviewed regularly throughout the year, with a mid-year review at the minimum. Expectations may be modified as circumstances warrant, by mutual agreement. Modify Performance Plan or attach hand-written modifications to existing Plan and submit a copy to the Administrative Office.
K-STATE LIBRARIES
UNCLASSIFIED PERFORMANCE PLAN

NAME _______________________

YEAR _________

DIRECTED SERVICE

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<th>Performance Expectation</th>
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<td>2.</td>
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<td>3.</td>
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<td>Other Core Responsibilities</td>
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NON-DIRECTED SERVICE if applicable
(to the profession, to the library/university, to the community)

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RESEARCH/CREATIVE if applicable
(evidence of involvement through presentation, publication or funded grants)

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<th>Performance Expectation</th>
<th>Weight</th>
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<td>1.</td>
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Signature of Immediate Supervisor/Date ____________________________

Signature of Unclassified Employee/Date ____________________________

Approved by KSUL Faculty/Unclassified Professionals 09-12-07; rev. 09-10-08, 12-09-08, 03-26-09
PART B

ANNUAL EVALUATION INSTRUCTIONS

Below are the steps for completing your unclassified evaluation. Please complete these steps in the time frame indicated by the current Unclassified Master Calendar (located on K-State Libraries IntraNet) and supervisor. For additional information, consult the University Handbook.

1. Employee completes self-evaluation addressing core responsibilities for the year as defined in the position description and the annual unclassified performance plan.

2. Supervisor completes evaluation determining the individual’s merit salary category, according to K-State Libraries Standards for Evaluation, and reflected by the final overall rating.

3. Supervisor shares evaluation with unclassified staff member.*

4. Supervisor forwards evaluation materials to Dean and Associate Dean (and Department Head if supervisor is not same). “The dean will review all evaluation materials and recommendations.” (C47.1). “A dean who does not agree with recommendations for merit salary increases made by a unit head must attempt to reach consensus through consultation. If this fails, the dean’s recommendation will be used. If any change has been made the dean must notify, in writing, the individual of the change and its rationale.” (C47.2)

5. *The following procedures, for tenured faculty only, are in compliance with Sections C31.5-C31.8 (“Chronic Low Achievement”) of the University Handbook. These sections address the “chronic failure of a tenured faculty member to perform his or her professional duties,” defined as “when a tenured faculty member’s overall performance falls below the minimum acceptable level, as indicated by the annual evaluation.” Within K-State Libraries, C31.5 is invoked when a final overall rating falls below standard.

I. Supervisor’s Responsibilities:

A. When a rating of Below Standard is given for any job dimension, the supervisor must:
   1. Consult with the faculty member about the reason(s) for the poor performance.
   2. Work with the faculty member on a course of action to correct the performance level (see C31.7).
   3. Meet with the faculty member within six months of a Below Standard rating to evaluate progress.

B. When the final overall rating is Below Standard, the supervisor must:
   1. Indicate so in writing to the faculty member.
   2. Indicate, in writing, a suggested course of action to improve the performance of the faculty member.

C. When the final overall rating fails to meet minimum standards for any subsequent annual evaluation following the supervisor’s suggested course of action, the supervisor must:
1. Forward the name of the faculty member to the Dean and Associate Dean (and Department Head if supervisor is not same) (using the final page of the unclassified annual evaluation form).

II. Faculty Member’s Responsibilities:

A. When a faculty member’s final overall rating fails to meet minimum standards, he/she is to report to the supervisor and the Dean and Associate Dean of Libraries (and Department Head if supervisor is not same) on activities aimed at improving performance and to provide evidence of improvement in subsequent annual evaluations.

B. When a faculty member does not want eligible departmental faculty (tenured faculty of equivalent rank or above) to have input into any decision on their case, he/she must so request via a letter to the Dean. This request must be made within 10 working days following receipt of a letter from the Dean indicating that the faculty member is being reviewed for dismissal under the provisions of C31.5 of the University Handbook.

III. Dean’s Responsibilities:

A. When a faculty member has two successive evaluations below the minimum standards, dismissal for cause will be considered at the discretion of the Dean. Within 10 working days of the Dean’s receipt of notice from the supervisor (see I.C), the Dean must notify the faculty member in writing that he/she is being reviewed for dismissal under the provisions of C31.5 of the University Handbook.

The decision whether or not to proceed with dismissal for cause must be conveyed to the faculty member, in writing, within 30 days of the Dean’s receipt of the faculty member’s letter regarding eligible departmental faculty input (see II.B).

B. When a faculty member has three evaluations below the minimum standards in five years, dismissal for cause will be considered at the discretion of the Dean. Within 10 working days of the Dean’s receipt of notice from the supervisor (see 1.C), the Dean must notify the faculty member in writing that he/she is being reviewed for dismissal under the provisions of C31.5 of the University Handbook.

The decision whether or not to proceed with dismissal for cause must be conveyed to the faculty member, in writing, within 30 days of the Dean’s receipt of the faculty member’s letter regarding eligible departmental faculty input (see II.B).

C. The Dean must seek input from eligible departmental faculty (tenured faculty of equivalent rank or above) regarding any decision concerning the faculty member in question unless the faculty member requests otherwise via a letter to the Dean (see II.B).
6. The following are guidelines for addressing below standard performance for pre-tenured faculty, non-tenure track faculty and unclassified professionals, hereinafter “employee(s).” The intent is to help ensure employees are informed about areas of concern. Nothing in these guidelines changes the appointing authority’s right to issue a non-reappointment according to University Handbook procedures outlined in sections C170.1-C170.3.

A. When a rating of Below Standard is given for any job dimension, the supervisor will:
   1. Consult with the employee about the reason(s) for the poor performance, state the facts surrounding the poor performance and identify objectives to be met.
   2. Work with the employee on a plan of action for improved performance. Identify solutions and indicate what actions will take place if objectives are not met.
   3. Document and sign the plan of action for future reference by the employee and supervisor, ask the employee to sign acknowledging s/he received a copy, and provide a copy to the employee*.

B. When the final overall rating is Below Standard, the supervisors will:
   1. Consult with the employee about the reason(s) for the poor performance, state the facts surrounding the poor performance and identify objectives to be met.
   2. Work with the employee on a plan of action for improved performance. Identify solutions and indicate what actions will take place if objectives are not met.
   3. Document and sign the plan of action for future reference by the employee and supervisor, note in the subject line “Written Warning,” ask the employee to sign the Written Warning acknowledging s/he received a copy, provide a copy to the employee*, the Director of Human Resources & Diversity, and Associate Dean.

C. When improvement is not sustained:
   1. Follow the steps in B above and note in the subject line “Second or Final Warning” as appropriate.

*Should the employee elect not to sign, the supervisor can ask his/her supervisor, the Director of Human Resources & Diversity or another administrator to sign as witness that the employee was given the opportunity to sign and a copy.
Unclassified Self-Summary
(Must be typed)

Each unclassified employee is required to complete self-summary. Continue any section on additional sheets of paper.

NAME: ____________________________ (Last) ____________________________ (First) ____________________________ (Initial) YEAR: ____________________________

Academic Rank: ____________________________ Job Title: ____________________________

Dept: ____________________________

Performance Expectations / Core Responsibilities:
Assess performance of duties as outlined in the annual Performance Plan and the position description.
## STANDARDS FOR EVALUATION

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<th>Performance Standards</th>
<th>Definitions</th>
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<tbody>
<tr>
<td><strong>Exceptional</strong></td>
<td>Recognized for excellence in core position responsibilities and Performance Plan expectations through awards, recognition, or written statements from K-State, from the Libraries, or from recognized professional organizations. Examples including but not limited to: implementation of workflows that save staff time/library resources/money or implementation of enhanced tools and services; cited or depended on as a regional or national authority; significant external funding on grants or targeted excellence; presentations at national/international conferences; publication of scholarly research; invited book reviews; national recognition for service to one’s profession; significant service to the university and/or to the Libraries which supports the mission and goals of the organization; significant participation in state, national or international organizations.</td>
</tr>
<tr>
<td><strong>Exceeds Expectations</strong></td>
<td>Meets all annual Performance Plan expectations and performs core position description responsibilities at an above standard level of performance. Examples including but not limited to: presentations at local/state/regional level; effective participation or leadership roles in library teams/committees; active participant on university, local, state or national professional organizations/committees; exploring the boundaries of one’s role by contributing to librarianship or service to one’s profession.</td>
</tr>
<tr>
<td><strong>Meets Expectations</strong></td>
<td>Meets annual Performance Plan expectations. Standard level of performance of core responsibilities. Ability to work independently, as well as collaboratively. Examples including but not limited to: active participation on K-State Libraries teams/committees; attending relevant professional meetings/workshops; writing book reviews in non-scholarly, non-professional publications; collegiality/interpersonal skills that contribute to harmonious workflow and/or patron relations.</td>
</tr>
<tr>
<td><strong>Minimum Standard</strong></td>
<td>Fails to meet one or more annual performance expectations or core responsibilities but capable of improvement.</td>
</tr>
<tr>
<td><strong>Below Standard</strong></td>
<td>Fails to perform the requirements of most core responsibilities and annual Performance Plan. Lacks initiative. Poor decision-making and judgment skills. No active participation on teams/committees. Requires close supervision and/or direction to complete required tasks. Poor collegiality/interpersonal skills that disrupt harmonious workflow and/or causes poor patron relations. C31.5 (chronic low achievement) is invoked when a tenured faculty member receives a final overall rating that is below standard.</td>
</tr>
</tbody>
</table>
# EVALUATION

<table>
<thead>
<tr>
<th>PERFORMANCE EXPECTATION</th>
<th>WEIGHT (high, medium, or low)</th>
<th>RATING From Standards for Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Directed Service:</td>
<td></td>
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</tr>
<tr>
<td>1.</td>
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<td>2.</td>
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<tr>
<td>Other Core Responsibilities</td>
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<tr>
<td>Non-Directed Service:</td>
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<td>1.</td>
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<td>2.</td>
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<tr>
<td>Research/Creative:</td>
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<tr>
<td>1.</td>
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<tr>
<td>2.</td>
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* **FINAL OVER-ALL RATING:** ________________________________

*For tenured faculty, a final overall rating of BELOW STANDARD leads to the implementation of section C31.5 ("Chronic Low Achievement") of the KSU University Handbook.*
EVALUATION COMMENTS

MANDATORY FOR SUPERVISOR (S)

(Name of person evaluated) ___________________________ (Year)

Comments on the Year's Performance:

________________________________________
Signature of Immediate Supervisor       Date

Signature of Unclassified Employee       Date
EVALUATION COMMENTS (CONT)

Comments by person evaluated: (Optional)
Name: __________________________________________________________

Date: __________________________________________________________

Rating Period (calendar year): ________________________________

K-State Libraries Merit Salary Category Recommendation

Please circle or check the appropriate category:

Exceptional
Exceeds Expectations
Meets Expectations
Minimum Standard
Below Standard

Please note: Any reference to “standard” in this case refers to K-State Libraries performance standards and is not necessarily related to the University standard salary increase.

Immediate Supervisor’s Initials _______ Unclassified Employee’s Initials _______
Consultation Acknowledgment

I have had the opportunity to review the evaluation document and discuss it with the evaluator(s) for the above stated rating period.

Signed

Date
TO: Dean of K-State Libraries
CC: Associate Dean of K-State Libraries
CC: Department Head (if not supervisor)

The following unclassified employee’s final overall rating for evaluation year ______ was BELOW STANDARD.

Faculty member: ________________________________

Supervisor: ________________________________

Date: ________________________________
PART C
PROFESSORIAL PERFORMANCE AWARD

Significance of the Award. The Professorial Performance Award rewards strong performance at the highest rank with a base salary increase in addition to that provided by the annual evaluation process. The Performance Award review, it is important to note, is not a form of promotion review. It does not create a "senior" professoriate. Furthermore, the Professorial Performance Award is not a right accorded to every faculty member at the rank of Professor. Nor is it granted simply as a result of a candidate's routinely meeting assigned duties with a record free of notable deficiencies. (Section C49.1 UH)

Criteria:

1. The candidate must be a full-time professor and have been in rank at least six years since the last promotion or professorial performance award. (Section C49.2 UH)
2. The candidate must show evidence of sustained productivity in at least the last six years before the performance review. (Section C49.2 UH)
3. The candidate's productivity and performance must be of a quality comparable to that which would merit promotion to professor according to current approved departmental standards. (Section C49.2 UH)
4. In the last six years the candidate must have received a minimum of four annual overall assessments for faculty performance of 'outstanding' or 'excellent'.

Procedure:

1. The faculty member will provide the following supporting materials which will form the basis of adjudicating eligibility of the award.
   a. Copies of annual evaluations for each year since the last promotion or professorial performance award.
   b. Copy of a current vitae.
2. The Department Head reviews the supporting materials and prepares a written recommendation.
3. The recommendation and supporting materials are forwarded to the Dean and Associate Dean of Libraries at the same time as the annual evaluation is forwarded.
4. The Dean of Libraries reviews recommendation and supporting materials and prepares a written recommendation.
5. Approved Professorial Performance Awards are forwarded to the Provost.
K-STATE LIBRARIES
PROFESSORIAL PERFORMANCE AWARD

EVALUATION FORM

Date: ______________________________

Name: ______________________________
Job Title: ______________________________
Dept: ______________________________

Date of Promotion to Professor at K-State: ________________
Date of Last Performance Review: ________________

<p>| Overall Annual Assessment of Performance for at Least the Previous | Overall Rating |</p>
<table>
<thead>
<tr>
<th>Assessment Date (Mo/Day/Year)</th>
<th>Overall Rating</th>
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Recommendation:

______________________________________
Department Head

Date

______________________________________
Faculty Member

Date

My signature signifies that I have seen the Department Head’s recommendation.

Comments by the Dean:

______________________________________
Dean of Libraries

Date