

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

3
4 **Responsibilities**

5
6 ~~Unclassified positions are defined as either faculty or professional staff~~
7 ~~positions. Section C refers to unclassified professionals and faculty. While some~~
8 ~~questions of identity and employment are identical for the two groups, differentiation~~
9 ~~exists in some instances; and tenure policies apply exclusively to faculty.~~

Commented [MM1]: Unclassified positions are defined by state law so we need to continue to use the term "unclassified professionals."

10
11 **Faculty Responsibilities**

12
13 **C1**

14
15 ~~Faculty members' responsibilities.~~ Faculty members, as distinguished from other
16 personnel employed by the university, are those members of the unclassified service
17 who have the professional expertise and the responsibility for the major university
18 endeavors of teaching, research and other creative activities, extension, directed
19 service, and non-directed service.

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

28
29 When included as part of a faculty member's appointment, each of the responsibility
30 areas below is considered in decisions for reappointment, tenure, and promotion as
31 well as in annual merit evaluations:

32
33 **C2 Teaching.** Efforts to assist undergraduate and graduate students in gaining
34 knowledge, understanding, or proficiency; for example, planning and teaching
35 courses, advising undergraduates, or supervising graduate students.

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

44
45 **C4 Extension.** Efforts of the Cooperative Extension Service that provide practical,
46 scientifically based, and useful information to Kansas residents through informal,
47 out-of-school, non-credit education programs.

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

54
55 **C6** Non-directed service. There are three categories: Profession-based service. Work
56 that is directly related to the function of the unit and that provides leadership and
57 service to the faculty member's profession or discipline; for example, holding office
58 in a professional association or service on an editorial board of a professional journal.

Commented [MM2]: We don't need to be more specific than this.

59
60 Institution-based service. Work that is essential to the operation of the university;
61 for example, contributing to the formulation of academic policy and programs,
62 serving on the faculty senate, the graduate council, and committees of the
63 department, college or university, or acting as adviser to student organizations.

64
65 Public-based professional service. Efforts that are not directed service but that are
66 the application of knowledge and expertise intended for the benefit of a non-
67 academic audience; for example, serving as an expert witness, developing programs
68 and providing training, or providing consultation.

69
70 **C7** Administrative duties. Faculty members also may have administrative duties,
71 such as serving as department heads/chairs, assistant deans, and associate deans.
72 Administrative officers may hold academic rank in a department.

73 **Unclassified Professional Staff Responsibilities**

74
75 **C8** Unclassified Professionals staff are any unclassified staff members non-
76 University Support Staff employees who do not hold faculty rank as defined in the
77 University Handbook. Professional staffUnclassified professionals are expected to
78 actively engage with the mission of the university in the fulfillment of their
79 responsibilities. However, these responsibilities vary widely. Thus, professional staff
80 responsibilities are primarily defined by their position descriptions and determined at
81 the level of those individual units to which unclassified professionals staff report.

82
83 Professional staffUnclassified professionals, like faculty, also have the opportunity to
84 perform non-directed service as defined in C6.

85
86
87 All Professional Staffunclassified professional positions are non-tenure track. Thus,
88 all professional staff positions are considered regular or term or temporary
89 appointments. Refer to the Policy and Procedures Manual (PPM), Chapter 4650,
90 section .040 for details regarding regular and term appointments ([http://www.k-](http://www.k-state.edu/policies/ppm/4600/4650.html)
91 state.edu/policies/ppm/4600/4650.html).

Commented [MM3]: This language is not needed.

92
93
94 **C10** Faculty appointments. The privilege of participating in faculty meetings and in
95 being elected to the Faculty Senate is reserved for those holding regular
96 appointments. The following ranks may be either regular, term, or adjunct
97 appointments.

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

99 Senior instructor, advanced instructor, instructor (see Section C12.0)

100 Research professor, research associate professor, research assistant professor (see
101 Section C12.1)

102 Clinical professor, clinical associate professor, clinical assistant professor (see Section
103 C12.2)

104 Senior professor of practice, professor of practice (see Section C12.3)

105 Teaching professor, teaching associate professor, teaching assistant professor (see
106 Section C12.4)

107 Extension professor, extension associate professor, extension assistant professor
108 (see Section C12.5)

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

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

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

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

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

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

139 Units that wish to use these faculty appointments must first include in their
140 departmental documents the specific criteria that apply to these positions and the
141 processes to be used for appointment, reappointment, annual evaluations and
142 promotion. Persons appointed to these ranks may expect to be promoted on the
143 basis of demonstrated individual merit in relationship to their association with the
144 university's mission and within their discipline. Typically, consideration for promotion

145 from instructor to advanced instructor can occur after a five-year period at the rank
146 of instructor. Consideration for promotion to senior instructor may occur in
147 accordance with criteria established by the unit. Each higher rank demands a higher
148 level of accomplishment consistent with the expectations based on specific criteria,
149 standards, and guidelines developed by departmental faculty in consultation with the
150 department head/~~or~~ chair and the appropriate dean. Department heads/chairs are
151 expected to notify faculty members regarding their progress toward or readiness for
152 promotion review.

153 Recommendations for appointment, reappointment, annual evaluation, and
154 promotion shall be made according to the guidelines and procedures described in the
155 University Handbook (see Section C) and the departmental documents. Instructor
156 positions will be awarded as one-year, regular or term contracts. Advanced instructor
157 and senior instructor positions may be awarded as one-year regular appointments,
158 or as one-, two-, or three-year term appointments.

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

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

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

186 Units that wish to use these faculty appointments must first include in their
187 departmental documents the specific criteria that apply to these positions and the
188 processes to be used for appointment, reappointment, annual evaluations and
189 promotion. Individuals appointed to these ranks may expect to be promoted on the
190 basis of demonstrated individual merit in relationship to their association with the
191 university's mission and within their own disciplines. Each higher rank demands a
192 higher level of research accomplishment. Annual evaluation and promotion are based

193 upon an individual's achievements related to the specific criteria, standards, and
194 guidelines developed by departmental faculty in consultation with the department
195 head/~~or~~ chair and the appropriate dean. Department heads/chairs are expected to
196 notify faculty members regarding their progress toward or readiness for promotion
197 review. Recommendations for appointment, reappointment, annual evaluation, and
198 promotion shall be made according to the guidelines and procedures described in the
199 University Handbook (see Section C) and departmental documents. Research
200 assistant professor positions will be awarded as one-year, regular or term contracts.
201 Research associate professor and research professor positions may be awarded as
202 one-year regular appointments, or as one-, two-, or three-year term appointments.

203 **C12.2** Appointments at the rank of clinical assistant professor, clinical associate
204 professor, and clinical professor. The primary responsibility for persons on these
205 appointments will be teaching and clinical service. A component of the clinical
206 appointment may include opportunity for scholarly achievement. Persons appointed
207 to these positions should have credentials appropriate to the discipline. Clinical
208 faculty are not eligible for tenure, and service in these positions is not credited
209 toward tenure. Faculty at these ranks will be appointed on one of the following
210 contracts:

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

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

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

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

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

240 University Handbook (see Section C). Persons appointed to clinical assistant
241 professor positions will receive annually renewable one-year contracts. Those
242 persons appointed to clinical associate professor positions will receive renewable
243 three-year contracts. Those persons appointed to clinical full professor positions will
244 receive renewable five-year contracts. Notice of Non-reappointment for these
245 appointments must be given 12 months before the end of the contract. (FS 6-14-05
246 /BOR 1-19-06/BOR 1-19-12)

247 **C12.3** Appointments at the rank of professor of practice and senior professor of
248 practice. The primary responsibility for persons on these appointments will be
249 teaching, research, or outreach and service or some combination of these duties. The
250 entire set of expectations must be clearly defined in the offer letter. Persons
251 appointed to these positions should have substantial non-academic experience and
252 credentials appropriate to the discipline. Individuals on these appointments are not
253 eligible for tenure and are not eligible to vote on matters of tenure or promotion for
254 tenure-track faculty. Service in these positions is not credited toward tenure. Faculty
255 at these ranks will be appointed on one of the following contracts:

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

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

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

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

285 **C12.4** Appointments at the rank of teaching assistant professor, teaching associate
286 professor, and teaching professor. The primary responsibility for persons on these

287 appointments will be instruction, although the entire set of expectations must be
288 clearly defined in the offer letter. A component of the teaching appointment may
289 include opportunity for scholarly achievement and service. Persons appointed to
290 these positions will hold the terminal degree appropriate to the discipline. Individuals
291 on these appointments are not eligible for tenure and are not eligible to vote on
292 matters of tenure or promotion for tenure-track faculty. Service in these positions is
293 not credited toward tenure. Faculty at these ranks will be appointed on one of the
294 following contracts:

295 a. Teaching assistant professor; teaching associate professor; teaching professor-
296 -term appointment. This appointment may be full-time or part-time. A term
297 appointment carries no expectation of continued employment beyond the
298 period stated in the contract. The Standards for Notice of Non-reappointment
299 do not apply.

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

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

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

327 **C12.5** Appointments at the rank of extension assistant professor, extension
328 associate professor, and extension professor. In certain cases, the university's best
329 interests are served by entering into ongoing relationships with personnel beyond
330 the Extension Associate level. The entire set of expectations must be clearly defined
331 in the offer letter. Individuals appointed to these positions should have extension
332 credentials consistent with those mandated for the comparable tenure-track rank in
333 their disciplines. Individuals on these appointments are not eligible for tenure and
334 are not eligible to vote on matters of tenure or promotion for tenure-track faculty.

335 Service in these positions is not credited toward tenure. Faculty at these ranks will
336 be appointed on one of the following contracts:

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

342 b. Extension assistant professor; extension associate professor; extension
343 professor -- regular appointment. This appointment may be full-time or part-
344 time. An Extension professor at any rank on a regular appointment is a
345 member of the general faculty and is afforded all perquisites accorded to the
346 general faculty. Regular appointees are entitled to Notice of Non-
347 Reappointment, as appropriate (see C160, et seq., University Handbook).

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

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

371 **C12.6** Full-time tenure-track/tenured faculty members may apply to their
372 department or unit head for a one-time, one-way transfer to one of the appointment
373 categories specified in 12.1, 12.3, 12.4, or 12.5. See provisions regarding clinical
374 track faculty in (12.2). A tenure-track faculty member must request the transfer
375 prior to applying for tenure and promotion, and in any event must be made prior to
376 but no later than September 1 of the final year in which the faculty member ~~would~~
377 be considered for tenure~~penultimate year of the probationary tenure-track~~
378 appointment. All transfers must be approved by the college dean.

380 **C13** Ranks and conditions for acquiring tenure. Tenure is not granted below the rank
381 of associate professor, except in special circumstances approved by the provost.
382 Tenure and promotion to associate professor often are granted concurrently. Service

383 as ~~assistant professor a probationary instructor~~ or above may be credited toward
384 tenure. (FSM 2-14-90)

385 **C14** Eligibility for academic professorial rank. ~~Unclassified professionals~~Professional
386 ~~staff~~ Unclassified professionals (in student service departments or in other support
387 units of the university) who are not associated with an academic department or unit
388 are not eligible for academic professorial ranks. Because of tradition, academic rank
389 is used for library and extension faculty not in an academic unit.

Commented [MM4]: Included "academic" to increase clarity that these are academic professorial ranks, which are not to be confused with courtesy professorial appointments outlined in C15.

390 **C15** Courtesy professorial appointment. ~~Unclassified professionals~~Professional staff
391 Unclassified professionals in student service departments or in other support units of
392 the university who are not associated with an academic department or unit may be
393 granted courtesy professorial rank in academic departments, with the approval of the
394 departmental faculty, dean, and provost. Persons granted such courtesy
395 appointments will be expected to hold the terminal degree, or its equivalent, in the
396 academic discipline of the department granting the courtesy appointment. Courtesy
397 appointments do not carry with them the prospect of consideration for tenure or any
398 other obligations on the part of the department. The extent to which the ~~unclassified~~
399 unclassified professional ~~staff~~ holding the courtesy appointment participates in the
400 activities of the department in which the courtesy appointment is held is arranged
401 between the department and the individual.

Commented [MM5]: Language was added to increase clarity for courtesy professorial appointments.

402 Appointment Procedures: Professional Staff

403
404 ~~C19 General procedures. Professional staff are appointed based upon their potential~~
405 ~~to advance the mission of the hiring unit and their ability to fulfill the expectations of~~
406 ~~the position description. When a position is offered, the hiring administrator~~
407 ~~should all provide a letter of expectation copy of the PER-1 (Kansas State University~~
408 ~~Position Description) to the appointee that confirms his/her anticipated~~
409 ~~responsibilities, in accordance with the position description. The hiring administrator~~
410 ~~and employee shall sign acknowledging receipt. The signed document shall be placed~~
411 ~~in the personnel file within the unit.~~

412
413 ~~C19.1 Policy to designate a change in salary for administrators who will return to a~~
414 ~~prior professional staff on a regular appointment position. When a professional staff~~
415 ~~member on a regular appointment (existing or newly hired) is appointed to an~~
416 ~~administrative position and is entitled to retain an underlying position once the~~
417 ~~administrative duties are no longer assigned, a memorandum of understanding~~
418 ~~(MOU) will accompany the administrative appointment. The MOU will specify the~~
419 ~~agreement between the appointee and the appropriate appointing administrator~~
420 ~~(president, provost or vice president) concerning any upward salary adjustment (or~~
421 ~~inclusion) for such administrative appointment and a commensurate downward~~
422 ~~salary adjustment at such time as the appointee no longer has the administrative~~
423 ~~duties. The memorandum of understanding MOU must be approved and signed by the~~
424 ~~appropriate administrator and the appointee. The adjustments generally will be~~
425 ~~based upon an appropriately determined percentage increase (or inclusion) and a~~
426 ~~commensurate percentage reduction in salary.~~

Commented [MM6]: This was removed because unclassified professionals who are in administrative positions are not entitled to return to their prior position as tenured faculty are. They would be given notice of non-reappointment.

427 Appointment Procedures: Faculty

428
429 **C20** General procedures. The department head/chair is advised on appointments by
430 the faculty members of the department who have acquired tenure and hold a rank
431 equal to or higher than the position to be filled. The department head/chair is
432

433 responsible for making the candidate's file available in a timely fashion to the
434 department faculty members who are eligible to make recommendations. For
435 appointments at the rank of assistant professor, associate professor and professor,
436 eligible department faculty members will advise the department head/chair through
437 a vote on the appointment of the candidate at a given rank. The type of vote will be
438 at the discretion of the department. The department head/chair forwards a written
439 recommendation and accompanying explanation to the dean, along with the
440 candidate's complete file, the results of the vote (if applicable), and the
441 recommendation(s) and any written comments (unedited) of the eligible
442 departmental faculty members. Initial contracts are issued by the provost.
443 Recommendation for appointment of an individual to the faculty is normally made by
444 a department head/chair to the appropriate dean after affirmative action procedures
445 have been followed.

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

454 **C21.2** Policy to designate a change in salary for administrators who return to the
455 faculty. When a faculty member (existing or newly hired) is appointed to an
456 administrative position and is entitled to retain an underlying position once the
457 administrative duties are no longer assigned, a memorandum of understanding will
458 accompany the administrative appointment. The memorandum of understanding
459 (MOU) will specify the agreement between the appointee and the appropriate
460 appointing administrator (president, provost or vice president) concerning any
461 upward salary adjustment (or inclusion) for such administrative appointment and a
462 commensurate downward salary adjustment at such time as the appointee no longer
463 has the administrative duties. The memorandum of understanding MOU must be
464 approved and signed by the appropriate administrator and the appointee. The
465 adjustments generally will be based upon an appropriately determined percentage
466 increase (or inclusion) and a commensurate percentage reduction in salary, and also
467 by an 11/9ths conversion for a change from a nine-month to a 12-month contract
468 and a 9/11ths conversion upon return converting from a 12-month to a nine-month
469 appointment if the faculty member is in a department where nine-month contracts
470 prevail.

471 ~~When a tenured faculty member is appointed to an administrative position, a~~
472 ~~memorandum of understanding stating the agreement between the faculty member~~
473 ~~and the appropriate administrator (provost or dean) concerning salary adjustment at~~
474 ~~such time as the faculty member returns to full-time faculty status will accompany~~
475 ~~the contract. The memorandum of understanding will be from the appropriate~~
476 ~~administrator and will be co-signed by the faculty member. The adjustment generally~~
477 ~~will be based upon a 10% reduction in salary, and upon return to a nine-month~~
478 ~~appointment if the faculty member is in a department where nine-month contracts~~
479 ~~prevail. If a larger reduction or other modification is agreed upon, this must be~~
480 ~~included in the memorandum of understanding. Additional modifications may be~~
481 ~~made at the time of reassignment with the approval of the provost.~~

482 **Conditions of Employment for All Unclassified Faculty and Unclassified**
483 **Professionals Employees**

484

485

486 ~~C22.1~~ ~~Conditions~~ ~~Length~~ of employment ~~appointment~~. ~~According to the~~
487 ~~requirements of the position, unclassified positions. Regular and term faculty or~~
488 ~~unclassified professional appointments may~~ Regular faculty and unclassified
489 ~~professional appointments may~~ be either for the academic year (nine months) or for
490 the fiscal year (12 months). ~~Term faculty and unclassified professional~~
491 ~~appointments may be for the academic year (nine months) or the fiscal year (12~~
492 ~~months) or shorter. Unclassified employees. Faculty or unclassified professionals~~
493 ~~with nine month appointments receive their salary payments in 20 installments.~~
494 ~~Those with 12 month appointments receive their salary payments in 26 installments.~~
495 ~~The pay period is bi-weekly. Refer to the PPM, Chapter 4650, section .040~~
496 ~~(http://www.k-state.edu/policies/ppm/4600/4650.html#040http://www.k-~~
497 ~~state.edu/policies/ppm/4650.html).~~

Commented [MM7]: This is in the PPM. No need to have both places.

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

Commented [MM8]: There are instances in which unclassified professionals have teaching responsibilities.

505 C22.3 Information about the pay date schedule is available at [http://www.k-](http://www.k-state.edu/hr/paydates.html)
506 [state.edu/hr/paydates.html](http://www.k-state.edu/hr/paydates.html). A nine-month appointee's salary is paid bi-weekly
507 beginning the first pay date in September.

Commented [MM9]: Including the reference to the paydates website keeps the information current and helps unclassified faculty and professionals find this information.

509 C22.4 Nine-month faculty and unclassified employees professionals do not
510 accumulate or earn annual vacation leave. Their instructional duties are closely
511 related to the presence of students on the campus. Student recesses offer the nine-
512 month faculty member an opportunity to engage in research and perform other
513 necessary professional duties. In consideration of the professional nature of a faculty
514 position, faculty members are expected to fulfill appropriate professional
515 responsibilities throughout the academic year, including student recesses, exclusive
516 of legal holidays. Information about the beginning of the academic year may be
517 found at <http://www.k-state.edu/provost/resources/kborcal.pdf>. Information about
518 the beginning of the academic year may be found at [http://www.k-](http://www.k-state.edu/hr/ped/payrolldates.htm)
519 [state.edu/hr/ped/payrolldates.htm](http://www.k-state.edu/hr/ped/payrolldates.htm), begins with student registration or similar duties
520 in the fall and continues for nine months. Refer to the PPM, Chapter 4650
521 (<http://www.k-state.edu/policies/ppm/4650.html>).

Commented [MM10]: Only policies should be in the UH.

523 C22.5 A substantial portion of the faculty, such as department heads, research
524 scientists in the Agricultural Experiment Station, and subject matter specialists in the
525 Cooperative Extension Service, may be on The holders of 12-month appointments.
526 Such appointments provide for salary in 26 bi-weekly installments, and the holders
527 of such appointments are accountable for their time for a calendar or fiscal year
528 rather than an academic year. Full-time and part-time faculty and unclassified
529 professionals appointed on a 12-month basis are entitled to accumulate a maximum
530 of 38 working days of annual leave. This maximum accumulation amount is a
531 monthly limit, and no employee will earn leave in any month if the maximum limit
532 has been reached. This leave may be divided into periods shorter than a month at
533 the discretion of the staff member. Twelve-month faculty and unclassified
534 professionals, including members of the administrative staff, who wish to be absent
535 for more than legal holidays, charge such absence to their annual leave. (Annual
536 leave is described more fully in E40-46.) Twelve month employees should check with
537 their department heads/chairs regarding leave and vacation procedures. Leave types

\$38 ~~and usage are described more fully in E40-48 and PPM, Chapter 4860, [http://www.k-](http://www.k-ate.edu/policies/ppm/4860.html)~~
\$39 ~~[ate.edu/policies/ppm/4860.html](http://www.k-ate.edu/policies/ppm/4860.html).~~

Commented [MM11]: This information is in the PPM and is not policy.

\$40
\$41
\$42 **C23.1** Summer employment. The university offers a variety of variable-length
\$43 sessions during the summer. All nine-month faculty members who will teach in
\$44 summer school are notified that their names have been included at specified salaries
\$45 in the tentative summer school budget. The summer salary for a faculty member will
\$46 be negotiated between the faculty member and the department head/chair when the
\$47 summer school assignments are made. Faculty members who teach a three-credit-
\$48 hour summer course which is not part of their regular teaching assignment will be
\$49 compensated at the negotiated salary, which may range between 70 to 100 percent
\$50 of one-ninth of their full-time, nine-months' salary. This agreed-upon percentage will
\$51 not be reduced at a later time during the summer at issue for a course that enrolls at
\$52 least the predetermined minimum required number of students, regardless of the
\$53 eventual class size. The nine-month academic year enrollment capacities are
\$54 expected to be adhered to except for negotiated arrangements. If a class fails to
\$55 meet the predetermined minimum enrollment, then at the instigation of the faculty
\$56 member, negotiations may take place for a salary below the seventy percent figure
\$57 provided the faculty member wishes to teach the class. For instances in which a
\$58 faculty member's assigned summer duties are more than a normal load, additional
\$59 compensation or support may be approved by the dean of the college and the
\$60 provost. The additional salary policy, modified to reflect approval by the dean and
\$61 provost, and in cases of continuing education courses, approval also by the Dean of
\$62 ~~the Division of Continuing EducationGlobal Campus~~, would be followed. ~~(See Chapter~~
\$63 ~~2, Section 2-141 of the Business Procedures Manual (5-1-91).)~~ (FS 11/9/99)

Commented [MM12]: We do not have a Business Procedures Manual so this was removed.

\$64 Advising during the summer enrollment period and during the summer teaching
\$65 period is an essential component of the university's mission. Thus, it is expected that
\$66 advising will be recognized as a legitimate component of recompensed activities
\$67 during the summer period.

\$68 Faculty on summer appointments will be compensated at their current rate of pay
\$69 through the end of the fiscal year. At the beginning of the fiscal year faculty will be
\$70 compensated at their new rate of pay. Such compensation also applies to faculty
\$71 supported on grant funds during the summer. Employment in the summer session
\$72 earns for the faculty member all the fringe benefits that accrue monthly for regular
\$73 nine-month appointments, except that sabbatical leave benefits do not take into
\$74 account previous summer school employment. For 12-month faculty members, the
\$75 summer session is considered a normal part of their duties.

\$76 ~~This interim policy will be in effect for a period of no more than two years, during~~
\$77 ~~which time a group of faculty and administrators will conduct a formal study and~~
\$78 ~~bring recommendations for more permanent changes. (ACM 1-19-55, Revised 5-21-~~
\$79 ~~99, Revised 11-9-99)~~

\$80 ~~Nine-month unclassified employees in budgeted faculty positions are placed on leave~~
\$81 ~~of absence for the summer following the end of the academic year. Full or part-time~~
\$82 ~~summer teaching or other duties may be available for nine-month faculty members~~
\$83 ~~as determined by need and resources and at the discretion of the department~~
\$84 ~~head/chair. Refer to the PPM, Chapter 4650, section 050 ([http://www.k-](http://www.k-ate.edu/policies/ppm/4600/4650.html#050)~~
\$85 ~~[ate.edu/policies/ppm/4600/4650.html#050](http://www.k-ate.edu/policies/ppm/4600/4650.html#050) [http://www.k-](http://www.k-ate.edu/policies/ppm/4650.html)~~
\$86 ~~[ate.edu/policies/ppm/4650.html](http://www.k-ate.edu/policies/ppm/4650.html)).~~

587 A transaction is submitted to the Division of Human Resources for all 9-month
588 employees who will be appointed during the summer on a summer appointment or
589 who are newly hired. A summer school appointment is a teaching appointment for
590 summer school courses. A summer appointment is an appointment other than
591 teaching and is generally paid from a grant. Summer salary will be negotiated
592 between the faculty member and department head. For 12-month faculty, summer is
593 a normal part of their duties. For more information on summer school and summer
594 appointments, refer to the PPM, Chapter 4650, section .050, [http://www.k-](http://www.k-state.edu/policies/ppm/4600/4650.html#050)
595 [state.edu/policies/ppm/4650.html](http://www.k-state.edu/policies/ppm/4650.html). For more information on processing summer
596 transactions and for transaction deadlines, refer to Transaction Guidelines &
597 Procedures for Summer (<http://www.k-state.edu/hr/ped/transguidelines.htm>).

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

602 **Other Types of Appointments**

603
604 **C24 Interdisciplinary appointments.** Normally, all tenure-track faculty members
605 appointed to interdisciplinary programs who have not already acquired tenure at
606 Kansas State University shall at the time they are being considered for appointment
607 identify the disciplinary department with which they wish to be associated. Prior to
608 appointment, a majority of the faculty members of the chosen disciplinary
609 department must find the individual acceptable as a potential faculty member in their
610 department.

611
612
613 **C25.1 Adjunct appointments.** Adjunct appointments are made for the benefit of
614 the university to allow people from outside the university to contribute to its
615 academic program. When appropriate, an academic department initiates a
616 recommendation for an adjunct appointment at the faculty rank commensurate with
617 the individual's qualifications. Approval of the college dean and the provost is
618 required. Because they allow the individual the courtesy of affiliation with the
619 university, adjunct appointments are usually without compensation. Payment may be
620 made for classroom instruction, although adjunct faculty members are normally not
621 appointed to serve in the formal teaching program. Refer to the PPM, Chapter
622 4650, [http://www.k-](http://www.k-state.edu/policies/ppm/4600/4650.html#040)
623 [state.edu/policies/ppm/4650.html](http://www.k-state.edu/policies/ppm/4650.html).

624
625
626 **C25.2** The activities of adjunct faculty members are limited to participation in
627 academic functions such as teaching, advising, and supervising research. The regular
628 procedures of the graduate faculty apply to any individual's participation in a
629 graduate program. Adjunct appointees may serve as major professors for graduate
630 students only if a regular member of the graduate faculty serves as co-major
631 professor.

632
633 **C25.3** All university rules and regulations apply to adjunct faculty members in their
634 university association, including policies with respect to patents, conflict of interest,
635 classified research, and use of human subjects. Adjunct faculty members must
636 accept responsibility for liability in cases of student work which they supervise off-
637 campus.

Commented [MM13]: This is PPM language and is not needed in the UH.

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

641
642 **C25.5** In recognition of their contribution to the academic community, the university
643 extends to adjunct appointees residing in Kansas the use of university libraries;
644 employee rates for athletic, Kansas State Union, and cultural events; and parking
645 privileges.

646
647 **C27 Ancillary appointments.** Ancillary appointments are made for the benefit of a
648 department to allow faculty from other university departments to contribute to its
649 academic programs. Members who are on regular faculty appointments in other
650 departments or units on campus are eligible. The goal is to foster ties between
651 departments with similar and/or complementary disciplinary interests.

652
653 **C27.1** An eligible faculty member may be nominated for an ancillary appointment by
654 a faculty member in the host department or by the host department head/[chair](#). The
655 nomination should be discussed with other faculty in both of the departments that
656 the appointment may affect. The nomination should include a letter of nomination,
657 curriculum vitae of the candidate, and a statement outlining the benefits both to the
658 candidate and to the hosting department. Prior to appointment, a majority of the
659 faculty members from the host department must find the individual acceptable as an
660 ancillary faculty member. The appointment must be approved by the host
661 department head/[chair](#), host dean, and the provost. The candidate must also have
662 approval from his/her home department head/[chair](#) and dean.

663
664 **C27.2** An ancillary appointment is a five-year term and is contingent upon a
665 continuing regular faculty appointment. To be reappointed, the candidate must be
666 re-nominated and approved by the process outlined above.

667
668 **C27.3** The activities of an ancillary appointment may include teaching, interaction in
669 scholarly and creative endeavors, participation in graduate programs, and serving on
670 graduate student committees. The regular procedures of the graduate faculty apply
671 to any individual's participation in a graduate program. Departments may develop
672 more specific guidelines and policies related to these appointments.

673
674 **C27.4** Ancillary appointments are without compensation. Ancillary faculty members
675 are subject to all rules and regulations that apply to members of the host
676 department including but not limited to patents, conflict of interest, classified
677 research, and use of human subjects. Ancillary faculty members are not granted
678 tenure, nor are they eligible to vote or hold office in the host department. Ancillary
679 appointments may be recognized in all appropriate departmental documents and
680 literature pertaining to academic programs.

681 **Other Considerations**

682
683
684 **C29.1** Other considerations. As a general policy, tenure-track faculty appointments
685 will not be offered to persons whose last earned academic degree is from Kansas
686 State University unless they have acquired extensive intervening experience
687 elsewhere. In unusual and meritorious cases, the provost may make exceptions to
688 this policy.

689
690 **C29.2** The university will not grant an advanced degree to a faculty member who
691 holds the rank of assistant professor or higher, with the following exceptions: Faculty

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692 members in these ranks may be permitted to work for degrees outside their own
693 departments, provided that the degrees are not required for promotion or tenure in
694 their own departments.

695
696 **General Issues of Evaluation for All Faculty and Unclassified**
697 **Professionals/employees**

698
699 **C30.1** Purposes of evaluations. Personnel decisions concerning annual merit salary
700 adjustments, reappointment, tenure, and promotion are based on appropriate and
701 meaningful faculty evaluation. ~~Also important to the institution is the use of~~
702 ~~evaluation procedures to aid faculty development. Faculty e~~ Evaluations should also
703 provide an opportunity for professional growth and an enhanced commitment to
704 fostering the excellence at Kansas State University. Meaningful, fair, and equitably
705 administered evaluation at all levels is vital to the good of the university and to the
706 welfare of its employees.

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

710 **C30.3** ~~It also is clearly understood that faculty r~~ Renewal, development and
711 improvement are of critically important to the university in its pursuit of
712 excellence. Each department/unit should develop means of providing feedback to the
713 individual employee so that he/~~or~~ she can maintain high levels of performance. In
714 addition, unclassified employees Faculty members also have a personal responsibility
715 to maintain or improve performance and are encouraged to participate in
716 professional development activities. Those individuals with supervisory authority ~~The~~
717 ~~department or unit head, in consultation with the dean of the college and the provost~~
718 shall guide and assist those they supervise individual with such improvement
719 activities. Often an agency external to the department/unit can contribute to this
720 process. For example, the Teaching and Learning Center for the Advancement of
721 Teaching and Learning provides independent and confidential help to strengthen
722 teaching, and the Office of Research and Sponsored Programs assists with efforts to
723 design projects and secure extramural funding.

724 **C30.4** Evaluation procedures of close relatives. It is university policy that no one
725 shall participate in any way in the evaluation of a close relative. ~~(See PPM Chapter~~
726 ~~4095.)~~ When such situations occur, those who would be responsible for the
727 evaluation of a close relative must, in consultation with the administrator to whom
728 they report, establish an evaluation procedure that will avoid this conflict of interest.
729 ~~(See PPM Chapter 4095.)~~

730 **C31.1** Departmental/unit criteria, standards, and guidelines. It is not possible at
731 the university or college levels to establish detailed criteria and standards for annual
732 merit salary adjustments, reappointment, promotion, and tenure. The responsibility
733 for developing and revising an annual evaluation system for faculty and unclassified
734 professionals staff rests primarily with the department's/unit's faculty and
735 professional staff unclassified professionals in consultation with the
736 department's/unit's administrative head/chair, dean, vice-president, provost or
737 president, as appropriate, depending upon the department's/unit's reporting
738 structure. The evaluation system that is developed should be consistent with the
739 university's goals as well as those of the unit. Each administrative unit will develop a
740 procedure in accordance with the University Handbook applicable policy.

Commented [MM14]: From Ruth Dyer:
A40 no longer exists

Commented [MM15]: From Brian Niehoff:
This was C37. It did not fit there very well. I think if it is to be
renumbered, it should be as C30.4

741 It is the responsibility of the provost's responsibility and vice presidents to ensure
742 that the unclassified employees in their constituent units/faculty of each academic
743 department or unit, in consultation with the deans, department heads, or unit
744 directors and the dean develop and periodically review the criteria, standards, and
745 guidelines. (See PPM 3010: Equal Employment Opportunity.)

Commented [rd16]: A30 no longer exists.

746 **C31.2** A department/unit's evaluation system must be mutually approved by a
747 majority vote of the faculty and/or professional staff/unclassified professionals in the
748 unit (each votes only on the system used for evaluating their own performance: i.e.,
749 faculty vote on their unit's faculty evaluation system, unclassified professionals vote
750 on their unit's unclassified professional evaluation system), by the unit's
751 administrative head, and by the respective dean and provost or appropriate vice-
752 president. The date of final approval must appear on the first page. Provision must
753 be made for review of the department/unit criteria, standards, and guidelines at
754 least once every five years or more frequently if it is determined to be necessary by
755 any of the aforementioned parties. Revisions also must be approved by the process
756 described above. Dates of revision (or the vote to continue without revision) must
757 appear on the first page.
758 Departmental/unit criteria, standards, and guidelines for faculty must be mutually
759 approved by a majority vote of the faculty members in the department or unit, by
760 the department head or unit director, by the dean concerned, and by the provost.
761 Provision must be made for review of departmental/unit criteria, standards, and
762 guidelines at least once every five years or more frequently if it is determined to be
763 necessary by any of the aforementioned parties. Dates of revision (or the vote to
764 continue without revision) must appear on the first page. Copies are available to
765 faculty members in their departmental or unit offices.

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767 **C31.3** The criteria, standards, and guidelines for evaluation must be consistent
768 with the university's and college's expectations for the department or unit as
769 determined by the university in conjunction with the college or other administrative
770 divisions to which the department or unit reports. They ensure clarity of
771 departmental/unit priorities while providing for significant variance in the
772 responsibilities and assignments of individual faculty members/unclassified
773 employees/faculty members and unclassified professionals.

774 **C31.4** It is the responsibility of the deans and the provost to ensure that
775 departmental/unit criteria, standards, and guidelines are followed in making
776 recommendations and decisions for merit salary adjustments, reappointment,
777 promotion, and tenure within the colleges. It is the responsibility of the vice
778 presidents and their subordinate administrators in making recommendations and
779 decisions for merit salary adjustments, reappointment, and promotion within their
780 respective units.

781 ***Chronic Low Achievement for Tenured Faculty Evaluation***

782
783
784 **C31.5** ~~Chronic low achievement.~~ Chronic failure of a tenured faculty member to
785 perform his/her professional duties, as defined in the respective unit, shall constitute
786 evidence of "professional incompetence" and warrant consideration for "dismissal for
787 cause" under existing university policies. Each department or unit shall develop a set
788 of guidelines describing the minimum-acceptable level of productivity for each
789 applicable areas of responsibility for the faculty, as well as procedures to handle such
790 cases. In keeping with regular procedures in matters of tenure (C112.1 and C112.2),

791 eligible departmental faculty will have input into any decision on individual cases
792 unless the faculty member requests otherwise. When a tenured faculty member's
793 overall performance falls below the minimum-acceptable level, as indicated by the
794 annual evaluation, the department or unit head/chair shall indicate so in writing to
795 the faculty member. The department head/chair will also indicate, in writing, a
796 suggested course of action to improve the performance of the faculty member. In
797 subsequent annual evaluations, the faculty member will report on activities aimed at
798 improving performance and any evidence of improvement. The names of faculty
799 members who fail to meet minimum standards for the year following the department
800 head's/chair's suggested course of action will be forwarded to the appropriate dean.
801 If the faculty member has two successive evaluations or a total of three evaluations
802 in any five-year period in which minimum standards are not met, then "dismissal for
803 cause" will be considered at the discretion of the appropriate dean.

804
805 **C31.6** Section C31.5 is about revocation of tenure in individual cases. Tenure is
806 essential for the protection of the independence of the teaching and research faculty
807 in institutions of higher learning in the United States. Decisions about revocation of
808 tenure, especially if the grounds are professional incompetence, should not be
809 exclusively controlled or determined by and should not be unduly influenced by
810 single individuals without input from faculty. Moreover, "dismissal for cause" in cases
811 of professional incompetence can only be based on departmental guidelines about
812 minimum-acceptable levels of performance that apply generally to all members of
813 the department or unit and are distinct from individually determined annual goals.
814 Consequently, C31.5 establishes a departmental and faculty procedure for the
815 decision about the revocation of tenure for professional incompetence. ~~It is not the~~
816 ~~purpose of C31.5 to promote, endorse, encourage, or to have any stand whatsoever~~
817 ~~on the definition of "productivity," its relation to publication, or the proper~~
818 ~~relationship between measurable definitions of productivity and an intellectual~~
819 ~~university environment that is favorable to substantive scholarship, long-range~~
820 ~~projects, or critical and creative thinking. These are matters that C31.5 leaves to. It is~~
821 the department or unit's responsibility to consider in "developing" a set of guidelines
822 describing the minimum acceptable level of productivity for each applicable area
823 of responsibility." These minimum standards are not the same as those referred to in
824 C31.1 or C41.1. It is expected that guidelines concerning minimum-acceptable
825 levels of productivity will vary considerably from unit to unit. Not only disciplinary
826 differences but differences in philosophies of departmental administration are
827 appropriate. What is not appropriate is the undue protection of non-contributing
828 members of the faculty.

829
830 **C31.7** Prior to the point at which "dismissal for cause" is considered under C31.5,
831 other less drastic actions should have been taken. In most cases, the faculty
832 member's deficient performance ("below expectations" or worse) in one or more
833 areas of responsibility will have been noted in prior annual evaluations. At that point,
834 the first responsibility of the head/chair of the department or unit is to determine
835 explicitly whether the duties assigned to the faculty member have been equitable in
836 the context of the distribution of duties within the unit and to correct any inequities
837 affecting the faculty member under review. Second, the head/chair of the
838 department or unit should have offered the types of assistance indicated in C30.3.
839 Referral for still other forms of assistance (e.g., medical or psychological) may be
840 warranted. Third, if the deficient performance continues in spite of these efforts and
841 recommendations, the department head/chair and the faculty member may agree to
842 a reallocation of the faculty member's time so that he/she no longer has duties in the
843 area(s) of deficient performance. ~~Of course, s~~Such reallocation can occur only if

844 there are one or more areas of better performance in the faculty member's profile
845 and if the reallocation is possible in the larger context of the department's or unit's
846 mission, needs, and resources.

847
848 **C31.8** To help clarify the relationship between annual evaluations for merit, salary,
849 and promotion and evaluations that could lead to C31.5, the following
850 recommendations are made:

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

871 **Other Considerations for Faculty Evaluation**

872
873 **C32.1** Diversity of faculty responsibilities. The responsibilities of the university
874 faculty include teaching, research and other creative ~~activitiesendeavor~~, extension,
875 directed service, and/or non-directed service (See C1-C6.) The emphasis given to
876 these responsibilities varies among the colleges and departments of the university
877 and may well vary from individual to individual within a department.

878
879 **C32.2** Kansas State University has several important missions, and a fundamental
880 one is the education of students. ~~Teaching-evaluations~~ ~~Evaluation of teaching is~~ an
881 important part of the overall faculty evaluation. ~~They are~~ ~~It is~~ used to aid faculty
882 development and foster a commitment to teaching excellence at Kansas State
883 University.

884
885 **C32.3** A variety of teaching environments and pedagogies are critical to institutional
886 excellence. Departments will establish criteria and standards for all forms of teaching
887 appropriate to their missions.

888
889 **C32.4** Original intellectual and artistic contributions fulfill a fundamental mission of
890 the university and are crucial to institutional excellence. There is great diversity in
891 the scholarly and creative achievement of the university faculty, and departments
892 will establish criteria and standards for all forms of research and other creative
893 achievement appropriate to their missions.

894
895 **C32.5** ~~Because~~~~Since~~ extension specialists teach in diverse settings across the state,
896 they are expected to use a variety of teaching methods and strategies. The
897 effectiveness of the extension program developed by a specialist is measured in
898 terms of skills, attitudes, and knowledge gained by the targeted audiences. The
899 criteria and standards for evaluating specialist performance are developed by the
900 departments and units that have extension faculty members.
901
902 **C32.6** The directed service performed by librarians, clinicians, and others in similar
903 positions is evaluated for reappointment, tenure, and promotion decisions. Criteria
904 and standards for these responsibilities are developed by the departments and units
905 that include the services.
906
907 **C32.7** Non-directed service (profession-based service, institution-based service, and
908 public-based professional service) are evaluated insofar as they are part of a
909 candidate's responsibilities. However, non-directed service cannot be the major
910 grounds upon which tenure or promotion is based. Each department establishes
911 criteria and standards for faculty activity in university governance and for work in
912 professional associations and activities within and outside the university.
913
914 **C33** Multiple data sources for evaluations. Professional performance is ~~exceptionally~~
915 complex and cannot be evaluated adequately based on a single source of
916 information. It is essential that faculty evaluation be based on multiple sources of
917 data for each area evaluated in order to provide various perspectives and to avoid a
918 concentration on narrow performance objectives.
919
920 **C34.1** Student ~~ratings-feedback on~~ classroom instruction. In most cases,
921 documentation submitted by faculty members with teaching responsibilities would be
922 considered incomplete and presumed inadequate, unless evidence of teaching
923 effectiveness is included. Student ~~ratings-feedback on~~ classroom instruction ~~is~~~~are~~
924 an important source of information in the evaluation of teaching effectiveness, provided
925 that the format includes controls for student motivation and other possible bias. The
926 form should contain directions that indicate how the information is used, and the
927 forms should be administered and collected under controlled conditions that assure
928 students' anonymity. Each academic unit should determine the student ~~rating~~
929 ~~feedback~~ form to be used by its faculty that conforms to the guidelines specified
930 above. Faculty members, including ~~regular faculty professors~~, instructors, graduate
931 teaching assistants, adjuncts, etc., shall ~~collect student feedback~~~~be evaluated by~~
932 ~~students~~ for each course and section they teach ~~each year~~ in order to provide
933 themselves and their departments with information pertaining to teaching
934 ~~effectiveness~~~~teacy~~ as well as provide material for the assessment of the relationships
935 between SLO achievement and teaching. Exceptions are ~~non-~~
936 ~~instructional~~~~individualized~~ courses (e.g., research hours at the 899 and 999 levels,
937 ~~independent study~~). Faculty members engaged in individualized instruction should
938 be guided by the unit's criteria for evaluating such instruction (See C32.2).
939
940 **C34.2** Student ~~ratings-feedback~~ should never be the only source of information
941 about classroom teaching. Departments or units should be encouraged to develop a
942 comprehensive, flexible approach to teaching evaluation, where several types of
943 evidence can be collected, presented and evaluated as a portfolio. Peers,
944 administrators, and other appropriate judges also can offer useful insights about a
945 faculty member's teaching performance. Peer evaluation, defined as a critical review
946 by colleagues knowledgeable of the entire range of teaching activities, can be an

947 important component of the university's teaching evaluation program since peers are
948 often in the best position to interpret and understand the evidence and place it in its
949 proper academic context. Data other than student [ratings-feedback](#) that provide
950 relevant evidence of teaching effectiveness are described in "Effective Faculty
951 Evaluation: Annual Salary Adjustment, Tenure and Promotion ([http://www.k-
952 state.edu/provost/forms/EFE.pdf](http://www.k-state.edu/provost/forms/EFE.pdf))[http://www.k-
953 state.edu/academicpersonnel/depthead/manual/master.html](http://www.k-state.edu/academicpersonnel/depthead/manual/master.html)." Examples include:
954 course materials such as reading lists, syllabi, and examinations; special
955 contributions to effective teaching for diverse student populations; preparation of
956 innovative teaching materials or instructional techniques; special teaching activities
957 outside the university; exit interviews, and graduate interviews and surveys to
958 obtain information about teaching effectiveness.
959

960 **C34.3** A department [or unit](#)'s policies and procedures may specify that submission of
961 student [ratings-feedback](#) will be mandatory and further specify the student [rating
962 feedback](#) system(s) to be employed for the purposes of making personnel
963 recommendations concerning annual merit salary, reappointment, tenure, and
964 promotion. In such instances, departmental procedures for administering student
965 [ratings-feedback](#) forms or questionnaires should be standardized in order to minimize
966 extraneous influences when results are compared within a department. Assistance
967 with establishing such procedures is available from the [Teaching and Learning Center
968 for the Advancement of Teaching and Learning](#).
969

970 **C34.4** Regardless of the form or system used, the results or reports shall be
971 returned only to the faculty member [and department/unit head/chair](#) unless that
972 individual has provided signed authorization to release the results to others.
973 [University policy requires that results of student feedbackratings not be returned to
974 faculty members until after the semester deadline for submitting grades. The only
975 deviation from this procedure is the return of student ratings that are being used by
976 a faculty member to develop mid-semester strategies for improvement; in these
977 cases, the students must be informed that the results will be returned to the
978 instructor before grades have been submitted.](#)
979

980 **C34.5** Some student [ratings-feedback](#) systems are designed primarily to help faculty
981 members improve their teaching. Faculty members are encouraged to decide
982 individually what means, ~~if any,~~ they use to ascertain student views of their teaching
983 in order to improve. Other student ratings systems are designed primarily to aid in
984 the comparative evaluation of faculty members within a department for the purposes
985 of making personnel recommendations concerning annual merit salary,
986 reappointment, tenure, and promotion. It is essential that each department [or unit](#)'s
987 policies and procedures indicate the student [rating-feedback](#) system(s) to be
988 employed for the latter purposes. Faculty members are, ~~of course,~~ free to submit
989 supplemental student views from instruments or other methods of their own choice.
990

991 **C35** Confidentiality of documents. Faculty ~~and unclassified professionals~~ should [not](#)
992 expect that their peer evaluations gathered from individuals at Kansas State
993 University and at other institutions will ~~not~~ be available to them, except in
994 association with grievance proceeding (see Appendix G).
995

996 These materials, along with other documents reflecting the peer review process will
997 be retained by the dean of the college, as will the candidates' files submitted for
998 promotion or tenure consideration. Where actual copies of books or other creative or
999 scholarly works are submitted, these materials may be returned to candidates upon

Commented [mdr17]: Just an alert to the Faculty Affairs Committee – some department heads and faculty would like the University Handbook to require submission of TEVALS for faculty evaluation. Such a change would be a major change in policy.

Commented [MM18R17]: This was reviewed by Faculty Affairs, and we discussed the fact that all courses are now required to be evaluated. We discussed that this implies that all student evaluations are reviewed by department/unit heads. This language was changed to have the TEVALS sent to the faculty member and the department/unit head/chair.

1000 completion of the review process. Upon request of the candidate following the
1001 completion of the review process for tenure or promotion, the dean will have a
1002 detailed discussion with the candidate and provide a written summary of the
1003 information leading to the decision. _

1004
1005 **C36.1** Outside reviewers. Persons outside the university who are recognized for
1006 excellence in the candidate's discipline or profession may be asked to participate as
1007 reviewers in evaluations for tenure and promotion. Each reviewer should be provided
1008 a written description of the candidate's responsibilities during the period being
1009 evaluated and pertinent materials from the candidate's file. Because outside
1010 reviewers are most likely to be familiar with and able to judge a candidate's research
1011 and other creative endeavor and are likely to review only that area of performance,
1012 this aspect should be recognized and the review weighted accordingly.

1013
1014 **C36.2** The value of outside reviews depends on the appropriate choice of objective
1015 reviewers. Comments from a candidate's major professor or graduate school
1016 classmates are generally less persuasive and should, as a rule, be avoided.

1017
1018 **Other Considerations for ~~Issues of Professional Staff~~ Unclassified**
1019 **Professional Evaluations**

1020
1021 ~~C3 Employees within a department or unit who share suitably similar position~~
1022 ~~descriptions should be evaluated with uniform criteria, standards, and guidelines.~~
1023 ~~These procedures should be clearly applicable to these positions, but general enough~~
1024 ~~in nature to allow for consideration of variation among individual position~~
1025 ~~descriptions.~~

1026
1027 ~~These procedures must be mutually approved by a majority vote of the concerned~~
1028 ~~employees, by the department head or unit director, by the concerned dean or unit~~
1029 ~~administrator, and by the provost or concerned vice president.~~

1030
1031 ~~Provision must be made for review at least once every five years or more frequently~~
1032 ~~if it is determined to be necessary by any of the aforementioned parties. Dates of~~
1033 ~~revision (or the vote to continue without revision) must appear on the first page.~~
1034 ~~Copies are available to professional staff in their departmental or unit offices.~~

1035
1036 ~~C37-1 All evaluations of professional staff unclassified professionals should explicitly~~
1037 ~~consider the position description for that employee in the assessment of annual~~
1038 ~~performance. It should be understood that any position description will possess a~~
1039 ~~degree of generality and flexibility (i.e., "other duties as assigned") such that specific~~
1040 ~~duties may be adjusted in accordance with the evolving needs of a department or~~
1041 ~~unit. However, if a current position description is not on file with the appropriate~~
1042 ~~unit, or if the current duties of the employee differ in important respects from the~~
1043 ~~position description on file, a new position description should be developed in~~
1044 ~~consultation with the employee and mutually agreed upon by all concerned parties as~~
1045 ~~the basis for any valid evaluation.~~

1046
1047 ~~In regard to unclassified professional staff evaluations, the following~~
1048 ~~recommendations are made:~~

- 1049
1050 ~~a. Annual evaluations should be stated in terms of expectations. The categories~~
1051 ~~should include at least the following: "exceeded expectations," "met~~

Commented [MM19]: There was redundancy between C31.2 and C37, so we deleted C37. We revised the name of this section to encompass the additional information helpful for unclassified professional evaluations.

Commented [MM20]: Mutual agreement for the position description should not be required. Instead the employee will be consulted.

1052 expectations." "fallen below expectations but has met minimum -acceptable
1053 levels of productivity," and "fallen below minimum -acceptable levels of
1054 productivity." "with the "minimum-acceptable levels of productivity". These
1055 categories should clearly reference the expectationsduties communicated by
1056 bothincluded in the position description and the letter of expectations |
1057 generated in the hiring process.
1058 b. Annual written evaluations should articulate the basis of the categorical rating
1059 assigned. This narrative should provide meaningful detail and/or guidance
1060 regarding how the professional staff memberemployee might improve or
1061 maintain the assigned category of evaluation in the coming year.
1062 c. At minimum, all professional staffannual evaluations of unclassified
1063 professionals should include a written evaluation and a meeting between the
1064 evaluating supervisor and the professional staff memberemployee. In the
1065 spirit of continuous improvement for both the unit and the professional staff
1066 member, this meeting should further elaborate upon the written evaluation,
1067 explore goals for the coming year, provide an opportunity to ask questions,
1068 and offer clear recommendations for how to address any articulated
1069 deficiencies.

Commented [MM21]: There is no such letter for all hires.

1070
1071 **C37.12** Confidentiality of documents. When applicable, peers who are asked to
1072 participate in a review process for another employee should be able to provide
1073 confidential input. For that reason, professional staffunclassified professionals should
1074 not expect that peer evaluations gathered from individuals at Kansas State
1075 University and at other institutions will be available to them, except in association
1076 with grievance proceeding (see Appendix G). These materials, along with other
1077 documents reflecting a peer review process, will be retained by the relevant dean or
1078 equivalent administrator.

Tenure and Promotion Procedures for Department Heads/Chairs

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1082 **C38** ~~Tenure and promotion procedures for department heads/chairs.~~ Each college is
1083 responsible for establishing departmental procedures to follow when department
1084 heads/chairs are candidates for tenure or promotion. In these cases, all eligible
1085 faculty members within the particular department have the primary responsibility for
1086 judging the qualifications of a candidate, and the criteria and standards used must
1087 be the same as those established by the department for other faculty members.

Evaluation of Graduate Teaching Assistants

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1091 **C39** Graduate teaching assistants (GTAs) provide very valuable contributions to the
1092 missions of the university by participating in the instruction of undergraduate
1093 courses and in research and scholarly activities. GTAs' tasks may range from grading
1094 assignments to the instruction of one or more sections of courses under
1095 departmental supervision. When GTAs are involved in classroom teaching, their skills
1096 in communicating and interacting with students are important in the effective
1097 transfer of information. In order to assure high quality instruction, it is necessary
1098 that GTAs teaching for the first time at Kansas State University be assessed as to
1099 their instructional skills. Feedback from students in class is a valuable source for this
1100 information, and can be used for both ~~skills~~-improvement of skills- and for
1101 management purposes by the department.

1102
1103 Each academic department shall have or put into place procedures for obtaining
1104 student feedback on instructional skills of GTAs teaching for the first time at Kansas
1105 State University. Departments may use their own assessment and analysis
1106 procedures, or adopt the procedures available through the Office of
1107 [Assessment Planning and Analysis \(OPA\)](#). These assessments should be conducted
1108 during lecture, recitation or laboratory sessions about three weeks after the
1109 beginning of the semester. As a minimum, this process should include (1)
1110 assessment of basic communication skills such as enunciation, clarity, and loudness;
1111 (2) assessment of interactive skills in responding to student questions; (3)
1112 assessment as to whether the lecture presentations are organized; (4) provision for
1113 feedback to the GTA and implementation of corrective measures when needed; (5)
1114 collection of normative data; and (6) provision for a follow-up assessment if serious
1115 concerns arise. The results of the assessment should be provided to the GTA, the
1116 professor-in-charge, department/unit head, and provost. The results should also be
1117 transmitted to the dean of the appropriate college when serious concerns are raised
1118 about the GTA's communication skills. When GTAs are unable to meet a basic
1119 standard of communication performance as specified in the departmental/[Office of](#)
1120 [Assessment](#) procedures, corrective action should be taken to remedy the situation.

1121
1122 ~~C39.1 Disputes concerning graduate assistants' (GTA/GRA/GA) performance are~~
1123 ~~employment matters that should be originated with the appointing department and~~
1124 ~~be addressed through normal supervisory channels. The students should begin~~
1125 ~~addressing the concern with the assigned supervisor of the assistantship and, if~~
1126 ~~necessary, proceed to the department or unit head. If the matter is not resolved at~~
1127 ~~the department or unit level, the student may present it to the Dean of the College in~~
1128 ~~which the (GTA/GRA/GA) is employed. Formal grievance procedures do not apply to~~
1129 ~~these appointments (see Appendix A of the Graduate Handbook [http://www.k-](http://www.k-state.edu/grad/graduate-handbook/appendixa.html)~~
1130 ~~state.edu/grad/graduate-handbook/appendixa.html).~~

1131
1132 ~~Annual Evaluation of Faculty and Unclassified Employees Professionals~~
1133 ~~Evaluation Annual Evaluation and Merit Increases for Faculty and~~
1134 ~~Professional Staff~~

1135
1136 ~~C40 Bases for salary increases.—The evaluation will provide the basis for any annual~~
1137 ~~merit pay increases in salary recommendations. See C30-C39 for additional guidance~~
1138 ~~on evaluation processes. Annual written evaluations conducted for the purpose of~~
1139 ~~determining merit salary increases are based on the distribution of responsibilities~~
1140 ~~assigned, the relative difficulty and importance of these responsibilities, and the level~~
1141 ~~of success with which each was performed.~~

1142
1143 ~~C41.1 Development and revisions of the evaluation system. Each unit that includes~~
1144 ~~faculty and/or unclassified professional staff must have a system for annual~~
1145 ~~evaluation of faculty and professional staff unclassified professionals on regular~~
1146 ~~appointment half time or greater. The system of evaluation must include a statement~~
1147 ~~of the department's/unit's evaluation criteria and standards. The evaluation will~~
1148 ~~provide the basis for annual merit salary recommendations. See C30-C39 for~~
1149 ~~additional guidance.—General Issues of Faculty Evaluation.~~

1150
1151 ~~C41.2 The responsibility for developing and revising an annual evaluation system for~~
1152 ~~faculty and unclassified professional staff rests primarily with the department's/unit's~~
1153 ~~faculty and unclassified professional staff in consultation with the department's/unit's~~
1154 ~~administrative head/chair, dean, vice-president, provost or president, as appropriate,~~

Field Code Changed

Commented [JH22]: I note that the next several items are somewhat redundant with stuff that was already present in the issues of faculty evaluation section. However, since that redundancy pre-dated our revisions, I did not wish to upset the ecology by expunging it. Thus, I retained a similar redundancy (mas o menos) in the verbiage established for "Issues of Professional Staff Evaluation" that I wrote above – not sure if this is right but don't see it as enough of an issue to want to tackle streamlining. It is an important set of points so I don't see redundancy as necessarily bad. 3/12/15

1155 depending upon the department's/unit's reporting structure. At the time of initial
1156 consideration, and with later revision of the system, faculty and unclassified
1157 professional staff are expected to provide opinions about the department's/unit's
1158 evaluation system. The system that is developed should be consistent with the
1159 university's goals as well as those of the unit. Each administrative unit will develop a
1160 procedure in accordance with the University Handbook.

1162 ~~C41.3~~ A unit's evaluation system must be mutually approved by a majority vote of
1163 the faculty and/or unclassified professional staff in the unit, by the unit's
1164 administrative head, and by the dean or appropriate vice president. The date of final
1165 approval must appear on the first page. Provision must be made for review of the
1166 system at least once every five years or more frequently if it is determined to be
1167 necessary by any of the three aforementioned parties. Revisions also must be
1168 approved by the process described above. Dates of revision (or the vote to continue
1169 without revision) must appear on the first page.

1170 ~~C41.4~~

1172 ~~(a)~~ Performance evaluations of all heads/chairs/directors and other administrative
1173 supervisors in academic and non-academic departments/units are completed
1174 annually for merit increases. Individuals under their supervision, as well as other
1175 faculty, unclassified professionals, classified staff, and clientele as specified in the
1176 department's/unit's evaluation system, will be asked to provide input identifying
1177 strengths, weaknesses and issues relevant to the administrator's annual
1178 performance.

1179 ~~(b)~~ At least once every five years, the responsible dean, vice provost, vicepresident,
1180 provost or president depending upon the department's/unit's reporting structure, will
1181 issue a request for input from individuals regarding the performance of their
1182 department/unit administrator(s). Please follow the process outlined in B123. (FS
1183 11/10/09 revisions)

Commented [MDR23]: This section has been moved to Section C43.

Commented [MDR24]: This section has been moved to C159.

1184 -
1185 **C42 Evaluation period.**

1186
1187 The evaluation period will be the same for all individuals in the department/unit, with
1188 the possible exception of first year appointees and individuals who have been on
1189 leave for all or a part of the year. The unit's evaluation system will normally be
1190 based on performance during the 12-month evaluation period ending December 31.
1191 However, department/units may, on the basis of a majority vote choose any other
1192 12-month period for evaluation (e.g., the fiscal year from July 1 to June 30).
1193 Depending on its goals and objectives, a department/unit's evaluation system may
1194 include accomplishments that have occurred over a period of time longer than one
1195 year. It also may specify that a rolling average of the person's annual evaluation
1196 results for several preceding years be used to determine relative salary
1197 recommendations to minimize inequities due to variable legislative actions from year
1198 to year. Faculty and unclassified professionals in such units will receive merit salary
1199 adjustments, if any, up to 12 months after the conclusion of the evaluation period.

1200
1201 **C42.1** For first-year appointees, units have the option of a) recommending an
1202 increase based on the individual's evaluation (adjusted proportionally to encompass
1203 the entire year), b) recommending an average increase, or c) recommending the
1204 larger of the above, since the length of time for evaluating performance was limited.

1205 Such individuals are also eligible for salary adjustments on bases outside the annual
1206 evaluation (e.g., market, equity).

1207
1208 **C42.2** Faculty and ~~unclassified~~ ~~unclassified~~ professionals ~~staff~~ on leave. The unit may
1209 evaluate individuals who were on sabbatical leave or ~~on other~~ leave ~~without pay~~ for a
1210 portion of the year on the basis of their performance during the period they were
1211 engaged in university assignments, and, if so, merit recommendations should be
1212 consistent with this evaluation (adjusted proportionally to encompass the entire
1213 year). If the leave was for the entire year, the individual's average evaluation for
1214 recent years, not to exceed six years, may serve as the basis of the merit increase
1215 recommendation. Such individuals are also eligible for salary adjustments on bases
1216 outside the annual evaluation.

1217 Annual Evaluation of Administrators

1218 Includes performance evaluations of all heads/chairs/directors/associate and
1219 assistant deans and other unclassified professional administrative supervisors.

1220 **C4**~~31-4~~

1221
1222
1223
1224 ~~(a)~~ Performance evaluations of all heads/chairs/directors/associate and assistant
1225 deans and other administrative supervisors in academic and non-academic
1226 departments/units are completed annually for merit increases. Individuals under
1227 their direct supervision, as well as other faculty, unclassified professionals, university
1228 support staff, and clientele as specified in the department's/unit's evaluation system,
1229 ~~may~~ ~~with~~ be asked to provide input identifying strengths, weaknesses and issues
1230 relevant to the administrator's annual performance. (FSM 11/10/09 revisions) The
1231 method used to collect feedback should be private and confidential, and the feedback
1232 shall be anonymous to the individual being reviewed. However, absolute
1233 confidentiality and anonymity cannot be guaranteed, as when safety, security or due
1234 process requires disclosure. An example of a method that may be used to protect the
1235 privacy and confidentiality of those submitting annual evaluation materials would be
1236 electronic surveys, available through the Office of Planning and Analysis.
1237 Confidentiality and anonymity cannot be guaranteed, such as when safety, security,
1238 or due process requires disclosure. Individuals also may choose to use other
1239 methods to provide confidential feedback to the supervisor of the individual being
1240 reviewed. A description of the five-year review process for administrators is given in
1241 Section C159.

1242 **Responsibilities of ~~Faculty and Faculty and~~ Unclassified** 1243 **~~Employees Professionals Professionals~~ Who Are Evaluated**

1244
1245 **C45.1** Each faculty member ~~and/or unclassified professional person~~ will meet
1246 annually with the unit head to jointly establish goals and objectives in research and
1247 other creative endeavors, teaching, extension, and directed and non-directed service
1248 for the upcoming evaluation period and to discuss their relative importance within
1249 the context of the unit's goals. Each unclassified professional staff person will meet
1250 annually with the unit head to jointly establish goals and objectives related to the
1251 responsibilities set forth in their his/her job description for the year. For all faculty
1252 and unclassified professionals-employees, these goals and objectives should reflect
1253 the relative percentages of time and effort the person plans to allocate to the
1254 appropriate areas in the upcoming period. It is expected that the previous year's
1255 statement will be considered during the annual evaluation and goal setting process.

Commented [MDR25]: This is new language that provides additional explanation without changing policy.

Commented [MM26]: This language was discussed and approved by the entire Faculty Senate at a meeting in 2013, but it was not ever written into the UH. General Counsel is available to answer questions relating to this, if needed.

Commented [MDR27]: These two sentences are new and are recommended by Office of General Counsel. We recommend that the Faculty Affairs Committee review this change.

Commented [MM28]: This language was discussed and approved by the entire Faculty Senate at a meeting in 2013, but it was not ever written into the UH. General Counsel is available to answer questions relating to this, if needed.

Commented [MDR29]: Comes from Section C41.4 in the current version of the UH.

Commented [MDR30]: This is a new statement suggested by the University Handbook and Policy Committee.

1256 For faculty, the relative emphasis placed on research and other creative endeavors,
1257 teaching, extension, and directed and non-directed service may vary over the course
1258 of the person's career. For unclassified professionals-staff, major changes in duties
1259 and responsibilities (either in response to the changing needs of the unit or in
1260 consideration of employee abilities) should be discussed and mutually agreed upon
1261 and ultimately reflected in an updated position description.

1263 C45.2 Each unclassified employee faculty and/or unclassified professional faculty
1264 and/or unclassified professional will provide an annual written summary of
1265 accomplishments and activities in accordance with the guidelines provided by the
1266 unit's statement of criteria, standards, and procedures.

1268 C45.3 Each unclassified employee faculty and unclassified professional faculty and/or
1269 unclassified professional will review, and must have the opportunity to discuss, her
1270 or his written evaluation with the individual who prepared it. Before the unit
1271 head/chair submits it to the next administrative level, each faculty or faculty or
1272 unclassified professional professional person employee must sign a statement
1273 acknowledging the opportunity to review and to discuss the evaluation and his/her
1274 relative position in the planned assignment of merit salary increases within the unit.
1275 Because the amount of funds available for merit increases is generally not known at
1276 this time, specific percentage increases will not normally be discussed. Within seven
1277 working days after the review and discussion, faculty and faculty and/or unclassified
1278 professionals professionals employees have the opportunity to submit written
1279 statements of unresolved differences regarding their evaluations by the unit
1280 head/chair to the unit head/chair and to the next administrative level. The
1281 statement of unresolved differences should be attached to and maintained with the
1282 evaluation.

1284 Responsibilities of Unit/Department Heads/Chairs/Evaluators

1286 C46.1 The unit head/chair will prepare by January 31, a written evaluation for each
1287 faculty and professional staff person, whether full or part-time, regularly or
1288 term appointed faculty or unclassified professional person. Quantitative ratings may
1289 be used to summarize evaluative judgments; however, the basis for these judgments
1290 must be explained by a narrative account. The evaluation shall provide succinct
1291 assessments of effectiveness in performing each responsibility, and these statements
1292 must include summaries of the achievements and evidence that support these
1293 assessments. Those appointed to regular part-time positions must be evaluated;
1294 however, evaluations are not required for an individual on a term appointment, as
1295 defined in C11, even if that employee will be re-hired for another year.

1297 C46.2 The unit head/chair will recommend a salary adjustment for each person
1298 evaluated. The recommended percentage increases based on the annual evaluation
1299 for persons with higher levels of accomplishment shall exceed those for persons with
1300 lower levels of accomplishment. If merit salary categories are utilized, then the
1301 percentage recommended for persons in the first category will be higher than those
1302 for the second category, which in turn shall exceed those for level of accomplishment
1303 in the third category, etc. As a guide, average percentage increases in the highest
1304 category are expected to be about twice those in the lowest category; this ratio is
1305 expected to fluctuate both with the degree to which members of the unit differ in
1306 effectiveness and with the degree to which funds are available. These
1307 recommendations are made before the legislature has appropriated funds to support
1308 salary increases. Therefore, percentage increases should be projected and identified

Commented [MM31]: Cannot have mutual agreement to changes in job duties. Instead it will be discussed.

Commented [JH32]: Not sure what to put here, but this seems important. Can job duties be changed with impunity. Must agreement between both parties be present, and should be communicated here?

Verbiage added to address: 3.12.15

Commented [MDR33]: This is new language but it provides clarification without changing the policy.

Commented [MM34]: This is changing policy to require annual evaluation of all faculty and professional staff, both regular and term.

1309 for each individual or each merit salary category, if used, based upon the governor's
1310 budget recommendations. Recommendations of dollar and percentage increases
1311 should not be communicated to individuals until the appropriation for salary
1312 increases is known.

1313
1314 **C46.3** The unit head/chair will ensure that each ~~faculty or~~ faculty or unclassified
1315 professional ~~professional employee~~ has had the opportunity to review and discuss his
1316 or her written evaluation. Within seven working days after the review and discussion,
1317 ~~faculty or~~ unclassified employees ~~professionals~~ have the opportunity to submit
1318 written statements of unresolved differences regarding their evaluations to the
1319 unit/department head/chair, ~~which will only then be forwarded to the next~~
1320 ~~administrative level.~~

1321
1322 **C46.4** The unit head/chair who prepared the evaluations must submit the following
1323 items to the appropriate dean (or, for support units, the appropriate administrator):
1324 (See schedule as published on the provost's web site at [http://www.k-](http://www.k-state.edu/provost/resources/dhmanual/master.html)
1325 [state.edu/provost/resources/dhmanual/master.html](http://www.k-state.edu/provost/resources/dhmanual/master.html)~~[http://www.k-](http://www.k-state.edu/academicpersonnel/depthead/manual/master.html)~~
1326 ~~[state.edu/academicpersonnel/depthead/manual/master.html](http://www.k-state.edu/academicpersonnel/depthead/manual/master.html)~~.

- 1327 a. A copy of the evaluation system used to prepare the evaluations.
1328 b. A written evaluation for each regularly appointed faculty or unclassified
1329 ~~unclassified~~ professional staff person employed for at least three months
1330 during the calendar year.
1331 c. A recommended merit salary adjustment for each faculty member or
1332 unclassified ~~unclassified~~ professional staff person that should be based
1333 directly on the person's evaluation.
1334 d. Documentation (e.g., a statement signed by the individual evaluated)
1335 establishing that there was an opportunity to examine the written evaluation
1336 and to discuss with the evaluator the individual's resulting relative standing
1337 for the purpose of merit salary increase in the unit.
1338 e. Any written statements submitted by faculty or ~~unclassified-unclassified~~
1339 professionals ~~staff~~ of unresolved differences regarding their evaluations.
1340 f. Any recommendations for salary adjustments on bases outside of the annual
1341 evaluation, together with documentation which supports these
1342 recommendations.

1343 Responsibilities of Deans and Comparable Administrators

1344 **C47.1** ~~Responsibilities of deans and comparable administrators.~~ The
1345 dean/comparable administrator will review evaluation materials and
1346 recommendations to ensure:

- 1347
1348 a. merit evaluations are consistent with the criteria and procedures approved for
1349 the unit,
1350 ~~b. there are no inequities in the recommendations based upon race, color, ethnic~~
1351 ~~or national origin, sex, sexual orientation, gender identity, religion, age,~~
1352 ~~ancestry, disability, military status, or veteran status,~~
1353 e-b. merit salary recommendations are consistent with merit evaluations,
1354 and
1355 c. recommendations for salary adjustments on bases outside of the annual
1356 evaluations are adequately and rationally documented.

1357
1358 **C47.2** A dean/comparable administrator who does not agree with recommendations
1359 for merit salary increases made by a unit head/chair must attempt to reach
1360 consensus through consultation. If this fails, the dean's/comparable administrator's
1361

Commented [MM35]: There is no way for the administrator to appropriately do this except for looking for cases that specifically mention protected categories in their comments, which no one should.

1362 recommendation will be used. If any change has been made, the dean/[comparable](#)
1363 [administrator](#) must notify, in writing, the individual of the change and its rationale.
1364 Within seven working days after notification, such individuals have the opportunity to
1365 submit written statements of unresolved differences regarding their evaluations to
1366 the dean/[comparable administrator](#) and to the provost [or appropriate vice president](#).
1367 All statements of unresolved differences will be included in the documentation to be
1368 forwarded to the next administrative level. All recommendations are forwarded to the
1369 provost/[appropriate vice president](#).

1371 **C47.3** The dean/[comparable administrator](#) should provide guidelines for making
1372 salary adjustments on bases outside of the annual evaluation and for justifying these
1373 requests through appropriate documentation. Approved requests are forwarded to
1374 the provost/[appropriate vice president](#).

1376 **C47.4** The dean/[comparable administrator](#) must forward to the provost/[vice](#)
1377 [president](#) all salary recommendations and supporting documentation (written
1378 evaluation; written statements of unresolved differences; recommended actions;
1379 justifications for salary adjustments on bases outside the annual evaluation process).
1380 (See schedule as published by the provost each October).

1381 [Responsibilities of the President, Provost, and Vice Presidents](#)

1382 **C48.1** ~~Responsibilities of the provost.~~ The [president](#)/provost/[vice president](#) will
1383 review evaluation materials and recommendations [for those individuals reporting to](#)
1384 [them](#) to ensure:
1385 a. the evaluation process was conducted in a manner consistent with the criteria
1386 and procedures approved by the unit,
1387 ~~b. there are no inequities in the recommendations based upon race, color, ethnic~~
1388 ~~or national origin, sex, sexual orientation, gender identity, religion, age,~~
1389 ~~ancestry, disability, military status, or veteran status,~~
1390 ~~e.b.~~ merit salary recommendations are consistent with merit evaluations,
1391 and
1392 ~~d.c.~~ recommendations for salary adjustments on bases outside of the
1393 annual evaluations are adequately documented.

1395 **C48.2** If the [president](#)/provost/[vice president](#) does not agree with recommendations
1396 for salary increases made by subordinate administrators, an attempt must be made
1397 to reach consensus through consultation. If this fails, the [president's](#)/provost's/[vice](#)
1398 [president's](#) recommendation will be used. The individual affected by the
1399 disagreement must be notified by the [president](#)/provost/[vice president](#), in writing, of
1400 the change and its rationale.

1402 **C48.3** The dean or appropriate vice president will issue to each continuing faculty
1403 and/or ~~unclassified-unclassified~~ professional ~~staff~~ individual a contract which includes
1404 the individual's salary for the next fiscal year.

1406 **Professorial Performance Award**

1407 **C49.1** Significance of the Award. The Professorial Performance Award rewards strong
1408 performance at the highest rank with a base salary increase in addition to that
1409 provided for by the annual evaluation process. The Performance Award review, it is
1410 important to note, is not a form of promotion review. It does not create a "senior"
1411 professoriate. Furthermore, the Professorial Performance Award is ~~neither~~ a right
1412

1413 accorded to every faculty member at the rank of Professor. ~~n~~ Nor is it granted
1414 simply as a result of a candidate's routinely meeting assigned duties with a record
1415 free of notable deficiencies.

1416 **C49.2** Development and Revisions of the Professorial Performance Award Process.
1417 Departments develop their own mechanisms for review as they have for annual merit
1418 evaluation. As is the case in merit review, it may be that responsibility for the
1419 evaluation of materials involves personnel of any rank or several ranks. Each
1420 department will also specify criteria according to which candidates qualify for the
1421 award according to its own disciplinary standards of excellence. Nonetheless, all such
1422 criteria for the award will adhere to the following guidelines: 1. The candidate must
1423 be a full-time professor (either tenured or non-tenure-track) and have been in rank
1424 at Kansas State University at least six years since the last promotion or Professorial
1425 Performance Award; 2. The candidate must show evidence of sustained productivity
1426 in at least the last six years before the performance review; and 3. The candidate's
1427 productivity and performance must be of a quality comparable to that which would
1428 merit promotion to professor according to current approved departmental standards.

1429 **C49.3** The Professorial Performance Award document must be approved by a
1430 majority vote of the faculty in the department, by the department's administrative
1431 head, by the dean and by the provost. Provision must be made for a review of the
1432 document at least every five years as a part of the review of the procedures for
1433 annual merit evaluation or whenever standards for promotion to full professor
1434 change.

1435 **C49.4** Recommendations for the Professorial Performance Award will follow the
1436 timeline associated with the annual evaluation review outlined in the University
1437 Handbook.

1438 **C49.5** Responsibilities of Professorial Performance Award Candidates. Eligible
1439 candidates for review compile and submit a file that documents her or his
1440 professional accomplishments for at least the previous six years in accordance with
1441 the criteria, standards, and guidelines established by the department. The
1442 department head/chair, in conjunction with whatever mechanism departmental
1443 procedures specify for the purposes of determining eligibility for the Professorial
1444 Performance Award, will prepare a written evaluation of the candidate's materials in
1445 terms of the criteria, standards, and guidelines established, along with a
1446 recommendation for or against the award.

1447 **C49.6** Each candidate for the award will have the opportunity to discuss the written
1448 evaluation and recommendation with the department head, and each candidate will
1449 sign a statement acknowledging the opportunity to review the evaluation. Within
1450 seven working days after the review and discussion, each candidate has the
1451 opportunity to submit written statements of unresolved differences regarding his or
1452 her evaluation to the department head/chair and to the dean. A copy of the
1453 department head's/chair's written recommendation will be forwarded to the
1454 candidate.

1455 **C49.7** The department head must submit the following items to the appropriate
1456 dean:

1457 a. A copy of the evaluation document used to determine qualification for the
1458 award,

- 1459 b. Documentation establishing that there was an opportunity for the candidate to
1460 examine the written evaluation and recommendation,
1461 c. Any written statements of unresolved differences concerning the evaluation,
1462 d. The candidate's supporting materials that served as the basis of adjudicating
1463 eligibility for the award.

1464 **C49.8** Responsibilities of the Deans. The dean will review all evaluation materials
1465 and recommendations to ensure that the evaluations are consistent with the criteria
1466 and procedures established by the department for the Professorial Performance
1467 Award.

1468 **C49.9** A dean who does not agree with recommendations for the Professorial
1469 Performance Award made by a department head/~~chair~~ must attempt to reach
1470 consensus through consultation. If this fails, the dean's recommendation will be
1471 used. If any change has been made to the department head's recommendations, the
1472 dean must notify the candidate, in writing, of the change and its rationale. Within
1473 seven working days after notification, such candidates have the opportunity to
1474 submit written statements of unresolved differences regarding their evaluations to
1475 the dean and to the provost. All statements of unresolved differences will be included
1476 in the documentation to be forwarded to the next administrative level. All
1477 recommendations are forwarded to the provost.

1478 **C49.10** Responsibilities of the Provost. The provost will review all evaluation
1479 materials and recommendations to ensure that ~~(a.)~~ the evaluation process was
1480 conducted in a manner consistent with the criteria and procedures approved by the
1481 unit, ~~and (b.) there are no inequities in the recommendations based upon race,~~
1482 ~~color, ethnic or national origin, sex, sexual orientation, gender identity, religion, age,~~
1483 ~~ancestry, disability, military status, or veteran status.~~

1484 **C49.11** If the provost does not agree with recommendations for Professorial
1485 Performance Awards made by subordinate administrators, an attempt must be made
1486 to reach consensus through consultation. If this fails, the provost's decision will
1487 prevail. The candidate affected by the disagreement must be notified by the provost,
1488 in writing, of the change and its rationale.

1489 **C49.12** Basis and source of the award amount. The Professorial Performance Award
1490 will be 8% of the average salary of all full-time faculty (instructor through professor
1491 excluding administrators at those ranks). However, funding for the award cannot
1492 come out of the legislatively-approved merit increment.

1493 **C49.13** Cost of Awards. In the event that financial conditions in a given year
1494 preclude awarding the full amount as designated in C49.12, the provost shall in
1495 concert with the vice president for administration and finance adopt a plan to phase
1496 in the full award for all that year's ~~recommended and~~ approved candidates.

1497 **C49.14** Upon official notification from the Office of the Provost, the dean will
1498 consolidate the Professorial Performance Award with salary increases resulting from
1499 annual evaluation and issue the candidate a contract that includes the candidate's
1500 salary for the next fiscal year. The Professorial Performance Award will become part
1501 of the professor's base salary.

1502 **Reappointment: Faculty on Probationary Appointments**

1503
1504

1505 **C50.1** Definition. Faculty members on probationary appointments are evaluated
1506 annually to determine whether or not they will be reappointed for another year.
1507 Faculty members must be explicitly informed by the dean in writing of a decision not
1508 to renew their appointments in accordance with The Standards of Notice of Non-
1509 Reappointment. (See C162.3 ~~and Appendix A.~~) These annual evaluations also serve
1510 as an opportunity to provide feedback to a faculty member on probationary
1511 appointment about his or her performance in comparison to the department's criteria
1512 and standards for tenure.

1513
1514 **C50.2** Reappointments that confer tenure are discussed in C70-C116.

1515
1516 **C51** Departments' charge to establish criteria and standards. See C30-38: General
1517 Issues of Faculty Evaluation. Copies of these criteria and standards are available to
1518 faculty members in their departmental or unit offices.

1519
1520 **C52** Candidate's responsibilities. The candidate compiles and submits documentation
1521 of his or her professional accomplishments in accordance with the criteria, standards,
1522 and guidelines established by the department.

1523
1524 **C53.1** Departmental procedures. It is the responsibility of the department
1525 ~~head/chair/head~~ to make the candidate's reappointment file available to all tenured
1526 faculty members in the department and other eligible faculty as determined by
1527 departmental policy. A cumulative record of written recommendations and
1528 accompanying explanations forwarded to the candidate from previous reappointment
1529 meetings, and any written comments from relevant individuals outside the
1530 department will also be made available to the eligible faculty (See C53.2). As part of
1531 this process, the department ~~head/chair/head~~ and the eligible faculty will meet at
1532 least fourteen calendar days after the review documents are made available, to
1533 discuss the candidate's eligibility for reappointment and progress toward tenure.
1534 Subsequent to this meeting there will be a ballot of the eligible faculty on
1535 reappointment of the candidate. Any member of the eligible faculty may, prior to the
1536 submission of any recommendation to the department ~~head/chair/head~~, request the
1537 candidate meet with the eligible faculty to discuss, for purposes of clarification, the
1538 record of accomplishment submitted by the candidate.

1539
1540 **C53.2** For individuals with appointments in more than one unit or department,
1541 comments may be solicited from other eligible faculty members in the college or
1542 university relevant to the assessment of the candidate's performance. In the case of
1543 K-State Research and Extension faculty members or faculty members whose primary
1544 responsibilities are in directed service (e.g., librarians and clinicians), the comments
1545 of various clientele served may be solicited as part of the evaluation for
1546 reappointment.

1547
1548 **C53.3** The department ~~head/chair/head~~ will forward a ~~written recommendation letter~~
1549 ~~which includes his/her recommendation and the rationale for the recommendation~~
1550 ~~and the faculty vote and accompanying explanations~~ to the dean, along with the
1551 candidate's complete file, the majority recommendation and unedited written
1552 comments of each of the department's tenured faculty members. The department
1553 ~~head/chair/head~~ will also meet with the candidate to discuss the separate issue of
1554 the candidate's progress toward tenure. The department ~~head's/chair/head's~~ ~~written~~
1555 ~~recommendation letter alone and accompanying explanations alone~~ will be made
1556 available to the candidate and will become part of the candidate's reappointment file.
1557 (See C35 regarding confidentiality of peer evaluations.)

Commented [MM36]: Appendix A needs to be deleted.
C162.3 contains all relevant information and can be a standalone
reference.

1558
1559 **C54** College procedures. The dean, along with the recommendation of the
1560 department head/chair and, on behalf of the college, forwards the letter a written
1561 recommendation and accompanying explanation to the provost, and the majority
1562 recommendation and any written comments (unedited) of the faculty members in
1563 the department. The candidate's complete file will be available to the provost upon
1564 his/her request.

Commented [MDR37]: The changes reflect current practice.

1565
1566 **C55** University procedures. Final authority in resolving conflicting opinions regarding
1567 reappointment is delegated to the provost.

1568
1569 **C56** Notification of candidates. Candidates are informed of the college's
1570 recommendation prior to the time that the file and recommendations are forwarded
1571 to the provost.

1572
1573 **Reappointment: Regular ~~Instructor-Non-Tenure Track~~ Appointments**

1574
1575 **C60** Definition. Faculty members on regular non-tenure track~~instructor~~
1576 appointments (see C10) are evaluated annually to determine whether or not they will
1577 be reappointed for another year. These faculty members must be explicitly informed
1578 in writing of a decision not to renew their appointments in accordance with The
1579 Standards of Notice of Non-Reappointment. (See Appendix AC162.3.)

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1580
1581 **C61** Departments' charge to establish criteria and standards. See C30-38: General
1582 Issues of Faculty Evaluation. Copies of these criteria and standards are available to
1583 faculty members in their departmental or unit offices. It must be clear that an
1584 effective instructor on a regular appointment may not be denied reappointment in
1585 order to avoid granting benefits.

1586
1587 **C62** Candidate's responsibilities. The candidate compiles and submits documentation
1588 of his or her professional accomplishments in accordance with the criteria, standards,
1589 and guidelines established by the department.

1590
1591 **C63.1** Departmental procedures. It is the responsibility of the department head to
1592 make the candidate's file available to the department faculty members who are
1593 eligible to make recommendations. The department head/chair is advised by the
1594 eligible faculty members of the department regarding the qualifications of the
1595 candidate for reappointment. Any member of the eligible faculty may, prior to the
1596 submission of any recommendations to the department head/chair, request that a
1597 candidate meet with the eligible faculty to discuss, for purposes of clarification, the
1598 record of accomplishment submitted by that candidate.

1599
1600 **C63.2** Comments may be solicited from other faculty members and department
1601 heads/chairs in the college or university. In the case of extension faculty members or
1602 faculty members whose primary responsibilities are Directed Service (e.g., librarians
1603 and clinicians), the comments of various clientele served may be solicited as part of
1604 the evaluation for reappointment.

1605
1606 **C63.3** The department head/chair forwards a written recommendation and
1607 accompanying explanation to the dean, along with the candidate's complete file, and
1608 the majority recommendation and written comments (unedited) of the departmental
1609 faculty members.

1610

1611 **C64** College procedures. The dean, on behalf of the college, forwards a written
1612 recommendation and accompanying explanation to the provost, along with the
1613 candidate's complete file, the recommendations of the department head/[chair](#), and
1614 the majority recommendation and any written comments (unedited) of the faculty
1615 members in the department.

1616
1617 **C65** University procedures. Final authority in resolving conflicting opinions regarding
1618 reappointment is delegated to the provost.

1619
1620 **C66** Notification of candidates. Candidates are informed of the college's
1621 recommendation prior to the time that the file and recommendations are forwarded
1622 to the provost.

1623 **Tenure**

1624
1625
1626 **C70** Definition. Tenure is a continuous appointment that can be terminated only in
1627 unusual circumstances and then only after due process has been accorded the
1628 individual in question. See Appendix C for a discussion of the AAUP-AAC 1940
1629 Statement of Academic Freedom and Tenure.

1630 **Regents' Tenure Policy**

1631
1632
1633 **C71** The Board of Regents adopted on April 18, 1947, the 1940 AAUP principles
1634 governing tenure of faculty members. (At Kansas State University, the term teacher
1635 as used in the following text is interpreted to refer to any member of the faculty.)

1636
1637 **C72** Section A: After the expiration of a probationary period, teachers or
1638 investigators should have permanent or continuous tenure, and their services should
1639 be terminated only for adequate cause, except in the cases of retirement for age,
1640 program or unit discontinuance, or under extraordinary circumstances because of
1641 financial exigencies. (Kansas does not have a mandatory retirement age for state
1642 employees. State law prescribes that all appointments not under the State Civil
1643 Service shall expire with the end of the fiscal year on June 30. However, unless
1644 previous notice has been given, all [regular](#) appointments of full-time faculty
1645 members are automatically renewed.)

1646
1647 **C73** Section B: In the interpretation of the principles contained in Section A of this
1648 resolution, the following is approved by the Regents:
1649 The precise terms and conditions of every appointment should be stated in writing
1650 and be in the possession of both institution and teacher before the appointment is
1651 consummated.
1652 Beginning with appointment to the rank of full-time instructor or a higher rank, the
1653 probationary period should not exceed seven years, including within this period full-
1654 time service in all institutions of higher education; but subject to the provision that
1655 when, after a term of probationary service of more than three years in one or more
1656 institutions, a person is to be appointed as a faculty member at Kansas State
1657 University, it may be agreed in writing that his/her new appointment is for a
1658 probationary period of not more than four years, even though thereby the person's
1659 total probationary period in the academic profession is extended beyond the normal
1660 maximum of seven years; except, when the interest of both parties may best be
1661 served by mutual agreement at the time of the initial employment, Kansas State
1662 University may agree to allow for more than four years of probationary service
1663 provided the probationary period at Kansas State University does not exceed seven

1664 years. Notices should be given at least one year prior to the expiration of the
 1665 probationary period, if the teacher is not to be continued in service after the
 1666 expiration of that period. (See AAUP's Standards of Notice of Non-
 1667 Reappointment, Appendix A.)
 1668
 1669 **C74** During the probationary period a teacher has the academic freedom that all
 1670 other members of the faculty have.
 1671
 1672 **C75** Termination for cause of a continuous appointment or dismissal for cause
 1673 previous to the expiration of a term appointment shall, upon request of the faculty
 1674 member, be considered by the Grievance Chair and/or Panel, which will make
 1675 recommendations to the administration. In all cases where the facts are in dispute,
 1676 the accused teacher should be informed before the hearing in writing of the charges
 1677 against him/her and should have the opportunity to be heard in his/her own defense
 1678 by all bodies that pass judgment upon his/her case. He/she should be permitted to
 1679 have an advisor of his/her own choosing who may act as counsel. There should be a
 1680 full stenographic record of the hearing available to the parties concerned. In the
 1681 hearing of charges of incompetence the testimony should include that of teachers
 1682 and other scholars, either from his/her own or from other institutions. Teachers on
 1683 continuous appointment who are dismissed for reasons not involving moral turpitude
 1684 should receive their salaries for at least a year from the date of notification of
 1685 dismissal whether or not they are continued in their duties at the institution. (At
 1686 Kansas State University, graduate assistants are not considered faculty and, as such,
 1687 formal grievance procedures for faculty do not apply to disputes regarding graduate
 1688 assistants' performance. See C39.1 and the Foreword to the University Handbook.)
 1689
 1690 **C76** Termination of a continuous appointment because of financial exigency should
 1691 be demonstrably bona fide.
 1692
 1693 **C77** Within this general policy Kansas State University may make such operating
 1694 regulations as it deems necessary, subject to the approval of the Board of Regents.
 1695
 1696 **C78** Amendments to the above policy have been made as follows: Tenure may be
 1697 acquired only by the members of the Kansas State University faculty who are on
 1698 tenure track appointments, with the rank of assistant professor or higher. (This
 1699 amendment applies only to those appointed on or after July 1, 1960.)
 1700 Lists of individuals approved by the chief executive officer for tenure at a Regents'
 1701 institution shall be submitted by the chief executive officer to the Board of Regents
 1702 for its information at the April meeting. Decisions of the president shall be final and
 1703 are not subject to further administrative review by any officer or committee of the
 1704 institution or by the Board of Regents. Any tenure recommendation approved by the
 1705 Board of Regents shall be limited to tenure for the recommended individual at the
 1706 institution consistent with the tenure policies of that institution.
 1707
 1708 **Kansas State University policy additions to Regents' Tenure Policy:**
 1709 The following additional details concerning tenure ~~were have been~~ adopted by
 1710 Kansas State University from the AAUP Advisory Letter No.13 (AAUP Bulletin, Spring
 1711 1964).
 1712
 1713 **C80.1** The duration of the probationary period relative to tenure varies with rank
 1714 and experience. In its approach to the probationary period and to the award of
 1715 continuous tenure, the university seeks to follow the spirit of the AAUP Advisory

Commented [MDR38]: This language is not consistent with Sections C81, C82.2 and C13. It is critical that this be cleaned up.

Commented [MM39R38]: We included tenure track appointments to make it clear that tenure may be acquired only by those in tenure track positions.

1716 Letter No.13 (AAUP Bulletin, Spring 1964) as it explained its understanding of the
1717 probationary period:
1718

1719 **C80.2** "The beginning faculty member is serving a kind of internship . . . and . . .
1720 he/she may not always be the best judge of his/her own effectiveness. An occasional
1721 word of caution, advice, or encouragement from experienced colleagues can
1722 therefore be very salutary. If the time comes that the department, division, and
1723 administration conclude that his/her connection with the institution should be
1724 severed, we would say that responsible officials of the institution should feel
1725 completely free to explain to him/her the basis of their decision. We could not agree,
1726 however, that if reasons are given for the non-reappointment the institution assumes
1727 a burden of demonstrating the validity of its reasons. To be sure, the faculty member
1728 may question whatever reasons are given him/her. But unlike the tenured teacher,
1729 he/she does not as probationer have what can be considered a claim to his/her
1730 position, and it would thus seem unreasonable to compel the institution to account
1731 for this exercise of its prerogative, much less carry the burden of justifying its
1732 decision.
1733

1734 **C80.3** "These remarks are made, I am sure you understand, on the assumption that
1735 the faculty member has had an appropriate evaluation by his/her colleagues and that
1736 he/she is not being given notice for reasons which violate his/her academic
1737 freedom. . . . I think I must say further that our purpose is to permit the institution,
1738 within the limits of academic freedom, the utmost latitude in determining who will be
1739 retained for tenure appointments. Because the granting of tenure is tantamount to a
1740 lifetime commitment, we feel that the institution should be left without a reasonable
1741 doubt as to the faculty member's qualifications for tenure before it reaches a
1742 favorable decision" (AAUP Advisory Letter No.13, AAUP Bulletin, Spring 1964).
1743

1744 Other Considerations

1745 ~~C81 Ranks for acquiring tenure. Tenure may be granted to those on full-time~~
1746 ~~probationary appointments at the rank of associate professor or above. Tenure may~~
1747 ~~be granted simultaneously with promotion to the rank of associate professor.~~
1748 ~~Instructors may not be accorded tenure. Assistant professors may not be accorded~~
1749 ~~tenure except in special circumstances approved by the provost. Years of~~
1750 ~~appointment as a probationary instructor (see C12) may be credited as part of a~~
1751 ~~probationary period for gaining tenure if stipulated in the individual's contract.~~
1752 ~~Service in a term appointment at the rank of assistant professor or above may count~~
1753 ~~as part of a probationary period for gaining tenure.~~
1754

1755 **C82.1** The Probationary period. Prior to being considered for tenure at Kansas State
1756 University, a faculty member is annually appointed during an extended probationary
1757 period to assess the candidate's ability to contribute to the expertise expected of the
1758 University's faculty as defined by his/her unit's criteria, standards, and guidelines
1759 (See C31.1 - C31.3).
1760

1761 **C82.2** Assistant professor. Tenure is not granted below the rank of associate
1762 professor (effective July, 1994) except in special circumstances approved by the
1763 provost. For persons appointed at the rank of assistant professor, the maximum
1764 probationary period for gaining tenure and promotion to associate professor consists
1765 of six (6) regular annual appointments at Kansas State University at a probationary
1766 rank. In these cases, decisions of tenure must be made before or during the sixth
1767 year of probationary service. Candidates not approved for tenure during the sixth

Commented [MM40]: This is redundant to the information provided in C13 so it was deleted.

Commented [MM41]: C12 discussed instructor ranks and states, "Service in these positions is not credited toward tenure."

1768 year of service will be notified by the appropriate dean that the seventh year of
1769 service will constitute the terminal year of appointment.
1770

1771 **C82.3** Associate professor and professor. For persons appointed at the rank of
1772 associate professor or professor, the maximum probationary period for gaining
1773 tenure consists of five (5) regular annual appointments at Kansas State University at
1774 probationary ranks. Tenure decisions must be made before or during the fifth year of
1775 probationary service. Candidates not approved for tenure during the fifth year of
1776 service will be notified by the appropriate dean that the sixth year of service will
1777 constitute the terminal year of appointment.
1778

1779 **C82.4** Faculty members on probationary appointments who have met the criteria
1780 and standards for tenure prior to the above maximum times may be granted early
1781 tenure. Because candidates may be considered for tenure at any time during their
1782 probationary period, no time credit shall be granted for service prior to employment
1783 at Kansas State University.
1784

1785 **C83.1** Faculty members on probationary, tenure-track positions may request a one
1786 year delay of the tenure clock. Such a delay shall be granted to a faculty member
1787 who is responsible for the care of a child five years of age or younger, or who adopts
1788 a child of any age. Requests for a delay in the tenure clock for the above noted
1789 reasons shall be made to the department or unit head who will forward the request
1790 to the dean. The dean will forward the request to the provost who will grant the one
1791 year delay.
1792

1793 **C83.2** Faculty members on probationary, tenure-track positions may request a one-
1794 year delay of the tenure clock (1) for a serious health condition: that is an illness,
1795 injury, impairment, or physical or mental condition that involves inpatient care in a
1796 hospital, hospice, or residential treatment facility, or continuing treatment by a
1797 health care provider or (2) for the care of a household member, a parent, or a sibling
1798 with a serious health condition: that is an illness, injury, impairment, or physical or
1799 mental condition that involves inpatient care in a hospital, hospice, or residential
1800 treatment facility, or continuing treatment by a health care provider. Common
1801 illness, minor injuries, or minor surgeries that are not life threatening are excluded.
1802 Requests for a delay in the tenure clock for the above noted reasons shall be made
1803 to the department or unit head who will forward the request along with her/his
1804 recommendation to the dean. The dean will forward the request along with his/her
1805 recommendation and the recommendation of the department or unit head to the
1806 provost, with whom the final decision rests.
1807

1808 **C83.3** Faculty members on probationary, tenure-track positions may request a one-
1809 year delay of the tenure clock when for programmatic reasons there is a substantial
1810 change in the probationary faculty member's assigned area(s) of responsibilities.
1811 Requests for a delay in the tenure clock shall be made to the department/unit
1812 head/chair who will present the request to the tenured faculty in the department/unit
1813 for consideration. The head/chair will forward the request along with her/his
1814 recommendation and the vote of the tenured faculty plus unedited faculty comments
1815 to the dean. The dean will forward the request along with his/her recommendation,
1816 the recommendation of the department/unit head/chair, and the faculty vote with
1817 unedited comments to the provost, with whom the final decision rests.
1818

1819 **C83.4** If a delay in the tenure clock is granted prior to the mid-probationary review,
1820 the review will take place one year later than would have occurred without such a

1821 delay. An individual granted a delay of the tenure clock shall not be subject to
1822 additional scholarship, teaching, or service requirements above and beyond those
1823 normally required.

1824
1825 **C83.5** A request for delay of the tenure clock must be made within a reasonable
1826 amount of time from the date of the event which would show cause for a delay of the
1827 tenure clock.

1828
1829 **C83.6** Delay of the tenure clock during the probationary period is limited to two one-
1830 year delays.

1831
1832 **C84** Years credited to probationary period. For the purposes of counting regular
1833 annual appointments as part of the probationary period, a year is credited if the
1834 individual is on a full-time (ten-tenths) appointment for at least eight months of an
1835 academic year or is on an appointment of nine-tenths or more for the entire
1836 academic year, or receives no less than eight-ninths of his or her salary for the
1837 academic year. Individuals appointed at lesser levels do not count that year a part of
1838 the probationary period. The summer session is not counted for those on academic
1839 year (nine-month) appointments.

1840 1841 **General Guidelines for Tenure**

1842
1843 **C90** Purpose of tenure. The university uses a selective process in awarding tenure to
1844 secure a faculty of the highest possible caliber. To be tenured, faculty members must
1845 be experts in their chosen fields, and they must have full academic freedom in
1846 pursuit of ideas or inquiries without fear of censure or retribution.

1847
1848 **C91** Evaluation and feedback. The university uses an extended probationary period
1849 to provide opportunity to assess a candidate's ability to contribute to the expertise
1850 and the versatility expected of the faculty at Kansas State University. Evaluation is
1851 conducted annually and feedback provided in a timely manner to each faculty
1852 member on a probationary appointment. See C50.1.

1853
1854 **C92.1** Mid-probationary review. A formal review of a probationary faculty member is
1855 conducted midway through the probationary period.
1856 Unless otherwise stated in the candidate's contract, the mid-probationary review
1857 shall take place during the third year of appointment. This review provides the
1858 faculty member with substantive feedback from faculty colleagues and
1859 administrators regarding his or her accomplishments relative to departmental tenure
1860 criteria. ~~Neither a positive nor negative mid-probationary review determines the~~
1861 ~~outcome of the tenure review process. does not ensure that tenure will be granted in~~
1862 ~~the future nor does a negative review mean that tenure will be denied.~~

1863
1864 **C92.2** Procedures for the mid-probationary review are similar to procedures for the
1865 tenure review and are established by the departmental faculty in consultation with
1866 the department ~~head/chair/head~~ and the dean. The department ~~head/chair/head~~ is
1867 responsible for making the candidate's mid-probationary review file available to the
1868 tenured faculty members in the department at least fourteen calendar days prior to a
1869 meeting to discuss the candidate's progress. A cumulative record of written
1870 recommendations and accompanying explanations forwarded to the candidate from
1871 previous reappointment meetings, and any comments from individuals outside the
1872 department relevant to the assessment of the candidate's performance will also be
1873 made available to the eligible tenured faculty. The department head/~~chair~~ may

1874 discuss the review and assessment of the tenured faculty members in the
1875 department with the dean, and shall provide a letter of assessment to the candidate,
1876 including a summary of faculty comments and suggestions. (See C35 regarding
1877 confidentiality of peer evaluations). This letter of assessment and the faculty report
1878 will become a part of the candidate's reappointment and mid-probationary review
1879 file. The department ~~head~~/chair/~~head~~ will discuss the review and assessment with
1880 the candidate. After receiving the assessment, the candidate has the right to submit
1881 a written response for the file.
1882

1883 **C92.3** Comments also may be solicited from students, and other relevant faculty
1884 members in the college or university, and from outside reviewers. In the case of K-
1885 State Research and Extension faculty members or faculty members whose primary
1886 responsibility is directed service (e.g., librarians and clinicians), the comments of
1887 various clientele served may be solicited as part of the evaluation for mid-
1888 probationary review.
1889

1890 **C92.4** College procedures. The candidate's mid-probationary review file as well as
1891 other materials specified in C92.2, and a copy of the departmental criteria and
1892 standards will be forwarded to the college advisory committee. C153.1 is
1893 incorporated herein by reference as the evaluation procedure to be followed by the
1894 college advisory committee. The dean will provide a letter of assessment to the
1895 candidate that includes a summary of recommendations from the college advisory
1896 committee.
1897

1898 **C93** Final tenure recommendations. The provost is responsible for making final
1899 tenure recommendations to the president.
1900

1901 **Standards for Tenure**

1902
1903 **C100.1** General principles. There can be no simple list of accomplishments that,
1904 when achieved, guarantee that a faculty member will obtain tenure. Instead, tenure
1905 is granted. This action, taken by the Kansas Board of Regents, is based on the
1906 assessment ~~by~~ the tenured faculty of the university that a candidate has made
1907 outstanding contributions in appropriate academic endeavors. By granting tenure
1908 only to such individuals, the continued excellence of the university is ensured.
1909

1910 **C100.2** A reappointment conferring tenure is made after favorable consideration of
1911 the qualifications and accomplishments of the candidate relative to departmental
1912 tenure criteria.
1913

1914 **C100.3** Tenure is ~~neither~~ ~~not~~ a right accorded to every faculty member ~~n~~. Nor is it
1915 granted simply as a result of a candidate's routinely meeting assigned duties with a
1916 record free of notable deficiencies.
1917

1918 **C100.4** The decision to grant or not grant tenure must not be based on the number
1919 or percentage of faculty members who already have been granted tenure.
1920

1921 **C102** Departments' charge to establish criteria and standards. See C30-38: General
1922 Issues of Faculty Evaluation. Copies of the criteria and standards for tenure are
1923 available to faculty ~~in their department documents~~ ([http://www.k-](http://www.k-state.edu/provost/deptdocs/)
1924 ~~state.edu/provost/deptdocs/~~) ~~members in their departmental or unit offices or can~~
1925 ~~be found at Academic Departmental Guidelines of the Office of Academic Personnel~~
1926 (<http://www.k-state.edu/academicpersonnel/add/>)

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Procedures for Tenure Evaluation

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

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

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

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

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

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

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

C113 Procedures for tenure evaluation

C113.1 College Procedures. Each college will have an advisory committee to advise the dean on candidates proposed for tenure and/or promotion. The faculty, dean,

Commented [MDR42]: Changed to reflect current practice.

1980 and provost must approve the composition, procedures for selection of college
1981 advisory committee members, and the procedures for the operation of the college
1982 advisory committee (See C113.2). The composition, procedures for selection of the
1983 college advisory committee, and the procedures for operation of the college advisory
1984 committee may be reviewed any year at the request of the faculty, dean or the
1985 provost, and must be reviewed at least once every five years.
1986

1987 **C113.2** A copy of the candidate's file and the departmental tenure criteria
1988 documents will be forwarded to the college advisory committee. The committee's
1989 specific charge is to assure that all applicable procedures have been followed and
1990 that the department/unit in arriving at a recommendation did so by fairly applying
1991 established criteria, standards, and guidelines for tenure (See C30.1-C31.4, C32.1-
1992 C38). The committee, in advising the dean, will base its recommendation exclusively
1993 on a comparison of the candidate's credentials with the criteria, standards, and
1994 guidelines of the candidate's department. The committee will report its findings in
1995 writing to the dean. The committee's report must specifically contain a statement as
1996 to whether or not all applicable procedures were followed. The report must also
1997 explain the rationale behind the committee's recommendation by providing a detailed
1998 evaluation of the candidate's credentials with regard to how they meet or fail to meet
1999 the specific criteria, standards, and/or guidelines of the candidate's department/unit.
2000 A minority committee report is required when the committee's recommendation is
2001 not unanimous.
2002

2003 **C113.3** The dean, after consulting with the department [head/chair/head](#) and the
2004 college advisory committee and after discussing his or her recommendations with the
2005 [head/chair/head](#) and the committee, will submit his or her written recommendation
2006 to the Deans Council accompanied by the recommendations and unedited written
2007 comments of the department [head/chair/head](#), the departmental faculty, and the
2008 college advisory committee, and the departmental tenure criteria documents, no
2009 sooner than seven calendar days following notification to the candidate (See
2010 C113.4). The dean's recommendation and the recommendation of the college
2011 advisory committee will be copied to the department [head/chair/head](#) and the
2012 candidate.
2013

2014 **C113.4** Notification to candidates. Candidates are informed of the college's
2015 recommendations (See C113.3) prior to the time that the file and recommendations
2016 are forwarded to the Deans Council. Candidates may withdraw from further
2017 consideration for tenure by submitting to the dean a written request for withdrawal.
2018 This must be done within seven calendar days following notification of the college's
2019 recommendation. Withdrawal by a candidate who is in the final year of [the](#)
2020 probationary period may be done only by formal resignation effective at the end of
2021 the next academic year.
2022

2023 **C114.1** University tenure evaluation procedures. The Deans Council meeting will be
2024 chaired by the senior dean (longest serving), and the provost will not be a party to
2025 the discussions. The dean of the candidate's college will abstain from voting when
2026 the council votes on the candidate, and will notify the candidate and the candidate's
2027 department [head/chair/head](#) of the council's vote. If the finding of the Deans Council
2028 differs from those of the department and/or the college dean, written justification
2029 must be provided as to how the candidate's credentials meet or fail to meet the
2030 departmental criteria, standards, and/or guidelines, to the candidate, dean of the
2031 candidate's college, and the department [head/chair/head](#).
2032

2033 **C114.2** If the finding of the Deans Council is to not grant tenure, the candidate may
2034 appeal this decision to the provost within a period of fourteen calendar days of
2035 receiving notification. If the provost concurs with the finding of the Deans Council to
2036 not grant tenure, the candidate ~~may then have the option to~~ file a grievance with the
2037 Grievance Chair [\(see University Handbook, Appendix G\)](#).
2038

2039 **C114.3** If the finding of the Deans Council is to grant tenure, the case is then
2040 reviewed by the provost. If the provost does not concur with the finding of the Deans
2041 Council, then the provost will offer to arrange a meeting with the candidate, the
2042 senior dean, and a tenured faculty moderator mutually acceptable to the provost and
2043 the candidate, within a period of fourteen calendar days of notification of provost's
2044 decision. If no agreement is reached, then the provost will provide the candidate, the
2045 department ~~head/chair/head~~, the dean of the candidate's college, and the ~~Deans~~
2046 ~~C~~ouncil, written reasons for the decision. At that point, the candidate has the option
2047 to file a grievance with the Grievance Chair.
2048

2049 **C114.4** The provost will send his or her recommendation of the cases that are to be
2050 granted tenure to the president. Decisions to deny tenure are not forwarded to the
2051 president. When the provost's recommendation disagrees with that of the Deans
2052 Council, the provost will provide a written explanation of her or his judgment to the
2053 Dean's Council, the dean, the department ~~head/chair/head~~, and the candidate.
2054

2055 **C115** The president has final authority for granting tenure. Candidates are notified of
2056 the university's action when the provost's recommendation to grant tenure are
2057 forwarded to the president.
2058

2059 **C116.1** Interdisciplinary program faculty. Faculty members with appointments in
2060 interdisciplinary programs will be evaluated for tenure in their disciplinary
2061 departments in which the candidate holds majority appointment. The department
2062 ~~head/chair/head~~ also must solicit input from the interdisciplinary program director as
2063 well as the eligible tenured faculty members in the interdisciplinary program.
2064 Departmental, college and university procedures as outlined in C110 to C115 shall be
2065 followed. A copy of the department ~~head's/chair's/head's~~ recommendation shall be
2066 provided to the interdisciplinary program director.
2067

2068 **C116.2** In the rare case when it is not possible to designate an appropriate
2069 disciplinary department at the time of appointment, recommendations for tenure
2070 may come from the formally designated eligible tenured faculty members within the
2071 interdisciplinary program, provided that prior to the appointment the eligible tenured
2072 faculty of the interdisciplinary program agree to provide this recommendation, and
2073 that the appointment was approved by the dean(s) of the appropriate college(s) and
2074 provost. The terms of the faculty appointment must be presented in writing and
2075 agreed to by the appointee. Copies of the conditions for the appointment will be filed
2076 with the interdisciplinary program director, respective dean(s) and provost.
2077

2078 **Promotion in Rank**

2079

2080 **C120** Definition. Faculty members may expect to advance through the academic
2081 ranks on the basis of demonstrated individual merit in relation to their association
2082 with the university's mission and with their own disciplines. Each higher rank
2083 demands a higher level of accomplishment.
2084

2085 **C120.1** Promotion is based upon an individual's achievements related to the specific
2086 criteria, standards, and guidelines developed by departmental faculty members in
2087 consultation with the department head and the appropriate dean.
2088

2089 **C120.2** Promotion to assistant professor reflects an acceptable level of achievement
2090 and potential for excellence. Promotion to associate professor rests on substantial
2091 professional contributions that reflect excellence in teaching, research and other
2092 creative endeavor, directed service, or extension. Promotion to professor is based on
2093 attainment of excellence in the assigned responsibilities of the faculty member and
2094 recognition of excellence by all appropriate constituencies.
2095

2096 **General Guidelines for Promotion in Rank**

2097
2098 **C130** Terminal degree requirements. A doctorate or other appropriate terminal
2099 degree is a prerequisite for holding the rank of assistant professor, associate
2100 professor, or professor. The provost maintains a list of appropriate terminal degrees
2101 as recommended by the deans. There may be special cases in which
2102 accomplishments or experience other than the terminal degree will allow promotion
2103 to one of the professorial ranks. Such situations will be considered on an individual
2104 basis.
2105

2106 **C131** Time in rank. ~~Although while there is~~ no explicit time in rank is required for
2107 promotion, the median time for promotion at Kansas State University has been
2108 ~~approximately~~ about six years. Promotion may be granted earlier when the faculty
2109 member's cumulative performance at rank clearly meets the standards for
2110 promotion.
2111

2112 **C132** Promotion-related salary increases. Promotion in academic rank is recognition
2113 by the university community of substantial achievement which deserves reward.
2114 Promotion related increases in salary will be awarded at the university level and are
2115 in addition to merit salary increase based on yearly evaluations. Salary increases for
2116 promotion to associate professor and full professor will be a minimum of ~~15% and~~
2117 ~~11%, respectively,~~ of the average salary of all university faculty members for the
2118 year preceding promotion. Funds for these increases are to be from the unclassified
2119 salary adjustment pool for faculty members and academic administrators. In years
2120 when no salary adjustment pool exists, the funds will come from the same segment
2121 of the base budget and will be repaid from the next readjustment pool. ~~(FSM 4-9-
2122 91; POD 6-6-91)~~
2123

2124 **Standards for Promotion in Rank**

2125
2126 **C140** General principles. Successful candidates for promotion will demonstrate
2127 superior professional accomplishment and excellence in the performance of their
2128 assigned duties. The assessment of a faculty member's performance upon which a
2129 recommendation regarding promotion will be based must reflect the professional
2130 expectations conveyed during annual evaluations.
2131

2132 **C141** Departments' charge to establish criteria and standards. See C30-38: General
2133 issues of faculty evaluation. Copies of the standards for promotion are available to
2134 faculty members in their department documents at or unit offices ([http://www.k-
2135 state.edu/provost/deptdocs/](http://www.k-state.edu/provost/deptdocs/)).
2136

2137 **Procedures for ~~Promotion~~ Evaluation Related to Promotion in Rank**

2138
2139 **C150** Timing. Recommendations concerning promotion are considered annually.
2140 Department [heads/chairs/heads](#) are expected to notify faculty members regarding
2141 their progress toward or readiness for promotion review.
2142
2143 **C151** Candidate's responsibilities. A faculty member, after consultation with the
2144 department [head/chair/head](#) or appropriate departmental faculty, may request a
2145 review for promotion. The candidate compiles and submits a file that documents his
2146 or her professional accomplishments in accordance with the criteria, standards, and
2147 guidelines established by the department (see [C30.44-4](#)).
2148
2149 **C152.1** Departmental procedures. Faculty members of the department who hold a
2150 rank equal to or higher than the rank being sought by the candidate are eligible to
2151 advise the department [head/chair/head](#) regarding the qualifications of the candidate
2152 for promotion. Department [heads/chairs/heads](#) are responsible for making the
2153 candidate's promotion file and the departmental promotion criteria documents
2154 available to the eligible faculty members at least fourteen calendar days prior to the
2155 scheduled meeting date to discuss the candidate's petition. The promotion file shall
2156 in the main provide a compilation of the candidate's professional accomplishments
2157 during tenure in the current rank, and comments from other individuals relevant to
2158 the assessment of the candidate's performance (See C152.2).
2159
2160 **C152.2** When appropriate, comments are solicited from appropriate students and
2161 alumni, and from other faculty members and department [heads/chairs/heads](#) in the
2162 college or University. Outside reviewers (see C36.1) recognized as scholars or
2163 leaders in the candidate's discipline or profession may be asked to advise. When
2164 outside reviewers are used, an equal number are usually selected by the candidate
2165 and the department [head/chair/head](#).
2166
2167 **C152.3** Eligible faculty members individually review the candidate's file, considering
2168 the department's criteria, standards, and guidelines for promotion, and then meet to
2169 discuss the candidate's petition. All recommendations and written comments of
2170 eligible departmental faculty are forwarded to the department [head/chair/head](#).
2171
2172 **C152.4** Any member of the eligible faculty may, prior to the submission of any
2173 recommendations to the department [head/chair/head](#), request that a candidate meet
2174 with the eligible tenured faculty to discuss, for purposes of clarification, the record of
2175 accomplishment submitted by that candidate.
2176
2177 **C152.5** The department [head/chair/head](#) will forward a written recommendation
2178 [letter](#) which includes [the rationale for the recommendation to the dean and an](#)
2179 [explanation of her or his judgment to the dean and the vote of the eligible faculty](#). All
2180 recommendations and unedited written comments of the department's eligible
2181 faculty members and the candidate's complete file are also forwarded to the dean. A
2182 copy of the department [head's/chair's/head's](#) written recommendation [letter alone](#) is
2183 forwarded to the candidate.
2184
2185 **C153.1** College [p](#)rocedures. Each college will have an advisory committee to advise
2186 the dean on candidates proposed for promotion and/or tenure. The college faculty,
2187 dean, and provost must approve the composition, procedures for selection of college
2188 advisory committee members, and the procedures for the operation of the college
2189 advisory committee (See C153.2). The composition, procedures for selection of the
2190 college advisory committee, and the procedures for operation of the college advisory

Commented [MDR43]: Policy was revised for clarification of current practice.

2191 committee may be reviewed any year at the request of the faculty, dean or the
2192 provost, and must be reviewed at least once every five years.

2193
2194 **C153.2** A copy of the candidate's file and the departmental promotion criteria
2195 documents will be forwarded to the college advisory committee. The committee's
2196 specific charge is to assure that all applicable procedures have been followed and
2197 that the department/unit in arriving at a recommendation did so by fairly applying
2198 established criteria, standards, and guidelines that are specific for promotion to the
2199 appropriate rank (See C30.1-31.4, C32.1- C38, [and C141](#)). The committee, in
2200 advising the dean, will base its recommendation exclusively on a comparison of the
2201 candidate's credentials with the criteria, standards, and guidelines of the candidate's
2202 department. The committee will report its findings in writing to the Dean. The
2203 committee's report must specifically contain a statement as to whether or not all
2204 applicable procedures were followed. The report must also explain the rationale
2205 behind the committee's recommendation by providing a detailed evaluation of the
2206 candidate's credentials with regard to how they meet or fail to meet the specific
2207 criteria, standards, and/or guidelines for promotion to the petitioned rank in the
2208 candidate's department/unit. A minority committee report is required when the
2209 committee's recommendation is not unanimous.

2210
2211 **C153.3** The dean, after consultation and discussion with the department
2212 [head/chair/head](#) and college advisory committee, will submit his or her
2213 recommendation to the Deans Council (subject to C153.4) accompanied by the
2214 recommendations and unedited written comments of the department
2215 [head/chair/head](#), the departmental faculty, and the college advisory committee, and
2216 the departmental promotion criteria documents, seven calendar days after
2217 notification to the candidate (See 153.4). The recommendation of the dean and the
2218 recommendation of the college advisory committee will be copied to the department
2219 [head/-chair](#) and the candidate.

2220
2221 **C153.4** Notification to candidates. Candidates are informed of the college's
2222 recommendations prior to the time the file and recommendations are forwarded to
2223 the Deans Council. Candidates may withdraw from further consideration for
2224 promotion by submitting to the dean a written request for withdrawal. This must be
2225 done within seven calendar days following notification of the college's
2226 recommendation, and in this case the candidate's petition for promotion is not
2227 forwarded to the Deans Council.

2228
2229 **C154.1** University promotion evaluation procedures. The Deans Council meeting will
2230 be chaired by the senior dean (longest serving), and the provost will not be a party
2231 to the discussions. The dean of the candidate's college will abstain from voting when
2232 the Council votes on the candidate, and will notify the candidate and the candidate's
2233 department [head/chair/head](#) of the Council's vote. If the finding of the Deans Council
2234 differs from those of the department and/or college dean, written justification must
2235 be provided to the candidate, dean of the candidate's college, and the department
2236 [head/chair/head](#).

2237
2238 **C154.2** If the finding of the Deans Council is to not grant promotion, the candidate
2239 may appeal this decision to the provost within a period of fourteen calendar days of
2240 receiving written notification. If the provost concurs with the finding of the Deans
2241 Council to not grant promotion, the candidate then has the option to file a grievance
2242 with the Grievance Chair.

2243

2244 **C154.3** If the finding of the Deans Council is to grant promotion, the case is then
2245 reviewed by the provost. If the provost does not concur with the finding of the Deans
2246 Council, then the provost will offer to hold a meeting with the candidate, the senior
2247 dean (longest serving), and a tenured faculty moderator mutually acceptable to the
2248 provost and the candidate, within a period of fourteen calendar days of notification of
2249 provost's decision. If no agreement is reached, then the provost will provide the
2250 candidate, the department [head/chair/head](#), and the dean of the candidate's college,
2251 and the Deans Council, written reasons for the decision. At that point, the candidate
2252 has the option to file a grievance with the Grievance Chair.
2253

2254 **C154.4** The provost will send his or her recommendation of the cases that are to be
2255 granted promotion to the president. Decisions to deny promotion are not forwarded
2256 to the president. When the provost's recommendation disagrees with that of the
2257 Deans Council, the provost will provide a written explanation of her or his judgment
2258 to the Deans Council, the dean, the department [head/chair/head](#), and the candidate.
2259

2260 **C155** The president has the final authority for granting promotion. Candidates are to
2261 be notified when the provost's recommendation to grant promotions is [approved by](#)
2262 [forwarded to](#) the president.
2263

2264 **C156.1** Interdisciplinary ~~program~~ faculty. A [tenured](#) faculty member with
2265 appointment in an interdisciplinary ~~unit~~~~program~~ will be evaluated for promotion by
2266 the ~~disciplinary unit department~~ in which the candidate is tenured. [An untenured](#)
2267 [faculty member with an appointment in an interdisciplinary unit will be evaluated for](#)
2268 [tenure and promotion, or in by the unit](#)~~department~~ in which the candidate holds a
2269 majority appointment ~~if not tenured~~. The department [head/chair/head](#) also must
2270 solicit input from the interdisciplinary program director as well as the eligible tenured
2271 faculty members in the interdisciplinary program. Departmental, college, and
2272 university procedures as outlined in C152, C153, and C154 shall be followed. A copy
2273 of the department ~~head's/chair's/head's~~ recommendation shall be provided to the
2274 interdisciplinary program director.
2275

2276 **C156.2** In the rare case when it is not possible to designate an appropriate
2277 disciplinary department at the time of appointment, recommendations for promotion
2278 may come from the formally designated eligible tenured faculty members within the
2279 interdisciplinary program, provided that prior to the appointment the eligible tenured
2280 faculty of the interdisciplinary program agree to provide this recommendation, and
2281 that the appointment was approved by the dean(s) of the appropriate college(s) and
2282 provost. The terms of the faculty appointment must be presented in writing and
2283 agreed to by the appointee. Copies of the conditions for the appointment shall be
2284 filed with the interdisciplinary program director, respective dean(s) and provost.

2285 **C157** Dean's Evaluation Procedures. Five-year comprehensive review
2286 (FS 11/10/09 revisions)

2287 **C157.1** During the fifth year of the dean's tenure, the provost will request that the
2288 dean write a self-assessment of his/her activities for the past five years. In addition,
2289 the provost will write a brief summary of the university administration's expectations
2290 under which the dean has been operating. These expectations will be those agreed
2291 upon by the provost and the dean.

Commented [RD44]: Section C157 was revised and approved in Spring 2013 by Faculty Senate and the Administration. This version is included here, but has not been highlighted as a Track Changes revision.

Commented [MM45]: It is best to not include dates of revision anywhere in the document.

2292 **C157.2** The formal process of the evaluation will be initiated by a letter from the
2293 provost to the faculty and unclassified professionals of the college and other
2294 personnel designated to provide input (e.g., students, classified staff, constituent
2295 groups, etc.). This letter will initiate the formal process of the evaluation, explain the
2296 process, state that an opportunity to provide feedback will be forthcoming, and note
2297 that an advisory committee will be appointed. A summary of the university
2298 administrative expectations under which the dean has been operating will be made
2299 available to respondents.

2300 **C157.3** The provost will select and appoint an advisory committee. The advisory
2301 committee selection process will involve consultation with the dean, elected faculty
2302 senators, and a faculty council if the college has one. The committee will represent
2303 each academic discipline or department, and reflect the gender and race diversity of
2304 the college/unit to the extent practicable. As a general practice, only tenured faculty
2305 and no more than one department head will serve on the advisory committee. With
2306 the approval of the provost, the committee membership may be expanded by the
2307 addition of representatives from non-faculty groups who are served by the college
2308 (including students, unclassified professionals, classified staff, or clients of the
2309 college). The announcement of the composition of the committee will be made after
2310 the survey results have been collected.

2311 **C157.4** The provost will identify five references, external to the college, who have
2312 knowledge of the dean's work in fund raising and alumni/constituent relations. The
2313 references will be contacted by the provost and asked to provide a written summary
2314 of the dean's performance as Dean at Kansas State University. Some of these
2315 references will be in higher education, although others may be in related professional
2316 disciplines. Both the dean and the advisory committee may provide suggested
2317 references to the provost, according to a timeline established by the provost.

2318 **Development and distribution of the survey**

2319 **C157.5** The template for the dean's evaluation survey should be consistent across
2320 the university. The dean and advisory committee may propose relevant questions to
2321 be added to the survey instrument to make it a better fit for the specific dean being
2322 evaluated. The provost will have the final approval of the questions to be included in
2323 the survey instrument that is administered for a specific dean. The survey
2324 instrument, collection of data, and analysis of data will protect the privacy and
2325 confidentiality of respondents. The survey instrument will include a clear statement
2326 that the summary of the numerical data and comments will be shared with the dean.
2327 The provost will empower the Office of Planning and Analysis or other appropriate
2328 unit to distribute the materials for confidential feedback. The method shall provide
2329 opportunity for input on performance relative to established missions and goals, and
2330 focus on the overall effectiveness of and confidence in the dean. The method used to
2331 collect feedback shall be private and confidential, and the feedback shall be
2332 anonymous to the dean being reviewed. However, absolute confidentiality and
2333 anonymity cannot be guaranteed, such as when safety, security or due process
2334 requires disclosure. The Office of Planning and Analysis or the other appropriate unit
2335 will collect the results. Individuals also may choose to use other reasonable methods
2336 to provide confidential feedback to the provost.
2337

2338 **C157.6** Written comments will be compiled, protecting respondent confidentiality.
2339 Prior to being finalized, the provost will review and retain all written comments.
2340 ~~Allegations of an unsubstantiated nature~~ Comments unrelated to the professional

2341 evaluation of the dean will not be included in the results, but will be subject to
2342 inquiry by the provost at his or her discretion. The results will be summarized by the
2343 Office of Planning and Analysis or other appropriate unit.

2344 **Responsibilities of the Advisory Committee**

2345
2346 **C157.7** The provost will charge the advisory committee and provide a timeline for
2347 reviewing the data and preparing the report and recommendations. Each advisory
2348 committee member will receive a copy of the final composite of the results, a copy of
2349 each letter of reference, the summary of the expectations of the university
2350 administration under which the dean has been operating, the self-assessment by the
2351 dean, including goals and objectives provided to the provost in previous years, and
2352 evaluation materials from other relevant groups identified in Section C157.3.

2353 **C157.8** The advisory committee will write a draft report for the provost, which
2354 summarizes strengths, weaknesses, and issues of substance which need to be
2355 addressed. A draft copy of this report will be provided to the dean along with a copy
2356 of the final composite of the results and written comments. Prior to the committee
2357 drafting its final report to the provost, the dean will have an opportunity to respond
2358 to the committee in writing to clarify misconceptions and provide further relevant
2359 information. After due consideration of any responses from the dean, the committee
2360 will produce a final copy of the report for the provost with an overall
2361 recommendation for appointment or non-reappointment to a subsequent five-year
2362 term and will forward any response from the dean to the provost. The final report
2363 shall be signed by all committee members including the chair allowing for special
2364 provisions for missing signatures when a committee member is unavailable to sign.
2365 In the case that a minority report is deemed necessary, the report and its content
2366 should be disclosed to all committee members including the chair. The minority
2367 report shall be submitted at the same time as the final report. A separate letter from
2368 the committee to the provost will contain the number of votes of the advisory
2369 committee members for or against the reappointment of the dean. No identification
2370 of any individual votes will be included. Following the receipt of the report and prior
2371 to the final determination by the provost as to reappointment or non-reappointment,
2372 the advisory committee will have the opportunity to meet with the provost, discuss
2373 the survey results, and the vote of the committee on the recommendation.

2374 **C157.9** Absolute confidentiality is expected from the committee members
2375 concerning all evaluation materials, committee deliberations, and final
2376 recommendations. Confidentiality for committee members is a matter of both ethics
2377 and policy.

2378 **C157.10** The committee's recommendations are advisory in nature. The final
2379 decision resides with the provost subject to the approval of the president. If the
2380 provost's decision as to reappointment is contrary to a recommendation from a
2381 majority of the committee, he or she will meet with the committee members to
2382 explain the reasons for not accepting the committee's recommendations.

2383 **C157.11** The provost will meet with the faculty of the college to announce the
2384 outcome and discuss relevant issues.

2385 ~~C158~~ **Mid-appointment feedback**

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Commented [MM46]: Made this heading consistent with remainder of the document to have the heading stand alone.

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2386 **C158.1** In the second or third year of a dean's initial appointment, the dean may
2387 elect to initiate a feedback mechanism. The Office of Planning and Analysis may
2388 serve as a resource to assist in the process.

2389 **C158.2** The intent of the feedback is to reinforce positive endeavors of the college
2390 and/or dean, to help clarify the mission and direction of the college, to help clarify
2391 the college's role in the university and the relationships with external support or
2392 professional organizations, to help identify areas where the dean may want to focus
2393 more attention, and to assist the dean in self-assessment.

2394 **C158.3** At the option of the dean he or she may choose to share the results of the
2395 feedback with the provost and/or selected faculty members.

2396
2397 **~~C159~~ Administrative Reappointments Assignments and Five-Year**
2398 **Comprehensive Reviews**

2399 **~~Unit and Department Heads/Chairs~~**

2400 **~~C159.1B423-4~~** The term of office of department/unit heads, **associate deans, and**
2401 **assistant deans** holding faculty rank, and having supervisory or budgetary authority
2402 (referred to as academic administrators for purposes of clarity) will be specifically
2403 determined at the time of **the appointment administrative assignment**, but shall not
2404 exceed five years. Individuals in these positions serve at the pleasure of the dean
2405 who determines whether **or not** annual reappointment is appropriate. These
2406 academic administrators are eligible for **reappointment renewal to of the**
2407 **administrative assignment period additional terms** of up to five years. To **be**
2408 **reappointed continue in the administrative assignment**, the administrator should have
2409 the support of the majority of the faculty, **unclassified unclassified** professionals
2410 **staffs**, and other staff under his/her supervision.

2411
2412
2413 **~~C159.2B423-3~~** The dean shall consider the reappointment of **an academic**
2414 **administrator an administrative assignment** with supervisory or budgetary authority
2415 to an additional term only after the establishment of an advisory council and a
2416 review.

2417
2418 **~~C159.3B423-4~~** During the final year of the academic administrator's term **of**
2419 **appointment**, the dean will send a letter to all individuals who work under the
2420 supervision of this academic administrator. This letter will initiate the formal process
2421 of the evaluation, explain the process, state that an opportunity to provide feedback
2422 will be forthcoming, and note that an advisory committee will be appointed. The
2423 dean will provide a summary of the academic administrator's job expectations to
2424 those providing input. The dean and the academic administrator will confer and
2425 reach agreement on the job summary. Potential respondents will include faculty with
2426 tenure and on tenure track, regular instructors, unclassified professionals, and all
2427 other staff within the group being served. If requested by the academic
2428 administrator, and agreed to by the dean, evaluation materials can be collected from
2429 other groups (e.g., students, constituent groups, etc.).
2430 The dean of the college will request that the academic administrator write a self-
2431 assessment of his/her activities since initial **appointment administrative assignment**
2432 or last re-appointment.

2433
2434 **~~C159.4B423-6~~** To solicit and document the feedback of the group served, the Office
2435 of Planning and Analysis or another group (**e.g., administrative support staff**)
2436 empowered by the dean (**administrative support staff**), shall develop a secure survey

Commented [JH47]: I note that these are not unit or department heads, per the section heading directly above this sentence.

Commented [MM48]: BOR policy requires 1 year appointments for these positions. Our practice at K-State is that administrators have 5 year appointments, so this needs to be called "assignment."

2437 instrument that protects the privacy and ~~confidentiality~~anonymity of respondents.
2438 The survey shall provide for narrative comments, ratings of specific performance
2439 areas listed on the self-evaluation, unit-specific performance areas, and a final
2440 question/statement addressing the possibility of reappointment in the administrative
2441 assignment. ~~The administrative support staff will collect feedback for review.~~ The
2442 method used to collect the feedback shall be private and confidential, and the
2443 feedback shall be anonymous to the individual being reviewed~~anonymous~~. However,
2444 absolute confidentiality and anonymity cannot be guaranteed, such as when safety,
2445 security or due process requires disclosure. The Office of Planning and Analysis or
2446 other appropriate group will collect the results. Individuals also may choose to use
2447 other methods for providing confidential feedback to the supervisor of the individual
2448 being reviewed. Electronic mail is neither private nor anonymous, and should not be
2449 used to solicit, provide or report feedback.

2450
2451 ~~C159.5B423-7~~ After the materials have been administered, the dean will request
2452 that the group served recommend a list of faculty, unclassified professionals, and
2453 other staff members to serve on the academic administrator's reappointment
2454 advisory committee. The dean will review the list, then select a representative
2455 committee. Students, alumni, and representatives of other university-related groups
2456 may also be named as members of the reappointment advisory committee.

2457
2458 ~~C159.6B423-8~~ The reappointment advisory committee shall keep the faculty,
2459 unclassified professionals, and other staff of the group being served regularly
2460 informed of the status of the review. The feedback results will be summarized by the
2461 administrative support staff. Written comments will be transcribed and compiled,
2462 protecting respondent confidentiality. The data will be compiled and presented so
2463 that the summary and other statistics will be standard outputs, along with an
2464 anonymous listing of the narrative comments. Comments unrelated to the
2465 professional evaluation of the administrator ~~Unsubstantiated allegations~~ will not be
2466 included in the results, but will be subject to inquiry by the dean at his/her
2467 discretion. A summary of respondents' input will be provided to the committee for its
2468 report to the dean.

2469
2470 ~~C159.7B423-9~~ The reappointment advisory committee will write a report ~~for~~to the
2471 dean, which summarizes strengths, weaknesses, and issues of substance that need
2472 to be addressed. The committee will make a recommendation for appointment or
2473 non-reappointment of the administrative assignment. A draft copy of this report will
2474 be provided to the academic administrator being reviewed. The academic
2475 administrator can, if he or she desires, respond to the committee in writing
2476 concerning the draft report. After due consideration of any responses, the committee
2477 will produce a final copy of the report and an advisory recommendation and will
2478 forward any responses from the academic administrator to the dean.

2479
2480 ~~C159.8B423-10~~ Confidentiality is expected for the committee members concerning
2481 all evaluation materials, committee deliberations, and final recommendations.
2482 Confidentiality for committee members is a matter of both ethics and policy.

2483
2484 ~~C159.9B423-11~~ To be reappointed, the administrator should have the support of
2485 the majority of the faculty, ~~unclassified~~professional ~~staffs~~, and other staff under
2486 his/her supervision who responded to the request for feedback, as well as the
2487 concurrence of the dean. The dean shall consider the advisory committee's
2488 recommendation before reappointing an administrator five assignment. If the dean
2489 makes a reappointment decision that is against the wishes of a majority of the

2490 faculty and staff, the dean will schedule a meeting with the group being served and
2491 the next higher-level administrator to give a rationale for the reappointment and an
2492 opportunity to respond to his/her decision.

2493
2494 ~~C159.10B123-12~~ Those departments who elect a chair follow the departmental
2495 internal evaluation procedures.

2496
2497
2498 ~~Five-Year Other Unclassified Professional Staff Administrators~~
2499 ~~Evaluation Procedures~~

2500 ~~C159.1141-4 (b)~~ Includes all directors, associate and assistant deans and other
2501 unclassified professional administrative supervisors not specified in C159.1

2502
2503 At least once every five years, the responsible dean, vice provost, vice president,
2504 provost or president, depending upon the department's/unit's reporting structure,
2505 will issue a request for input from individuals regarding the performance of their
2506 department/unit administrator(s). To solicit and document the feedback of the group
2507 served, the Office of Planning and Analysis or another group ~~such as AXIO or~~
2508 ~~(e.g., the administrative support staff)~~ shall develop a survey instrument that
2509 protects the privacy ~~and~~ confidentiality ~~and anonymity~~ of respondents. The survey
2510 shall provide for narrative comments, ratings of specific performance areas listed on
2511 the self-evaluation, unit-specific performance areas, and a final question/statement
2512 addressing the possibility of reappointment. ~~Gare should be taken to protect the~~
2513 ~~confidentiality and anonymity of the individuals submitting evaluation materials.~~
2514 Examples of methods that may be used to protect ~~the privacy and confidentiality of~~
2515 those submitting ~~responses to five-year annual~~ evaluation materials include
2516 ~~anonymous electronic AXIO~~ surveys or surveys ~~being~~ submitted to a third party in
2517 Human Resources ~~relations~~ or the Planning and ~~Analysis/Evaluation~~ Office. ~~The~~
2518 ~~designated group will collect the results, and the feedback shall be anonymous to the~~
2519 ~~individual being reviewed. However, absolute confidentiality and anonymity cannot~~
2520 ~~be guaranteed, such as when safety, security or due process requires disclosure.~~
2521 ~~Individuals also may choose to use other methods to provide confidential feedback to~~
2522 ~~the supervisor of the individual being reviewed. Electronic mail is neither private nor~~
2523 ~~anonymous. Electronic mail is neither private nor anonymous, and should not be~~
2524 ~~used to solicit, provide or report feedback.~~ These guidelines follow the
2525 ~~unit/department head/dean's/chair's~~ review process outlined in ~~C159.4B123 now~~
2526 ~~moved to Section C. Please use the dean's process as a guide.~~

2527 **Termination of Services**

2528 **C160.1** General standards for non-reappointment. The Kansas Board of Regents has
2529 adopted The Standards of Notice of Non-Reappointment set forth by the American
2530 Association of University Professors in the autumn of 1964. (See Appendix A. Also
2531 see AAUP Statement on Academic Freedom and Tenure, Appendix C.)

2532 **C160.2** Non-reappointment in the case of financial exigency should not be
2533 interpreted as a reflection on the quality of the individual faculty member's
2534 performance.

2535 **C160.3** The termination for cause of faculty on continuous appointments and non-
2536 tenured faculty, who have been appointed on contract for a specified term, before
2537 the expiration of that term, shall be reviewed in accordance with the procedure
2538 described in C75. ~~(FSM 3-9-93)~~

2539 **C161.1** Reasons for dismissing faculty and ~~unclassified-unclassified~~ professional ~~ss~~
2540 ~~staff. Any unclassified-employee~~ faculty member or unclassified professional ~~A faculty~~
2541 ~~and/or unclassified professional staff~~ may be recommended for dismissal for:

- 2542 • Professional incompetence
- 2543 • Misconduct or unethical behavior
- 2544 • Persistent violation of university rules and/or policy
- 2545 • Bona fide financial exigency (See C162.4 and Appendix B.)
- 2546 • Program discontinuance (See C162.5 and Appendix K.)

2547 **C161.2** Tenured faculty members who are dismissed for reasons other than
2548 misconduct or unethical behavior, or financial exigency, shall be given written notice
2549 by the university 12 months in advance of their separation. Financial exigency has
2550 been broadly defined by the Kansas Board of Regents (Appendix B) with detailed
2551 procedures to be defined by each of the Regents' institutions.

2552 **C162.1** Dismissing faculty holding tenure. Termination of employment of a tenured
2553 faculty member, other than by voluntary resignation or retirement, is extremely
2554 rare. In such case the university upholds both the letter and the spirit of the tenure
2555 principle of the AAUP (Appendix C).

2556 **C162.2** Faculty members with tenure who are dismissed have a right to a formal
2557 hearing under the procedures stated in the Kansas Board of Regents policy on
2558 tenure. (See C71-78.) In cases of dismissal for cause, the Procedure for Review of
2559 Dismissal of Tenured Faculty in Appendix M will be followed. In cases of dismissal for
2560 reasons of financial exigency the procedures in Appendix B will be followed. In cases
2561 of dismissal for reasons of program discontinuance, the procedures of Appendix
2562 K will be followed.

2563
2564 **C162.3** For faculty members whose services are to be terminated before tenure is
2565 attained, written notice shall be given to them by the dean of their college, according
2566 to the following schedule: A faculty member on a regular appointment who has been
2567 employed less than one year shall be notified by March 1 if services are to be
2568 terminated at the end of that academic year. The intent here is to provide at least a
2569 six-month evaluation period for the faculty member newly appointed at the
2570 beginning of the academic year. Accordingly, persons who are appointed at mid-year
2571 (that is, January or February) must also be notified by March 1 of the following
2572 calendar year if they are not to be reappointed for the next academic year. A faculty
2573 member on a regular appointment employed for more than one year shall be given
2574 the same written notice by December 15 if services are to be terminated at the end
2575 of that academic year. Any time after December 15, a faculty member on a regular
2576 appointment employed one or more years shall be given the same written notice at
2577 least 12 months before the expiration of an appointment. If the faculty member is
2578 not to be continued in service beyond the expiration of the probationary period,
2579 notice shall be given at least one year prior to the expiration of the probationary
2580 period. Appointments designated as term teaching faculty do not require notification
2581 of non-reappointment. ~~For faculty members holding tenure, procedures for any~~
2582 ~~termination of appointment, including appeals, will be as outlined in Appendix M.~~

2583
2584 **C162.4** A formal plan to be used in the event financial exigency necessitates the
2585 dismissal of tenured faculty members is contained in Appendix B.
2586

Commented [MM49]: Stated in section immediately preceding.

2587 C162.5 A formal plan to be used in the event program discontinuance necessitates
2588 the dismissal of tenured faculty members is contained in Appendix K.
2589
2590

2591 Continued Employment for Administrative Appointees

2592
2593 C170.1 Individuals may be appointed to regular appointments or to term
2594 appointments. For the purpose of this policy, two types of appointments positions are
2595 identified and defined. A regular appointment position is defined as one in which
2596 made when which the need and the funds for the position are expected to continue
2597 for the foreseeable future. A regular appointment is made to a budgeted position. A
2598 term appointment position is normally typically used defined as one in which when the
2599 need or funding for the position is finite and is for a specified term, usually not
2600 longer than one year. A term appointment carries no expectation of continued
2601 employment beyond the period stated in the contract. Term appointments can be
2602 made to either budgeted or non-budgeted positions.
2603

2604 ~~C170.2 Individuals Persons appointed after June 1, 1982, may be appointed to~~
2605 ~~regular appointments positions or to term appointments positions.~~
2606

2607 C170.3 Persons holding regular or term unclassified professional appointments may
2608 be terminated without cause, provided that notice is given according to the schedule
2609 below. This notice is called notice of nonreappointment.

2610 During the first year of service, the individual must be notified by March 1 if
2611 he/she will not be reappointed for the next fiscal year. During the second
2612 year, notification of the non-reappointment for the next fiscal year must be
2613 made by December 15. Thereafter, the individual must be provided 12
2614 months' notice if he/she will not be reappointed. (The first year of service
2615 ends with the fiscal year in which the individual was first appointed, unless
2616 the date of the appointment was after September 30. For those whose initial
2617 appointment was effective after September 30, the "first year" ends with the
2618 fiscal year after the year of appointment. However, in no case shall more than
2619 12 months' notice be required.)

2620
2621 All appointments to term positions will be temporary appointments ending at
2622 or before the end of the term. Should need or money for the position be
2623 extended, a new term may be established with the approval of the provost. In
2624 such instances, the incumbent may be appointed for the new term or a
2625 portion thereof without the position being declared open for initiation of a
2626 search process.

2627 A. ~~Except for persons covered under B, below, during the first twelve (12)~~
2628 ~~months of unclassified service, the individual must be given 90 days' notice of~~
2629 ~~termination without cause. After more than twelve (12) months of service, an the~~
2630 ~~individual on a regular appointment must be given 180 days' notice of termination~~
2631 ~~without cause.~~

2632 All appointments to term appointments positions will be temporary appointments
2633 ending at the ~~conclude at the end of the term, or earlier for cause, or with 90 days'~~
2634 ~~notice of termination without cause if notice is given according to the preceding~~
2635 ~~paragraph. Should need or money for the position be extended, a new term may be~~
2636 ~~established with the approval of the provost or appropriate vice president or as~~
2637 ~~delegated to the deans or comparable administrators. In such instances, the~~
2638 ~~incumbent may be appointed for the new term or a portion thereof without the~~
2639 ~~position being declared open for initiation of a search process.~~

Commented [MM50]: The current language allows for some people with less than two years' service to receive well over one year's notice depending on when a person was hired. This addition corrects that.

2640
2641 ~~B. Persons appointed to regular, unclassified positions prior to June 15, 2010, are~~
2642 ~~subject to notice of non-reappointment pursuant to the following schedule:~~
2643 ~~During the first year of service, the individual must be notified by March 1 if~~
2644 ~~he/she will not be reappointed for the next fiscal year. During the second~~
2645 ~~year, notification of the non-reappointment for the next fiscal year must be~~
2646 ~~made by December 15. Thereafter, the individual must be provided twelve~~
2647 ~~(12) months' notice if he/she will not be reappointed of termination without~~
2648 ~~cause. (Unless the date of the appointment was effective after September 30,~~
2649 ~~the first year of service ends with the fiscal year in which the individual was~~
2650 ~~first appointed. For those whose initial appointment was effective after~~
2651 ~~September 30, the "first year" ends with the fiscal year after the year of~~
2652 ~~appointment. In such cases, during the initial year of appointment prior to the~~
2653 ~~"first year," those individuals must be notified no later than May 1 if they are~~
2654 ~~not to be reappointed.)~~

2655
2656 ~~C171 The non-reappointment of persons holding administrative tenure granted prior~~
2657 ~~to June 1982, as defined in C170.3B, may be reviewed in accordance with the~~
2658 ~~Procedure for Review of Dismissal of Tenured Faculty, as provided in Appendix M,~~
2659 ~~provided that the administrator shall have the choice of:~~

- 2660 1. ~~A hearing committee of the composition provided in Appendix M;~~
2661 ~~or~~
2662 ~~2. a hearing committee selected from a pool which shall include all persons~~
2663 ~~holding administrative positions as defined above, except that persons holding~~
2664 ~~positions in the administrative unit in which the administrator is appointed shall not~~
2665 ~~be eligible.~~

Commented [MM51]: The approval process was never completed.

2667 **Bargaining Unit for Unclassified Employees**

2668
2669
2670 **C180** In accordance with the laws of the State of Kansas, the potential bargaining
2671 unit for Kansas State University unclassified employees has been determined by the
2672 Public Employees Relations Board (PERB) on December 20, 1982, to be as follows:
2673 The appropriate bargaining unit for unclassified personnel at Kansas State University
2674 shall include:

- 2675 1. All unclassified faculty with the academic rank of research assistant, research
2676 associate, assistant instructor, instructor, assistant professor, associate
2677 professor, and professor if they are engaged five-tenths time or more in
2678 teaching, research, or extension;
2679 2. Support unit personnel except physicians working in Lafene Health Center,
2680 and shall exclude:
2681 A. Unclassified employees as stipulated: academic directors, associate
2682 directors, assistant directors; department heads; part-time employees
2683 (less than five-tenths time); temporary, visiting or adjunct employees
2684 and appointees; all students, including graduate teaching assistants,
2685 graduate research assistants, and graduate assistants; university
2686 officials, including the president, assistants to the president,
2687 administrative assistants to the president, provost, associate provost,
2688 assistant provost, vice presidents, associate vice presidents, assistant
2689 vice presidents, assistants to vice presidents, deans, associate deans,
2690 assistant deans, assistants to deans, controller, associate controller,
2691 assistant controller, registrar, associate registrar, assistant registrar,

2692 university attorney, branch station superintendents, area directors of
2693 extension;
2694 B. County extension agents;
2695 C. Physicians working in Lafene Student Health Center.
2696 (The complete text of the PERB order is on file in Human Capital Services and in the
2697 Faculty Senate Office.)
2698

2699 **Administrative Appeals and Grievance Resolution**

2700
2701 **C190** (Deletion, POD 4/27/12)

2702 **Grievance Resolution**

2703 C191 (Deletion, POD 4/27/12)

2704 **Ombudsperson**

2705 **C192** Appointment and Term

2706 On the recommendation of the Faculty Senate President, the Faculty Senate
2707 Executive Committee shall appoint, three ombudspersons. Candidates for the
2708 ombudspersons shall have service qualifications that demonstrate knowledge of
2709 university structure and operations, such as service on Faculty Senate or the General
2710 Grievance Board. Faculty candidates shall have attained tenure in their respective
2711 departments. ~~Unclassified professional~~ Professional staff ~~Unclassified professional~~
2712 candidates shall be on regular appointments. People in positions of line authority
2713 (e.g., department heads/chairs, deans, and some directors) shall not be appointed.
2714 The ombudspersons should not serve in additional roles within the university that
2715 would compromise their ability to be perceived as unbiased. Any qualified person
2716 wishing to be considered for an ombudsperson appointment may contact the Faculty
2717 Senate President.
2718

2719 Each ombudsperson shall serve a three-year term, which shall begin the first day of
2720 each fall semester, and shall be listed as ombudsperson in the annual list of all-
2721 university appointments and the Campus Directory. Reappointment to a second
2722 consecutive term should take place only in exceptional circumstances, the basis of
2723 which will be explained by the Faculty Senate President to the Faculty Senate prior to
2724 the appointment. Terms of the ombudspersons will be staggered. Ombudspersons
2725 who are unable or unwilling to adhere to **C194** are subject to immediate
2726 replacement at the discretion of the Faculty Senate Executive Committee. If for any
2727 reason an ombudsperson cannot complete a term, the term of the replacement will
2728 be for the balance of the original term.
2729

2730 **C193** Recognition and Training

2731 Service as ombudsperson shall be given appropriate consideration as part of the
2732 ombudsperson's responsibility during the term of appointment; the department head
2733 or functional equivalent shall ensure that service as ombudsperson shall be given
2734 consideration in decisions affecting assignments, salary, and promotion. The
2735 ombudsperson shall receive released time or be compensated in some other fashion.
2736 It is expected that early in the term of an ombudsperson's appointment,
2737 opportunities will be provided by the university for the ombudsperson to receive
2738 supplemental preparation that may enhance his/her ability to be successfully in the
2739 functions and responsibilities of an ombudsperson. Beyond conferring with current
2740 and former ombudspersons, such preparation shall include attending seminars,

2741 workshops, and meetings. The university will pay for the costs involved with the
2742 ombudsperson belonging to The Ombudsman Association or an equivalent
2743 organization, during the ombudsperson's term.

2744
2745 **C194** Functions and Responsibilities The ombudsperson's role is to facilitate a
2746 confidential, unbiased, and informal process to resolve concerns and disputes that
2747 arise within the university. The ombudsperson is an information, communication, and
2748 referral resource available to the faculty and unclassified professionals who seek
2749 service on a voluntary basis.

2750 With exception(s) as specified in the University Handbook, the university recognizes
2751 and the ombuds will follow ~~the principles developed by the university and~~
2752 ~~International Ombudsman Association (IOA) as well as~~ the Code of Ethics 1985 ~~and~~
2753 ~~the Standards of Practice 1995~~ of the Ombudsman Association,
2754 <http://www.ombudsassociation.org/>

2755
2756 Ombudspersons are not mediators, arbitrators, or advocates for any person or
2757 position. They are advocates for fair processes and fair administration. While
2758 individuals are responsible for choosing a particular resolution, the ombudsperson
2759 may help develop options to resolve problems and/or facilitate discussion designed
2760 to identify agreeable options to resolve a dispute. Ombudspersons will exercise the
2761 responsibilities of their position with objectivity and impartiality, and will consider the
2762 concerns of all parties involved in a dispute. All communications with the
2763 ombudsperson(s) are confidential, and they will not be expected to testify in any
2764 formal process inside or outside the university.

2765
2766 ~~At the request or permission of the grievant, Thean~~ ombudsperson ~~[who] shall have~~
2767 ~~the duties of~~ shall (1) ~~providing~~ provide information about the grievance process ~~at~~
2768 ~~issue~~ and (2) ~~guiding or help walk the~~ grievant through the initial stages of the
2769 grievance process. If requested by the grievant, the ombudsperson may also contact
2770 the administrator(s) involved to ~~seek-inquire as to the possibility of~~ a resolution of
2771 the matter before a formal grievance hearing begins. The ombudsperson shall have
2772 access to anyone in the university including the president.

Commented [MM52]: Because the ombudspersons are not independent positions within the university, the standards of practice were written for that type of position and do not apply.