

Attachment 2

University Handbook, Section C Identity, Employment, Tenure

Responsibilities

~~Unclassified positions are defined as either faculty or professional staff positions~~Section C refers to unclassified professionals and faculty. While some questions of identity and employment are identical for the two groups, differentiation 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."

Faculty Responsibilities

C1

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

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

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

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

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

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

C5 Directed service. All other work that furthers the mission of and is directly related to the goals and objectives of a unit and the university, that requires academic credentials or special skills, and that is a part of a faculty member's explicit assignment. Typical positions that involve such work are librarians and clinicians-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 74 **Unclassified Professional Staff Responsibilities**

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

83
84 ~~Professional staff~~Unclassified professionals, like faculty, also have the opportunity to
85 ~~perform non-directed service as defined in C6.~~

86
87 ~~All Professional Staff~~unclassified 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. An academic unit consists of
389 colleges, schools, departments, and divisions that provide oversight of academic
390 programs. Because of tradition, academic rank is used for library and extension
391 faculty not in an academic unit.

Commented [MM4]: Included to define what is meant by an academic unit.

Commented [MM5]: Included "academic" to increase clarity that these are academic professorial ranks, which are not to be confused with courtesy professorial appointments outlined in C15.

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

Commented [MM6]: Language was added to increase clarity for courtesy professorial appointments.

404 **Appointment Procedures: Professional Staff**

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

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

Commented [MM7]: 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.

430 **Appointment Procedures: Faculty**

431

432 **C20** General procedures. The department head/chair is advised on appointments by
433 the faculty members of the department who have acquired tenure and hold a rank
434 equal to or higher than the position to be filled. The department head/chair is
435 responsible for making the candidate's file available in a timely fashion to the
436 department faculty members who are eligible to make recommendations. For
437 appointments at the rank of assistant professor, associate professor and professor,
438 eligible department faculty members will advise the department head/chair through
439 a vote on the appointment of the candidate at a given rank. The type of vote will be
440 at the discretion of the department. The department head/chair forwards a written
441 recommendation and accompanying explanation to the dean, along with the
442 candidate's complete file, the results of the vote (if applicable), and the
443 recommendation(s) and any written comments (unedited) of the eligible
444 departmental faculty members. Initial contracts are issued by the provost.
445 Recommendation for appointment of an individual to the faculty is normally made by
446 a department head/chair to the appropriate dean after affirmative action procedures
447 have been followed.

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

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

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

485 Conditions of Employment for All ~~Unclassified~~ Faculty and Unclassified
486 Professionals ~~Employees~~

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

Commented [MM8]: This is in the PPM. No need to have both places.

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

Commented [MM9]: There are instances in which unclassified professionals have teaching responsibilities.

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

Commented [MM10]: Including the reference to the paydates website keeps the information current and helps unclassified faculty and professionals find this information.

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

Commented [MM11]: Only policies should be in the UH.

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

538 ~~leave is described more fully in E40-46.) Twelve month employees should check with~~
539 ~~their department heads/chairs regarding leave and vacation procedures. Leave types~~
540 ~~and usage are described more fully in E40-48 and PPM, Chapter 4860, [ate.edu/policies/ppm/4860.html](http://www.k-
541 <a href=).~~

Commented [MM12]: This information is in the PPM and is not policy.

542
543
544 **C23.1** Summer employment. The university offers a variety of variable-length
545 sessions during the summer. All nine-month faculty members who will teach in
546 summer school are notified that their names have been included at specified salaries
547 in the tentative summer school budget. The summer salary for a faculty member will
548 be negotiated between the faculty member and the department head/chair when the
549 summer school assignments are made. Faculty members who teach a three-credit-
550 hour summer course which is not part of their regular teaching assignment will be
551 compensated at the negotiated salary, which may range between 70 to 100 percent
552 of one-ninth of their full-time, nine-months' salary. This agreed-upon percentage will
553 not be reduced at a later time during the summer at issue for a course that enrolls at
554 least the predetermined minimum required number of students, regardless of the
555 eventual class size. The nine-month academic year enrollment capacities are
556 expected to be adhered to except for negotiated arrangements. If a class fails to
557 meet the predetermined minimum enrollment, then at the instigation of the faculty
558 member, negotiations may take place for a salary below the seventy percent figure
559 provided the faculty member wishes to teach the class. For instances in which a
560 faculty member's assigned summer duties are more than a normal load, additional
561 compensation or support may be approved by the dean of the college and the
562 provost. The additional salary policy, modified to reflect approval by the dean and
563 provost, and in cases of continuing education courses, approval also by the Dean of
564 ~~the Division of Continuing Education~~ Global Campus, would be followed. ~~(See Chapter~~
565 ~~2, Section 2-141 of the Business Procedures Manual (5-1-91).)~~ (FS 11/9/99)

Commented [MM13]: We do not have a Business Procedures Manual so this was removed.

566 Advising during the summer enrollment period and during the summer teaching
567 period is an essential component of the university's mission. Thus, it is expected that
568 advising will be recognized as a legitimate component of recompensed activities
569 during the summer period.

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

578 ~~This interim policy will be in effect for a period of no more than two years, during~~
579 ~~which time a group of faculty and administrators will conduct a formal study and~~
580 ~~bring recommendations for more permanent changes. (ACM 1-19-55, Revised 5-21-~~
581 ~~99, Revised 11-9-99)~~

582 ~~Nine-month unclassified employees in budgeted faculty positions are placed on leave~~
583 ~~of absence for the summer following the end of the academic year. Full or part-time~~
584 ~~summer teaching or other duties may be available for nine-month faculty members~~
585 ~~as determined by need and resources and at the discretion of the department~~
586 ~~head/chair. Refer to the PPM, Chapter 4650, section .050 ([12](http://www.k-</p></div><div data-bbox=)~~

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

Commented [MM14]: This is PPM language and is not needed in the UH.

601
602 **C23.2** Nine-month faculty members may arrange up to three months' summer
603 employment if the salary is paid from ~~commercial~~, contract or grant funds.
604

605 Other Types of Appointments

606
607 **C24 Interdisciplinary appointments.** Normally, all tenure-track faculty members
608 appointed to interdisciplinary programs who have not already acquired tenure at
609 Kansas State University shall at the time they are being considered for appointment
610 identify the disciplinary department with which they wish to be associated. Prior to
611 appointment, a majority of the faculty members of the chosen disciplinary
612 department must find the individual acceptable as a potential faculty member in their
613 department.
614

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615
616 **C25.1 Adjunct appointments.** Adjunct appointments are made for the benefit of
617 the university to allow people from outside the university to contribute to its
618 academic program. When appropriate, an academic department initiates a
619 recommendation for an adjunct appointment at the faculty rank commensurate with
620 the individual's qualifications. Approval of the college dean and the provost is
621 required. Because they allow the individual the courtesy of affiliation with the
622 university, adjunct appointments are usually without compensation. Payment may be
623 made for classroom instruction, although adjunct faculty members are normally not
624 appointed to serve in the formal teaching program. Refer to the PPM, Chapter
625 4650, <http://www.k-state.edu/policies/ppm/4600/4650.html#040><http://www.k->
626 [state.edu/policies/ppm/4650.html](http://www.k-state.edu/policies/ppm/4650.html).
627

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628 **C25.2** The activities of adjunct faculty members are limited to participation in
629 academic functions such as teaching, advising, and supervising research. The regular
630 procedures of the graduate faculty apply to any individual's participation in a
631 graduate program. Adjunct appointees may serve as major professors for graduate
632 students only if a regular member of the graduate faculty serves as co-major
633 professor.
634

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

640
641 **C25.4** Adjunct faculty members are not granted tenure, nor are they eligible to vote
642 or hold office in any unit of university governance.
643

644 **C25.5** In recognition of their contribution to the academic community, the university
645 extends to adjunct appointees residing in Kansas the use of university libraries;
646 employee rates for athletic, Kansas State Union, and cultural events; and parking
647 privileges.
648

649 **C27 Ancillary appointments.** Ancillary appointments are made for the benefit of a
650 department to allow faculty from other university departments to contribute to its
651 academic programs. Members who are on regular faculty appointments in other
652 departments or units on campus are eligible. The goal is to foster ties between
653 departments with similar and/or complementary disciplinary interests.
654

655 **C27.1** An eligible faculty member may be nominated for an ancillary appointment by
656 a faculty member in the host department or by the host department head/chair. The
657 nomination should be discussed with other faculty in both of the departments that
658 the appointment may affect. The nomination should include a letter of nomination,
659 curriculum vitae of the candidate, and a statement outlining the benefits both to the
660 candidate and to the hosting department. Prior to appointment, a majority of the
661 faculty members from the host department must find the individual acceptable as an
662 ancillary faculty member. The appointment must be approved by the host
663 department head/chair, host dean, and the provost. The candidate must also have
664 approval from his/her home department head/chair and dean.
665

666 **C27.2** An ancillary appointment is a five-year term and is contingent upon a
667 continuing regular faculty appointment. To be reappointed, the candidate must be
668 re-nominated and approved by the process outlined above.
669

670 **C27.3** The activities of an ancillary appointment may include teaching, interaction in
671 scholarly and creative endeavors, participation in graduate programs, and serving on
672 graduate student committees. The regular procedures of the graduate faculty apply
673 to any individual's participation in a graduate program. Departments may develop
674 more specific guidelines and policies related to these appointments.
675

676 **C27.4** Ancillary appointments are without compensation. Ancillary faculty members
677 are subject to all rules and regulations that apply to members of the host
678 department including but not limited to patents, conflict of interest, classified
679 research, and use of human subjects. Ancillary faculty members are not granted
680 tenure, nor are they eligible to vote or hold office in the host department. Ancillary
681 appointments may be recognized in all appropriate departmental documents and
682 literature pertaining to academic programs.
683

684 **Other Considerations**

685
686 **C29.1** Other considerations. As a general policy, tenure-track faculty appointments
687 will not be offered to persons whose last earned academic degree is from Kansas
688 State University unless they have acquired extensive intervening experience
689 elsewhere. In unusual and meritorious cases, the provost may make exceptions to
690 this policy.
691

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

697
698 **General Issues of Evaluation for All Faculty and Unclassified**
699 **Professionals/employees**

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

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

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

726 **C30.4** ~~7~~ Evaluation procedures of close relatives. It is university policy that no one
727 shall participate in any way in the evaluation of a close relative. (See PPM Chapter
728 4095 for definitions of close relative.) ~~When such situations occur, those who would~~
729 ~~be responsible for the evaluation of a close relative must, in consultation with the~~
730 ~~administrator to whom they report, establish an evaluation procedure that will avoid~~
731 ~~this conflict of interest.~~ (See PPM Chapter 4095.)

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

Commented [MM15]: This was added to increase clarity of what is defined as a close relative.

Commented [MM16]: 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 university's goals as well as those of the unit. Each administrative unit will develop a
742 procedure in accordance with the University Handbook applicable policy. Consult
743 Human Capital Services for best practices and shared core competencies.

Commented [MM17]: This was added based on input from Cheryl Johnson.

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

Commented [rd18]: A30 no longer exists.

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

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761 Departmental/unit criteria, standards, and guidelines for faculty must be mutually
762 approved by a majority vote of the faculty members in the department or unit, by
763 the department head or unit director, by the dean concerned, and by the provost.
764 Provision must be made for review of departmental/unit criteria, standards, and
765 guidelines at least once every five years or more frequently if it is determined to be
766 necessary by any of the aforementioned parties. Dates of revision (or the vote to
767 continue without revision) must appear on the first page. Copies are available to
768 faculty members in their departmental or unit offices.

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

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

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

785
786
787 **C31.5** Chronic low achievement. Chronic failure of a tenured faculty member to
788 perform his/her professional duties, as defined in the respective unit, shall constitute
789 evidence of "professional incompetence" and warrant consideration for "dismissal for
790 cause" under existing university policies. Each department or unit shall develop a set

791 of guidelines describing the minimum-acceptable level of productivity for ~~each~~
792 applicable areas of responsibility for the faculty, as well as procedures to handle such
793 cases. In keeping with regular procedures in matters of tenure (C112.1 and C112.2),
794 eligible departmental faculty will have input into any decision on individual cases
795 unless the faculty member requests otherwise. When a tenured faculty member's
796 overall performance falls below the minimum-acceptable level, as indicated by the
797 annual evaluation, the department or unit head/chair shall indicate so in writing to
798 the faculty member. The department head/chair will also indicate, in writing, a
799 suggested course of action to improve the performance of the faculty member. In
800 subsequent annual evaluations, the faculty member will report on activities aimed at
801 improving performance and any evidence of improvement. The names of faculty
802 members who fail to meet minimum standards for the year following the department
803 head's/chair's suggested course of action will be forwarded to the appropriate dean.
804 If the faculty member has two successive evaluations or a total of three evaluations
805 in any five-year period in which minimum standards are not met, then "dismissal for
806 cause" will be considered at the discretion of the appropriate dean.

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

831 **C31.7** Prior to the point at which "dismissal for cause" is considered under C31.5,
832 other less drastic actions should have been taken. In most cases, the faculty
833 member's deficient performance ("below expectations" or worse) in one or more
834 areas of responsibility will have been noted in prior annual evaluations. At that point,
835 the first responsibility of the head/chair of the department or unit is to determine
836 explicitly whether the duties assigned to the faculty member have been equitable in
837 the context of the distribution of duties within the unit and to correct any inequities
838 affecting the faculty member under review. Second, the head/chair of the
839 department or unit should have offered the types of assistance indicated in C30.3.
840 Referral for still other forms of assistance (e.g., medical or psychological) may be
841 warranted. Third, if the deficient performance continues in spite of these efforts and
842

844 recommendations, the department head/chair and the faculty member may agree to
845 a reallocation of the faculty member's time so that he/she no longer has duties in the
846 area(s) of deficient performance. ~~Of course, s~~Such reallocation can occur only if
847 there are one or more areas of better performance in the faculty member's profile
848 and if the reallocation is possible in the larger context of the department's or unit's
849 mission, needs, and resources.

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

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

874 Other Considerations for Faculty Evaluation

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

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

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

891
892 **C32.4** Original intellectual and artistic contributions fulfill a fundamental mission of
893 the university and are crucial to institutional excellence. There is great diversity in

894 the scholarly and creative achievement of the university faculty, and departments
895 will establish criteria and standards for all forms of research and other creative
896 achievement appropriate to their missions.

897
898 **C32.5** ~~Because~~~~Since~~ extension specialists teach in diverse settings across the state,
899 they are expected to use a variety of teaching methods and strategies. The
900 effectiveness of the extension program developed by a specialist is measured in
901 terms of skills, attitudes, and knowledge gained by the targeted audiences. The
902 criteria and standards for evaluating specialist performance are developed by the
903 departments and units that have extension faculty members.

904
905 **C32.6** The directed service performed by librarians, clinicians, and others in similar
906 positions is evaluated for reappointment, tenure, and promotion decisions. Criteria
907 and standards for these responsibilities are developed by the departments and units
908 that include the services.

909
910 **C32.7** Non-directed service (profession-based service, institution-based service, and
911 public-based professional service) are evaluated insofar as they are part of a
912 candidate's responsibilities. However, non-directed service cannot be the major
913 grounds upon which tenure or promotion is based. Each department establishes
914 criteria and standards for faculty activity in university governance and for work in
915 professional associations and activities within and outside the university.

916
917 **C33** Multiple data sources for evaluations. Professional performance is ~~exceptionally~~
918 complex and cannot be evaluated adequately based on a single source of
919 information. It is essential that faculty evaluation be based on multiple sources of
920 data for each area evaluated in order to provide various perspectives and to avoid a
921 concentration on narrow performance objectives.

922
923 **C34.1** Student ~~ratings-feedback on~~ classroom instruction. In most cases,
924 documentation submitted by faculty members with teaching responsibilities would be
925 considered incomplete and presumed inadequate, unless evidence of teaching
926 effectiveness is included. Student ~~ratings-feedback on~~ classroom instruction ~~is~~~~are~~
927 an important source of information in the evaluation of teaching effectiveness, provided
928 that the format includes controls for student motivation and other possible bias. The
929 form should contain directions that indicate how the information is used, and the
930 forms should be administered and collected under controlled conditions that assure
931 students' anonymity. Each academic unit should determine the student ~~rating~~
932 ~~feedback~~ form to be used by its faculty that conforms to the guidelines specified
933 above. Faculty members, including ~~regular faculty~~~~professors~~, instructors, graduate
934 teaching assistants, adjuncts, etc., shall ~~collect student feedback~~~~be evaluated by~~
935 ~~students~~ for each course and section they teach ~~each year~~ in order to provide
936 themselves and their departments with information pertaining to teaching
937 ~~effectiveness~~~~teachy~~ as well as provide material for the assessment of the relationships
938 between SLO achievement and teaching. Exceptions are ~~non-~~
939 ~~instructional~~~~individualized~~ courses (e.g., research hours at the 899 and 999 levels,
940 ~~independent study~~). Faculty members engaged in individualized instruction should
941 be guided by the unit's criteria for evaluating such instruction (See C32.2).

942
943 **C34.2** Student ~~ratings-feedback~~ should never be the only source of information
944 about classroom teaching. Departments or units should be encouraged to develop a
945 comprehensive, flexible approach to teaching evaluation, where several types of
946 evidence can be collected, presented and evaluated as a portfolio. Peers,

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

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

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

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

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

998

Commented [mdr19]: 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 [MM20R19]: 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.

999 These materials, along with other documents reflecting the peer review process will
1000 be retained by the dean of the college, as will the candidates' files submitted for
1001 promotion or tenure consideration. Where actual copies of books or other creative or
1002 scholarly works are submitted, these materials may be returned to candidates upon
1003 completion of the review process. Upon request of the candidate following the
1004 completion of the review process for tenure or promotion, the dean will have a
1005 detailed discussion with the candidate and provide a written summary of the
1006 information leading to the decision. _

1007
1008 **C36.1** Outside reviewers. Persons outside the university who are recognized for
1009 excellence in the candidate's discipline or profession may be asked to participate as
1010 reviewers in evaluations for tenure and promotion. Each reviewer should be provided
1011 a written description of the candidate's responsibilities during the period being
1012 evaluated and pertinent materials from the candidate's file. Because outside
1013 reviewers are most likely to be familiar with and able to judge a candidate's research
1014 and other creative endeavor and are likely to review only that area of performance,
1015 this aspect should be recognized and the review weighted accordingly.

1016
1017 **C36.2** The value of outside reviews depends on the appropriate choice of objective
1018 reviewers. Comments from a candidate's major professor or graduate school
1019 classmates are generally less persuasive and should, as a rule, be avoided.

1020
1021 Other Considerations for ~~Issues of Professional Staff~~ Unclassified
1022 Professional Evaluations

1023
1024 ~~63 Employees within a department or unit who share suitably similar position~~
1025 ~~descriptions should be evaluated with uniform criteria, standards, and guidelines.~~
1026 ~~These procedures should be clearly applicable to those positions, but general enough~~
1027 ~~in nature to allow for consideration of variation among individual position~~
1028 ~~descriptions.~~

1029
1030 ~~These procedures must be mutually approved by a majority vote of the concerned~~
1031 ~~employees, by the department head or unit director, by the concerned dean or unit~~
1032 ~~administrator, and by the provost or concerned vice president.~~

1033
1034 ~~Provision must be made for review at least once every five years or more frequently~~
1035 ~~if it is determined to be necessary by any of the aforementioned parties. Dates of~~
1036 ~~revision (or the vote to continue without revision) must appear on the first page.~~
1037 ~~Copies are available to professional staff in their departmental or unit offices.~~

1038
1039 ~~C37.4 All evaluations of professional staff unclassified professionals should explicitly~~
1040 ~~consider the position description for that employee in the assessment of annual~~
1041 ~~performance. It should be understood that any position description will possess a~~
1042 ~~degree of generality and flexibility (i.e., "other duties as assigned") such that specific~~
1043 ~~duties may be adjusted in accordance with the evolving needs of a department or~~
1044 ~~unit. However, if a current position description is not on file with the appropriate~~
1045 ~~unit, or if the current duties of the employee differ in important respects from the~~
1046 ~~position description on file, a new position description should be developed in~~
1047 ~~consultation with the employee and mutually agreed upon by all concerned parties as~~
1048 ~~the basis for any valid evaluation.~~

1049
1050 In regard to unclassified professional staff evaluations, the following
1051 recommendations are made:

Commented [MM21]: 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 [MM22]: Mutual agreement for the position description should not be required. Instead the employee will be consulted.

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- a. Annual evaluations should be stated in terms of expectations. The categories should include at least the following: "exceeded expectations," "met expectations," "fallen below expectations but has met minimum acceptable levels of productivity," and "fallen below minimum acceptable levels of productivity." ~~"with the "minimum acceptable levels of productivity".~~ These categories should clearly reference the expectations/duties communicated by both included in the position description and the letter of expectations generated in the hiring process.
- b. Annual written evaluations should articulate the basis of the categorical rating assigned. This narrative should provide meaningful detail and/or guidance regarding how the professional staff member/employee might improve or maintain the assigned category of evaluation in the coming year.
- c. At minimum, all professional staff annual evaluations of unclassified professionals should include a written evaluation and a meeting between the evaluating supervisor and the professional staff member/employee. In the spirit of continuous improvement for both the unit and the professional staff member, this meeting should further elaborate upon the written evaluation, explore goals for the coming year, provide an opportunity to ask questions, and offer clear recommendations for how to address any articulated deficiencies.

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

Tenure and Promotion Procedures for Department Heads/Chairs

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

Evaluation of Graduate Teaching Assistants

~~C39~~ Graduate teaching assistants (GTAs) provide very valuable contributions to the missions of the university by participating in the instruction of undergraduate courses and in research and scholarly activities. GTAs' tasks may range from grading assignments to the instruction of one or more sections of courses under departmental supervision. When GTAs are involved in classroom teaching, their skills in communicating and interacting with students are important in the effective transfer of information. In order to assure high quality instruction, it is necessary that GTAs teaching for the first time at Kansas State University be assessed as to

Commented [MM23]: There is no such letter for all hires.

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1102 their instructional skills. Feedback from students in class is a valuable source for this
1103 information, and can be used for both ~~skills-improvement~~ of skills and for
1104 management purposes by the department.

1105
1106 Each academic department shall have or put into place procedures for obtaining
1107 student feedback on instructional skills of GTAs teaching for the first time at Kansas
1108 State University. Departments may use their own assessment and analysis
1109 procedures, or adopt the procedures available through the Office of
1110 Assessment Planning and Analysis (OPA). These assessments should be conducted
1111 during lecture, recitation or laboratory sessions about three weeks after the
1112 beginning of the semester. As a minimum, this process should include (1)
1113 assessment of basic communication skills such as enunciation, clarity, and loudness;
1114 (2) assessment of interactive skills in responding to student questions; (3)
1115 assessment as to whether the lecture presentations are organized; (4) provision for
1116 feedback to the GTA and implementation of corrective measures when needed; (5)
1117 collection of normative data; and (6) provision for a follow-up assessment if serious
1118 concerns arise. The results of the assessment should be provided to the GTA, the
1119 professor-in-charge, department/unit head, and provost. The results should also be
1120 transmitted to the dean of the appropriate college when serious concerns are raised
1121 about the GTA's communication skills. When GTAs are unable to meet a basic
1122 standard of communication performance as specified in the departmental/Office of
1123 Assessment ~~PA~~ procedures, corrective action should be taken to remedy the situation.

1124
1125 C39.1 Disputes concerning graduate assistants' (GTA/GRA/GA) performance are
1126 employment matters that should be originated with the appointing department and
1127 be addressed through normal supervisory channels. The students should begin
1128 addressing the concern with the assigned supervisor of the assistantship and, if
1129 necessary, proceed to the department or unit head. If the matter is not resolved at
1130 the department or unit level, the student may present it to the Dean of the College in
1131 which the (GTA/GRA/GA) is employed. Formal grievance procedures do not apply to
1132 these appointments (see Appendix A of the Graduate Handbook [http://www.k-](http://www.k-state.edu/grad/graduate-handbook/appendixa.html)
1133 state.edu/grad/graduate-handbook/appendixa.html).

1134
1135 ~~Annual Evaluation of Faculty and Unclassified Employees Professionals~~
1136 ~~Evaluation Annual Evaluation and Merit Increases for Faculty and~~
1137 ~~Professional Staff~~

1138
1139 C40 Bases for salary increases. —The evaluation will provide the basis for any annual
1140 merit pay increases in salary recommendations. See C30-C39 for additional guidance
1141 on evaluation processes. Annual written evaluations conducted for the purpose of
1142 determining merit salary increases are based on the distribution of responsibilities
1143 assigned, the relative difficulty and importance of these responsibilities, and the level
1144 of success with which each was performed.

1145
1146 ~~C41.1 Development and revisions of the evaluation system. Each unit that includes~~
1147 ~~faculty and/or unclassified professional staff must have a system for annual~~
1148 ~~evaluation of faculty and professional staff unclassified professionals on regular~~
1149 ~~appointment half time or greater. The system of evaluation must include a statement~~
1150 ~~of the department's/unit's evaluation criteria and standards. The evaluation will~~
1151 ~~provide the basis for annual merit salary recommendations. See C30-C39 for~~
1152 ~~additional guidance. — General Issues of Faculty Evaluation.~~

Field Code Changed

Commented [JH24]: 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

1154 ~~C41.2~~ The responsibility for developing and revising an annual evaluation system for
1155 faculty and unclassified professional staff rests primarily with the department's/unit's
1156 faculty and unclassified professional staff in consultation with the department's/unit's
1157 administrative head/chair, dean, vice president, provost or president, as appropriate,
1158 depending upon the department's/unit's reporting structure. At the time of initial
1159 consideration, and with later revision of the system, faculty and unclassified
1160 professional staff are expected to provide opinions about the department's/unit's
1161 evaluation system. The system that is developed should be consistent with the
1162 university's goals as well as those of the unit. Each administrative unit will develop a
1163 procedure in accordance with the University Handbook.

1164
1165 ~~C41.3~~ A unit's evaluation system must be mutually approved by a majority vote of
1166 the faculty and/or unclassified professional staff in the unit, by the unit's
1167 administrative head, and by the dean or appropriate vice president. The date of final
1168 approval must appear on the first page. Provision must be made for review of the
1169 system at least once every five years or more frequently if it is determined to be
1170 necessary by any of the three aforementioned parties. Revisions also must be
1171 approved by the process described above. Dates of revision (or the vote to continue
1172 without revision) must appear on the first page.

1173 ~~C41.4~~

1174
1175 ~~(a) Performance evaluations of all heads/chairs/directors and other administrative~~
1176 ~~supervisors in academic and non-academic departments/units are completed~~
1177 ~~annually for merit increases. Individuals under their supervision, as well as other~~
1178 ~~faculty, unclassified professionals, classified staff, and clientele as specified in the~~
1179 ~~department's/unit's evaluation system, will be asked to provide input identifying~~
1180 ~~strengths, weaknesses and issues relevant to the administrator's annual~~
1181 ~~performance.~~

Commented [MDR25]: This section has been moved to Section C43.

1182 ~~(b) At least once every five years, the responsible dean, vice provost, vicepresident,~~
1183 ~~provost or president depending upon the department's/unit's reporting structure, will~~
1184 ~~issue a request for input from individuals regarding the performance of their~~
1185 ~~department/unit administrator(s). Please follow the process outlined in B123. (FS~~
1186 ~~11/10/09 revisions)~~

Commented [MDR26]: This section has been moved to C159.

1187
1188 **C42 Evaluation period.**

1189
1190 The evaluation period will be the same for all individuals in the department/unit, with
1191 the possible exception of first year appointees and individuals who have been on
1192 leave for all or a part of the year. The unit's evaluation system will normally be
1193 based on performance during the 12-month evaluation period ending December 31.
1194 However, department/units may, on the basis of a majority vote choose any other
1195 12-month period for evaluation (e.g., the fiscal year from July 1 to June 30).
1196 Depending on its goals and objectives, a department/unit's evaluation system may
1197 include accomplishments that have occurred over a period of time longer than one
1198 year. It also may specify that a rolling average of the person's annual evaluation
1199 results for several preceding years be used to determine relative salary
1200 recommendations to minimize inequities due to variable legislative actions from year
1201 to year. Faculty and unclassified professionals in such units will receive merit salary
1202 adjustments, if any, up to 12 months after the conclusion of the evaluation period.
1203

1204 **C42.1** For first-year appointees, units have the option of a) recommending an
1205 increase based on the individual's evaluation (adjusted proportionally to encompass
1206 the entire year), b) recommending an average increase, or c) recommending the
1207 larger of the above, since the length of time for evaluating performance was limited.
1208 Such individuals are also eligible for salary adjustments on bases outside the annual
1209 evaluation (e.g., market, equity).

1211 **C42.2** Faculty and ~~unclassified~~ unclassified professionals ~~staff~~ on leave. The unit may
1212 evaluate individuals who were on sabbatical leave or ~~on other leave without pay~~ for a
1213 portion of the year on the basis of their performance during the period they were
1214 engaged in university assignments, and, if so, merit recommendations should be
1215 consistent with this evaluation (adjusted proportionally to encompass the entire
1216 year). If the leave was for the entire year, the individual's average evaluation for
1217 recent years, not to exceed six years, may serve as the basis of the merit increase
1218 recommendation. Such individuals are also eligible for salary adjustments on bases
1219 outside the annual evaluation.

1221 **Annual Evaluation of Administrators**

1222 ~~Includes performance evaluations of all heads/chairs/directors/associate and~~
1223 ~~assistant deans and other unclassified professional administrative supervisors.~~

1226 **C431.4**

1227 ~~(a)~~ Performance evaluations of all heads/chairs/directors/associate and assistant
1228 deans and other administrative supervisors in academic and non-academic
1229 departments/units are completed annually for merit increases. Individuals under
1230 their direct supervision, as well as other faculty, unclassified professionals, university
1231 support staff, and clientele as specified in the department's/unit's evaluation system,
1232 ~~may~~ be asked to provide input identifying strengths, weaknesses and issues
1233 relevant to the administrator's annual performance. (FSM 11/10/09 revisions) ~~The~~
1234 ~~method used to collect feedback should be private and confidential, and the feedback~~
1235 ~~shall be anonymous to the individual being reviewed. However, absolute~~
1236 ~~confidentiality and anonymity cannot be guaranteed, as when safety, security or due~~
1237 ~~process requires disclosure. An example of a method that may be used to protect the~~
1238 ~~privacy and confidentiality of those submitting annual evaluation materials would be~~
1239 ~~electronic surveys, available through the Office of Planning and Analysis.~~
1240 ~~Confidentiality and anonymity cannot be guaranteed, such as when safety, security,~~
1241 ~~or due process requires disclosure. Individuals also may choose to use other~~
1242 ~~methods to provide confidential feedback to the supervisor of the individual being~~
1243 ~~reviewed. A description of the five-year review process for administrators is given in~~
1244 ~~Section C159.~~

1245 **Responsibilities of Faculty and Faculty and Unclassified** 1246 **Employees Professionals Professionals Who Are Evaluated**

1248 **C45.1** Each faculty member ~~and/or unclassified professional person~~ will meet
1249 annually with the unit head to jointly establish goals and objectives in research and
1250 other creative endeavors, teaching, extension, and directed and non-directed service
1251 for the upcoming evaluation period and to discuss their relative importance within
1252 the context of the unit's goals. ~~Each unclassified professional staff person will meet~~
1253 ~~annually with the unit head to jointly establish goals and objectives related to the~~
1254 ~~responsibilities set forth in their his/her job description for the year. For all faculty~~

Commented [MDR27]: This is new language that provides additional explanation without changing policy.

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

Commented [MM30]: 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 [MDR31]: Comes from Section C41.4 in the current version of the UH.

Commented [MDR32]: This is a new statement suggested by the University Handbook and Policy Committee.

1255 ~~and unclassified professionals-employees.~~ These goals and objectives should reflect
1256 the relative percentages of time and effort the person plans to allocate to the
1257 appropriate areas in the upcoming period. It is expected that the previous year's
1258 statement will be considered during the annual evaluation and goal setting process.
1259 ~~For faculty,~~ the relative emphasis placed on research and other creative endeavors,
1260 teaching, extension, and directed and non-directed service may vary over the course
1261 of the person's career. ~~For unclassified professionals-staff,~~ major changes in duties
1262 and responsibilities (either in response to the changing needs of the unit or in
1263 consideration of employee abilities) should be discussed and mutually agreed upon
1264 and ultimately reflected in an updated position description.

1266 **C45.2** Each ~~unclassified employee faculty and/or unclassified professional~~ faculty
1267 ~~and/or unclassified professional~~ will provide an annual written summary of
1268 accomplishments and activities in accordance with the guidelines provided by the
1269 unit's statement of criteria, standards, and procedures.

1271 **C45.3** Each ~~unclassified employee~~faculty and unclassified professional ~~faculty and/or~~
1272 ~~unclassified professional~~ will review, and must have the opportunity to discuss, her
1273 or his written evaluation with the individual who prepared it. Before the unit
1274 head/chair submits it to the next administrative level, each ~~faculty or~~ faculty or
1275 ~~unclassified professional~~professional person employee must sign a statement
1276 acknowledging the opportunity to review and to discuss the evaluation and his/her
1277 relative position in the planned assignment of merit salary increases within the unit.
1278 Because the amount of funds available for merit increases is generally not known at
1279 this time, specific percentage increases will not normally be discussed. Within seven
1280 working days after the review and discussion, ~~faculty and~~ faculty and/or unclassified
1281 ~~professionals~~professionals employees have the opportunity to submit written
1282 statements of unresolved differences regarding their evaluations by the unit
1283 head/chair to the unit head/chair ~~and to the next administrative level.~~ The
1284 statement of unresolved differences should be attached to and maintained with the
1285 evaluation.

1287 **Responsibilities of Unit/Department Heads/Chairs Evaluators**

1289 **C46.1** The unit head/chair will prepare by January 31, a written evaluation for each
1290 faculty and professional staff person, whether full or part-time, regularly or
1291 term appointed ~~faculty or unclassified professional person.~~ Quantitative ratings may
1292 be used to summarize evaluative judgments; however, the basis for these judgments
1293 must be explained by a narrative account. The evaluation shall provide succinct
1294 assessments of effectiveness in performing each responsibility, and these statements
1295 must include summaries of the achievements and evidence that support these
1296 assessments. ~~Those appointed to regular part-time positions must be evaluated;~~
1297 ~~however, evaluations are not required for an individual on a term appointment, as~~
1298 ~~defined in C11, even if that employee will be re-hired for another year.~~

1300 **C46.2** The unit head/chair will recommend a salary adjustment for each person
1301 evaluated. The recommended percentage increases based on the annual evaluation
1302 for persons with higher levels of accomplishment shall exceed those for persons with
1303 lower levels of accomplishment. If merit salary categories are utilized, then the
1304 percentage recommended for persons in the first category will be higher than those
1305 for the second category, which in turn shall exceed those for level of accomplishment
1306 in the third category, etc. As a guide, average percentage increases in the highest
1307 category are expected to be about twice those in the lowest category; this ratio is

Commented [MM33]: Cannot have mutual agreement to changes in job duties. Instead it will be discussed.

Commented [JH34]: 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 [MDR35]: This is new language but it provides clarification without changing the policy.

Commented [MM36]: This is changing policy to require annual evaluation of all faculty and professional staff, both regular and term.

1308 expected to fluctuate both with the degree to which members of the unit differ in
1309 effectiveness and with the degree to which funds are available. These
1310 recommendations are made before the legislature has appropriated funds to support
1311 salary increases. Therefore, percentage increases should be projected and identified
1312 for each individual or each merit salary category, if used, based upon the governor's
1313 budget recommendations. Recommendations of dollar and percentage increases
1314 should not be communicated to individuals until the appropriation for salary
1315 increases is known.

1316
1317 **C46.3** The unit head/chair will ensure that each ~~faculty or~~ faculty or unclassified
1318 professional ~~professional employee~~ has had the opportunity to review and discuss his
1319 or her written evaluation. Within seven working days after the review and discussion,
1320 ~~faculty or~~ unclassified employees ~~professionals~~ have the opportunity to submit
1321 written statements of unresolved differences regarding their evaluations to the
1322 unit/department head/chair, which will only then be forwarded to the next
1323 administrative level.

1324
1325 **C46.4** The unit head/chair who prepared the evaluations must submit the following
1326 items to the appropriate dean (or, for support units, the appropriate administrator):
1327 (See schedule as published on the provost's web site at [http://www.k-](http://www.k-state.edu/provost/resources/dhmanual/master.html)
1328 [state.edu/provost/resources/dhmanual/master.html](http://www.k-state.edu/academicpersonnel/depthead/manual/master.html)~~http://www.k-~~
1329 ~~state.edu/academicpersonnel/depthead/manual/master.html~~).

- 1330 a. A copy of the evaluation system used to prepare the evaluations.
- 1331 b. A written evaluation for each regularly appointed faculty or unclassified
1332 unclassified professional ~~staff person~~ employed for at least three months
1333 during the calendar year.
- 1334 c. A recommended merit salary adjustment for each faculty member or
1335 unclassified unclassified professional ~~staff person~~ that should be based
1336 directly on the person's evaluation.
- 1337 d. Documentation (e.g., a statement signed by the individual evaluated)
1338 establishing that there was an opportunity to examine the written evaluation
1339 and to discuss with the evaluator the individual's resulting relative standing
1340 for the purpose of merit salary increase in the unit.
- 1341 e. Any written statements submitted by faculty or unclassified unclassified
1342 professionals ~~staff~~ of unresolved differences regarding their evaluations.
- 1343 f. Any recommendations for salary adjustments on bases outside of the annual
1344 evaluation, together with documentation which supports these
1345 recommendations.

1346 **Responsibilities of Deans and Comparable Administrators**

1347
1348
1349 **C47.1** ~~Responsibilities of deans and comparable administrators.~~ The
1350 dean/comparable administrator will review evaluation materials and
1351 recommendations to ensure:

- 1352 a. merit evaluations are consistent with the criteria and procedures approved for
1353 the unit,
- 1354 ~~b. there are no inequities in the recommendations based upon race, color, ethnic
1355 or national origin, sex, sexual orientation, gender identity, religion, age,
1356 ancestry, disability, military status, or veteran status,~~
1357 e-b. merit salary recommendations are consistent with merit evaluations,
1358 and
- 1359 c. recommendations for salary adjustments on bases outside of the annual
1360 evaluations are adequately and rationally documented.

Commented [MM37]: 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.

1361
1362 **C47.2** A dean/comparable administrator who does not agree with recommendations
1363 for merit salary increases made by a unit head/chair must attempt to reach
1364 consensus through consultation. If this fails, the dean's/comparable administrator's
1365 recommendation will be used. If any change has been made, the dean/comparable
1366 administrator must notify, in writing, the individual of the change and its rationale.
1367 Within seven working days after notification, such individuals have the opportunity to
1368 submit written statements of unresolved differences regarding their evaluations to
1369 the dean/comparable administrator and to the provost or appropriate vice president.
1370 All statements of unresolved differences will be included in the documentation to be
1371 forwarded to the next administrative level. All recommendations are forwarded to the
1372 provost/appropriate vice president.

1373
1374 **C47.3** The dean/comparable administrator should provide guidelines for making
1375 salary adjustments on bases outside of the annual evaluation and for justifying these
1376 requests through appropriate documentation. Approved requests are forwarded to
1377 the provost/appropriate vice president.

1378
1379 **C47.4** The dean/comparable administrator must forward to the provost/vice
1380 president all salary recommendations and supporting documentation (written
1381 evaluation; written statements of unresolved differences; recommended actions;
1382 justifications for salary adjustments on bases outside the annual evaluation process).
1383 (See schedule as published by the provost each October).

1384
1385 **Responsibilities of the President, Provost, and Vice Presidents**

1386 **C48.1** ~~Responsibilities of the provost.~~ The president/provost/vice president will
1387 review evaluation materials and recommendations for those individuals reporting to
1388 them to ensure:
1389 a. the evaluation process was conducted in a manner consistent with the criteria
1390 and procedures approved by the unit,
1391 ~~b. there are no inequities in the recommendations based upon race, color, ethnic~~
1392 ~~or national origin, sex, sexual orientation, gender identity, religion, age,~~
1393 ~~ancestry, disability, military status, or veteran status,~~
1394 e-b. merit salary recommendations are consistent with merit evaluations,
1395 and
1396 d-c. recommendations for salary adjustments on bases outside of the
1397 annual evaluations are adequately documented.

1398
1399 **C48.2** If the president/provost/vice president does not agree with recommendations
1400 for salary increases made by subordinate administrators, an attempt must be made
1401 to reach consensus through consultation. If this fails, the president's/provost's/vice
1402 president's recommendation will be used. The individual affected by the
1403 disagreement must be notified by the president/provost/vice president, in writing, of
1404 the change and its rationale.

1405
1406 **C48.3** The dean or appropriate vice president will issue to each continuing faculty
1407 and/or ~~unclassified-unclassified~~ professional staff individual a contract which includes
1408 the individual's salary for the next fiscal year.

1409
1410 **Professorial Performance Award**

1411 **C49.1** Significance of the Award. The Professorial Performance Award rewards strong
1412 performance at the highest rank with a base salary increase in addition to that
1413 provided for by the annual evaluation process. The Performance Award review, it is
1414 important to note, is not a form of promotion review. It does not create a "senior"
1415 professoriate. Furthermore, the Professorial Performance Award is ~~neither~~ a right
1416 accorded to every faculty member at the rank of Professor, ~~n~~. Nor is it granted
1417 simply as a result of a candidate's routinely meeting assigned duties with a record
1418 free of notable deficiencies.

1419 **C49.2** Development and Revisions of the Professorial Performance Award Process.
1420 Departments develop their own mechanisms for review as they have for annual merit
1421 evaluation. As is the case in merit review, it may be that responsibility for the
1422 evaluation of materials involves personnel of any rank or several ranks. Each
1423 department will also specify criteria according to which candidates qualify for the
1424 award according to its own disciplinary standards of excellence. Nonetheless, all such
1425 criteria for the award will adhere to the following guidelines: 1. The candidate must
1426 be a full-time professor (either tenured or non-tenure-track) and have been in rank
1427 at Kansas State University at least six years since the last promotion or Professorial
1428 Performance Award; 2. The candidate must show evidence of sustained productivity
1429 in at least the last six years before the performance review; and 3. The candidate's
1430 productivity and performance must be of a quality comparable to that which would
1431 merit promotion to professor according to current approved departmental standards.

1432 **C49.3** The Professorial Performance Award document must be approved by a
1433 majority vote of the faculty in the department, by the department's administrative
1434 head, by the dean and by the provost. Provision must be made for a review of the
1435 document at least every five years as a part of the review of the procedures for
1436 annual merit evaluation or whenever standards for promotion to full professor
1437 change.

1438 **C49.4** Recommendations for the Professorial Performance Award will follow the
1439 timeline associated with the annual evaluation review outlined in the University
1440 Handbook.

1441 **C49.5** Responsibilities of Professorial Performance Award Candidates. Eligible
1442 candidates for review compile and submit a file that documents her or his
1443 professional accomplishments for at least the previous six years in accordance with
1444 the criteria, standards, and guidelines established by the department. The
1445 department head/chair, in conjunction with whatever mechanism departmental
1446 procedures specify for the purposes of determining eligibility for the Professorial
1447 Performance Award, will prepare a written evaluation of the candidate's materials in
1448 terms of the criteria, standards, and guidelines established, along with a
1449 recommendation for or against the award.

1450 **C49.6** Each candidate for the award will have the opportunity to discuss the written
1451 evaluation and recommendation with the department head, and each candidate will
1452 sign a statement acknowledging the opportunity to review the evaluation. Within
1453 seven working days after the review and discussion, each candidate has the
1454 opportunity to submit written statements of unresolved differences regarding his or
1455 her evaluation to the department head/chair and to the dean. A copy of the
1456 department head's/chair's written recommendation will be forwarded to the
1457 candidate.

1458 **C49.7** The department head must submit the following items to the appropriate
1459 dean:

- 1460 a. A copy of the evaluation document used to determine qualification for the
1461 award,
- 1462 b. Documentation establishing that there was an opportunity for the candidate to
1463 examine the written evaluation and recommendation,
- 1464 c. Any written statements of unresolved differences concerning the evaluation,
- 1465 d. The candidate's supporting materials that served as the basis of adjudicating
1466 eligibility for the award.

1467 **C49.8** Responsibilities of the Deans. The dean will review all evaluation materials
1468 and recommendations to ensure that the evaluations are consistent with the criteria
1469 and procedures established by the department for the Professorial Performance
1470 Award.

1471 **C49.9** A dean who does not agree with recommendations for the Professorial
1472 Performance Award made by a department head/~~chair~~ must attempt to reach
1473 consensus through consultation. If this fails, the dean's recommendation will be
1474 used. If any change has been made to the department head's recommendations, the
1475 dean must notify the candidate, in writing, of the change and its rationale. Within
1476 seven working days after notification, such candidates have the opportunity to
1477 submit written statements of unresolved differences regarding their evaluations to
1478 the dean and to the provost. All statements of unresolved differences will be included
1479 in the documentation to be forwarded to the next administrative level. All
1480 recommendations are forwarded to the provost.

1481 **C49.10** Responsibilities of the Provost. The provost will review all evaluation
1482 materials and recommendations to ensure that ~~(a.)~~ the evaluation process was
1483 conducted in a manner consistent with the criteria and procedures approved by the
1484 unit, ~~and (b.) there are no inequities in the recommendations based upon race,~~
1485 ~~color, ethnic or national origin, sex, sexual orientation, gender identity, religion, age,~~
1486 ~~ancestry, disability, military status, or veteran status.~~

1487 **C49.11** If the provost does not agree with recommendations for Professorial
1488 Performance Awards made by subordinate administrators, an attempt must be made
1489 to reach consensus through consultation. If this fails, the provost's decision will
1490 prevail. The candidate affected by the disagreement must be notified by the provost,
1491 in writing, of the change and its rationale.

1492 **C49.12** Basis and source of the award amount. The Professorial Performance Award
1493 will be 8% of the average salary of all full-time faculty (instructor through professor
1494 excluding administrators at those ranks). However, funding for the award cannot
1495 come out of the legislatively-approved merit increment.

1496 **C49.13** Cost of Awards. In the event that financial conditions in a given year
1497 preclude awarding the full amount as designated in C49.12, the provost shall in
1498 concert with the vice president for administration and finance adopt a plan to phase
1499 in the full award for all that year's recommended and approved candidates.

1500 **C49.14** Upon official notification from the Office of the Provost, the dean will
1501 consolidate the Professorial Performance Award with salary increases resulting from
1502 annual evaluation and issue the candidate a contract that includes the candidate's

1503 salary for the next fiscal year. The Professorial Performance Award will become part
1504 of the professor's base salary.

1505
1506 **Reappointment: Faculty on Probationary Appointments**
1507

1508 **C50.1** Definition. Faculty members on probationary appointments are evaluated
1509 annually to determine whether or not they will be reappointed for another year.
1510 Faculty members must be explicitly informed by the dean in writing of a decision not
1511 to renew their appointments in accordance with The Standards of Notice of Non-
1512 Reappointment. (See C162.3 and Appendix A.) These annual evaluations also serve
1513 as an opportunity to provide feedback to a faculty member on probationary
1514 appointment about his or her performance in comparison to the department's criteria
1515 and standards for tenure.

1516
1517 **C50.2** Reappointments that confer tenure are discussed in C70-C116.

1518
1519 **C51** Departments' charge to establish criteria and standards. See C30-38: General
1520 Issues of Faculty Evaluation. Copies of these criteria and standards are available to
1521 faculty members in their departmental or unit offices.

1522
1523 **C52** Candidate's responsibilities. The candidate compiles and submits documentation
1524 of his or her professional accomplishments in accordance with the criteria, standards,
1525 and guidelines established by the department.

1526
1527 **C53.1** Departmental procedures. It is the responsibility of the department
1528 ~~head/chair/head~~ to make the candidate's reappointment file available to all tenured
1529 faculty members in the department and other eligible faculty as determined by
1530 departmental policy. A cumulative record of written recommendations and
1531 accompanying explanations forwarded to the candidate from previous reappointment
1532 meetings, and any written comments from relevant individuals outside the
1533 department will also be made available to the eligible faculty (See C53.2). As part of
1534 this process, the department ~~head/chair/head~~ and the eligible faculty will meet at
1535 least fourteen calendar days after the review documents are made available, to
1536 discuss the candidate's eligibility for reappointment and progress toward tenure.
1537 Subsequent to this meeting there will be a ballot of the eligible faculty on
1538 reappointment of the candidate. Any member of the eligible faculty may, prior to the
1539 submission of any recommendation to the department ~~head/chair/head~~, request the
1540 candidate meet with the eligible faculty to discuss, for purposes of clarification, the
1541 record of accomplishment submitted by the candidate.

1542
1543 **C53.2** For individuals with appointments in more than one unit or department,
1544 comments may be solicited from other eligible faculty members in the college or
1545 university relevant to the assessment of the candidate's performance. In the case of
1546 K-State Research and Extension faculty members or faculty members whose primary
1547 responsibilities are in directed service (e.g., librarians and clinicians), the comments
1548 of various clientele served may be solicited as part of the evaluation for
1549 reappointment.

1550
1551 **C53.3** The department ~~head/chair/head~~ will forward a written recommendation letter
1552 which includes his/her recommendation and the rationale for the recommendation
1553 and the faculty vote and accompanying explanations to the dean, along with the
1554 candidate's complete file, the majority recommendation and unedited written
1555 comments of each of the department's tenured faculty members. The department

Commented [MM38]: Appendix A needs to be deleted. C162.3 contains all relevant information and can be a standalone reference.

1556 ~~head/chair/head~~ will also meet with the candidate to discuss the separate issue of
1557 the candidate's progress toward tenure. The department ~~head's/chair/head's written~~
1558 ~~recommendation/letter alone and accompanying explanations alone~~ will be made
1559 available to the candidate and will become part of the candidate's reappointment file.
1560 (See [C35](#) regarding confidentiality of peer evaluations.)

1561
1562 **C54** College procedures. The dean, along with the recommendation of the
1563 department head/~~chair~~ and, on behalf of the college, forwards ~~the letter a written~~
1564 ~~recommendation and accompanying explanation~~ to the provost, and the majority
1565 recommendation and any written comments (unedited) of the faculty members in
1566 the department. The candidate's complete file will be available to the provost upon
1567 his/her request.

Commented [MDR39]: The changes reflect current practice.

1568
1569 **C55** University procedures. Final authority in resolving conflicting opinions regarding
1570 reappointment is delegated to the provost.

1571
1572 **C56** Notification of candidates. Candidates are informed of the college's
1573 recommendation prior to the time that the file and recommendations are forwarded
1574 to the provost.

1575 **Reappointment: Regular ~~Instructor-Non-Tenure Track~~ Appointments**

1576
1577
1578 **C60** Definition. Faculty members on regular ~~non-tenure track/instructor~~
1579 appointments ([see C10](#)) are evaluated annually to determine whether or not they will
1580 be reappointed for another year. These faculty members must be explicitly informed
1581 in writing of a decision not to renew their appointments in accordance with The
1582 Standards of Notice of Non-Reappointment. (See ~~Appendix AC162.3~~.)

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1583
1584 **C61** Departments' charge to establish criteria and standards. See [C30-38](#): General
1585 Issues of Faculty Evaluation. Copies of these criteria and standards are available to
1586 faculty members in their departmental or unit offices. It must be clear that an
1587 effective instructor on a regular appointment may not be denied reappointment in
1588 order to avoid granting benefits.

1589
1590 **C62** Candidate's responsibilities. The candidate compiles and submits documentation
1591 of his or her professional accomplishments in accordance with the criteria, standards,
1592 and guidelines established by the department.

1593
1594 **C63.1** Departmental procedures. It is the responsibility of the department head to
1595 make the candidate's file available to the department faculty members who are
1596 eligible to make recommendations. The department head/~~chair~~ is advised by the
1597 eligible faculty members of the department regarding the qualifications of the
1598 candidate for reappointment. Any member of the eligible faculty may, prior to the
1599 submission of any recommendations to the department head/~~chair~~, request that a
1600 candidate meet with the eligible faculty to discuss, for purposes of clarification, the
1601 record of accomplishment submitted by that candidate.

1602
1603 **C63.2** Comments may be solicited from other faculty members and department
1604 heads/~~chairs~~ in the college or university. In the case of extension faculty members or
1605 faculty members whose primary responsibilities are Directed Service (e.g., librarians
1606 and clinicians), the comments of various clientele served may be solicited as part of
1607 the evaluation for reappointment.

1608

1609 **C63.3** The department head/[chair](#) forwards a written recommendation and
1610 accompanying explanation to the dean, along with the candidate's complete file, and
1611 the majority recommendation and written comments (unedited) of the departmental
1612 faculty members.

1613
1614 **C64** College procedures. The dean, on behalf of the college, forwards a written
1615 recommendation and accompanying explanation to the provost, along with the
1616 candidate's complete file, the recommendations of the department head/[chair](#), and
1617 the majority recommendation and any written comments (unedited) of the faculty
1618 members in the department.

1619
1620 **C65** University procedures. Final authority in resolving conflicting opinions regarding
1621 reappointment is delegated to the provost.

1622
1623 **C66** Notification of candidates. Candidates are informed of the college's
1624 recommendation prior to the time that the file and recommendations are forwarded
1625 to the provost.

1626
1627 **Tenure**

1628
1629 **C70** Definition. Tenure is a continuous appointment that can be terminated only in
1630 unusual circumstances and then only after due process has been accorded the
1631 individual in question. See Appendix C for a discussion of the AAUP-AAC 1940
1632 Statement of Academic Freedom and Tenure.

1633
1634 **Regents' Tenure Policy**

1635
1636 **C71** The Board of Regents adopted on April 18, 1947, the 1940 AAUP principles
1637 governing tenure of faculty members. (At Kansas State University, the term teacher
1638 as used in the following text is interpreted to refer to any member of the faculty.)

1639
1640 **C72** Section A: After the expiration of a probationary period, teachers or
1641 investigators should have permanent or continuous tenure, and their services should
1642 be terminated only for adequate cause, except in the cases of retirement for age,
1643 program or unit discontinuance, or under extraordinary circumstances because of
1644 financial exigencies. (Kansas does not have a mandatory retirement age for state
1645 employees. State law prescribes that all appointments not under the State Civil
1646 Service shall expire with the end of the fiscal year on June 30. However, unless
1647 previous notice has been given, all [regular](#) appointments of full-time faculty
1648 members are automatically renewed.)

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

1662 total probationary period in the academic profession is extended beyond the normal
1663 maximum of seven years; except, when the interest of both parties may best be
1664 served by mutual agreement at the time of the initial employment, Kansas State
1665 University may agree to allow for more than four years of probationary service
1666 provided the probationary period at Kansas State University does not exceed seven
1667 years. Notices should be given at least one year prior to the expiration of the
1668 probationary period, if the teacher is not to be continued in service after the
1669 expiration of that period. (See AAUP's Standards of Notice of Non-
1670 Reappointment, Appendix A.)

1671
1672 **C74** During the probationary period a teacher has the academic freedom that all
1673 other members of the faculty have.

1674
1675 **C75** Termination for cause of a continuous appointment or dismissal for cause
1676 previous to the expiration of a term appointment shall, upon request of the faculty
1677 member, be considered by the Grievance Chair and/or Panel, which will make
1678 recommendations to the administration. In all cases where the facts are in dispute,
1679 the accused teacher should be informed before the hearing in writing of the charges
1680 against him/her and should have the opportunity to be heard in his/her own defense
1681 by all bodies that pass judgment upon his/her case. He/she should be permitted to
1682 have an advisor of his/her own choosing who may act as counsel. There should be a
1683 full stenographic record of the hearing available to the parties concerned. In the
1684 hearing of charges of incompetence the testimony should include that of teachers
1685 and other scholars, either from his/her own or from other institutions. Teachers on
1686 continuous appointment who are dismissed for reasons not involving moral turpitude
1687 should receive their salaries for at least a year from the date of notification of
1688 dismissal whether or not they are continued in their duties at the institution. (At
1689 Kansas State University, graduate assistants are not considered faculty and, as such,
1690 formal grievance procedures for faculty do not apply to disputes regarding graduate
1691 assistants' performance. See C39.1 and the Foreword to the University Handbook.)

1692
1693 **C76** Termination of a continuous appointment because of financial exigency should
1694 be demonstrably bona fide.

1695
1696 **C77** Within this general policy Kansas State University may make such operating
1697 regulations as it deems necessary, subject to the approval of the Board of Regents.

1698
1699 **C78** Amendments to the above policy have been made as follows: Tenure may be
1700 acquired only by the members of the Kansas State University faculty who are on
1701 tenure track appointments, with the rank of assistant professor or higher. (This
1702 amendment applies only to those appointed on or after July 1, 1960.) [-----
1703 Lists of individuals approved by the chief executive officer for tenure at a Regents'
1704 institution shall be submitted by the chief executive officer to the Board of Regents
1705 for its information at the April meeting. Decisions of the president shall be final and
1706 are not subject to further administrative review by any officer or committee of the
1707 institution or by the Board of Regents. Any tenure recommendation approved by the
1708 Board of Regents shall be limited to tenure for the recommended individual at the
1709 institution consistent with the tenure policies of that institution.

1710
1711 **Kansas State University policy additions to Regents' Tenure Policy:**
1712 The following additional details concerning tenure ~~were have been~~ adopted by
1713 Kansas State University from the AAUP Advisory Letter No.13 (AAUP Bulletin, Spring
1714 1964).

Commented [MDR40]: This language is not consistent with Sections C81, C82.2 and C13. It is critical that this be cleaned up.

Commented [MM41R40]: We included tenure track appointments to make it clear that tenure may be acquired only by those in tenure track positions.

1715
1716 **C80.1** The duration of the probationary period relative to tenure varies with rank
1717 and experience. In its approach to the probationary period and to the award of
1718 continuous tenure, the university seeks to follow the spirit of the AAUP Advisory
1719 Letter No.13 (AAUP Bulletin, Spring 1964) as it explained its understanding of the
1720 probationary period:
1721

1722 **C80.2** "The beginning faculty member is serving a kind of internship . . . and . . .
1723 he/she may not always be the best judge of his/her own effectiveness. An occasional
1724 word of caution, advice, or encouragement from experienced colleagues can
1725 therefore be very salutary. If the time comes that the department, division, and
1726 administration conclude that his/her connection with the institution should be
1727 severed, we would say that responsible officials of the institution should feel
1728 completely free to explain to him/her the basis of their decision. We could not agree,
1729 however, that if reasons are given for the non-reappointment the institution assumes
1730 a burden of demonstrating the validity of its reasons. To be sure, the faculty member
1731 may question whatever reasons are given him/her. But unlike the tenured teacher,
1732 he/she does not as probationer have what can be considered a claim to his/her
1733 position, and it would thus seem unreasonable to compel the institution to account
1734 for this exercise of its prerogative, much less carry the burden of justifying its
1735 decision.
1736

1737 **C80.3** "These remarks are made, I am sure you understand, on the assumption that
1738 the faculty member has had an appropriate evaluation by his/her colleagues and that
1739 he/she is not being given notice for reasons which violate his/her academic
1740 freedom. . . .I think I must say further that our purpose is to permit the institution,
1741 within the limits of academic freedom, the utmost latitude in determining who will be
1742 retained for tenure appointments. Because the granting of tenure is tantamount to a
1743 lifetime commitment, we feel that the institution should be left without a reasonable
1744 doubt as to the faculty member's qualifications for tenure before it reaches a
1745 favorable decision" (AAUP Advisory Letter No.13, AAUP Bulletin, Spring 1964).
1746

1747 Other Considerations

1748 ~~C81 Ranks for acquiring tenure. Tenure may be granted to those on full-time~~
1749 ~~probationary appointments at the rank of associate professor or above. Tenure may~~
1750 ~~be granted simultaneously with promotion to the rank of associate professor.~~
1751 ~~Instructors may not be accorded tenure. Assistant professors may not be accorded~~
1752 ~~tenure except in special circumstances approved by the provost. Years of~~
1753 ~~appointment as a probationary instructor (see C12) may be credited as part of a~~
1754 ~~probationary period for gaining tenure if stipulated in the individual's contract.~~
1755 ~~Service in a term appointment at the rank of assistant professor or above may count~~
1756 ~~as part of a probationary period for gaining tenure.~~
1757

1758 **C82.1** The Probationary period. Prior to being considered for tenure at Kansas State
1759 University, a faculty member is annually appointed during an extended probationary
1760 period to assess the candidate's ability to contribute to the expertise expected of the
1761 University's faculty as defined by his/her unit's criteria, standards, and guidelines
1762 (See C31.1 - C31.3).
1763

1764 **C82.2** Assistant professor. Tenure is not granted below the rank of associate
1765 professor (effective July, 1994) except in special circumstances approved by the
1766 provost. For persons appointed at the rank of assistant professor, the maximum
1767 probationary period for gaining tenure and promotion to associate professor consists

Commented [MM42]: This is redundant to the information provided in C13 so it was deleted.

Commented [MM43]: C12 discussed instructor ranks and states, "Service in these positions is not credited toward tenure."

1768 of six (6) regular annual appointments at Kansas State University at a probationary
1769 rank. In these cases, decisions of tenure must be made before or during the sixth
1770 year of probationary service. Candidates not approved for tenure during the sixth
1771 year of service will be notified by the appropriate dean that the seventh year of
1772 service will constitute the terminal year of appointment.

1773
1774 **C82.3** Associate professor and professor. For persons appointed at the rank of
1775 associate professor or professor, the maximum probationary period for gaining
1776 tenure consists of five (5) regular annual appointments at Kansas State University at
1777 probationary ranks. Tenure decisions must be made before or during the fifth year of
1778 probationary service. Candidates not approved for tenure during the fifth year of
1779 service will be notified by the appropriate dean that the sixth year of service will
1780 constitute the terminal year of appointment.

1781
1782 **C82.4** Faculty members on probationary appointments who have met the criteria
1783 and standards for tenure prior to the above maximum times may be granted early
1784 tenure. Because candidates may be considered for tenure at any time during their
1785 probationary period, no time credit shall be granted for service prior to employment
1786 at Kansas State University.

1787
1788 **C83.1** Faculty members on probationary, tenure-track positions may request a one
1789 year delay of the tenure clock. Such a delay shall be granted to a faculty member
1790 who is responsible for the care of a child five years of age or younger, or who adopts
1791 a child of any age. Requests for a delay in the tenure clock for the above noted
1792 reasons shall be made to the department or unit head who will forward the request
1793 to the dean. The dean will forward the request to the provost who will grant the one
1794 year delay.

1795
1796 **C83.2** Faculty members on probationary, tenure-track positions may request a one-
1797 year delay of the tenure clock (1) for a serious health condition: that is an illness,
1798 injury, impairment, or physical or mental condition that involves inpatient care in a
1799 hospital, hospice, or residential treatment facility, or continuing treatment by a
1800 health care provider or (2) for the care of a household member, a parent, or a sibling
1801 with a serious health condition: that is an illness, injury, impairment, or physical or
1802 mental condition that involves inpatient care in a hospital, hospice, or residential
1803 treatment facility, or continuing treatment by a health care provider. Common
1804 illness, minor injuries, or minor surgeries that are not life threatening are excluded.
1805 Requests for a delay in the tenure clock for the above noted reasons shall be made
1806 to the department or unit head who will forward the request along with her/his
1807 recommendation to the dean. The dean will forward the request along with his/her
1808 recommendation and the recommendation of the department or unit head to the
1809 provost, with whom the final decision rests.

1810
1811 **C83.3** Faculty members on probationary, tenure-track positions may request a one-
1812 year delay of the tenure clock when for programmatic reasons there is a substantial
1813 change in the probationary faculty member's assigned area(s) of responsibilities.
1814 Requests for a delay in the tenure clock shall be made to the department/unit
1815 head/chair who will present the request to the tenured faculty in the department/unit
1816 for consideration. The head/chair will forward the request along with her/his
1817 recommendation and the vote of the tenured faculty plus unedited faculty comments
1818 to the dean. The dean will forward the request along with his/her recommendation,
1819 the recommendation of the department/unit head/chair, and the faculty vote with
1820 unedited comments to the provost, with whom the final decision rests.

1821
1822 **C83.4** If a delay in the tenure clock is granted prior to the mid-probationary review,
1823 the review will take place one year later than would have occurred without such a
1824 delay. An individual granted a delay of the tenure clock shall not be subject to
1825 additional scholarship, teaching, or service requirements above and beyond those
1826 normally required.
1827
1828 **C83.5** A request for delay of the tenure clock must be made within a reasonable
1829 amount of time from the date of the event which would show cause for a delay of the
1830 tenure clock.
1831
1832 **C83.6** Delay of the tenure clock during the probationary period is limited to two one-
1833 year delays.
1834
1835 **C84** Years credited to probationary period. For the purposes of counting regular
1836 annual appointments as part of the probationary period, a year is credited if the
1837 individual is on a full-time (ten-tenths) appointment for at least eight months of an
1838 academic year or is on an appointment of nine-tenths or more for the entire
1839 academic year, or receives no less than eight-ninths of his or her salary for the
1840 academic year. Individuals appointed at lesser levels do not count that year a part of
1841 the probationary period. The summer session is not counted for those on academic
1842 year (nine-month) appointments.
1843
1844 **General Guidelines for Tenure**
1845
1846 **C90** Purpose of tenure. The university uses a selective process in awarding tenure to
1847 secure a faculty of the highest possible caliber. To be tenured, faculty members must
1848 be experts in their chosen fields, and they must have full academic freedom in
1849 pursuit of ideas or inquiries without fear of censure or retribution.
1850
1851 **C91** Evaluation and feedback. The university uses an extended probationary period
1852 to provide opportunity to assess a candidate's ability to contribute to the expertise
1853 and the versatility expected of the faculty at Kansas State University. Evaluation is
1854 conducted annually and feedback provided in a timely manner to each faculty
1855 member on a probationary appointment. See C50.1.
1856
1857 **C92.1** Mid-probationary review. A formal review of a probationary faculty member is
1858 conducted midway through the probationary period.
1859 Unless otherwise stated in the candidate's contract, the mid-probationary review
1860 shall take place during the third year of appointment. This review provides the
1861 faculty member with substantive feedback from faculty colleagues and
1862 administrators regarding his or her accomplishments relative to departmental tenure
1863 criteria. ~~Neither a positive nor negative mid-probationary review determines the~~
1864 ~~outcome of the tenure review process. does not ensure that tenure will be granted in~~
1865 ~~the future nor does a negative review mean that tenure will be denied.~~
1866
1867 **C92.2** Procedures for the mid-probationary review are similar to procedures for the
1868 tenure review and are established by the departmental faculty in consultation with
1869 the department ~~head/chair/head~~ and the dean. The department ~~head/chair/head~~ is
1870 responsible for making the candidate's mid-probationary review file available to the
1871 tenured faculty members in the department at least fourteen calendar days prior to a
1872 meeting to discuss the candidate's progress. A cumulative record of written
1873 recommendations and accompanying explanations forwarded to the candidate from

1874 previous reappointment meetings, and any comments from individuals outside the
1875 department relevant to the assessment of the candidate's performance will also be
1876 made available to the eligible tenured faculty. The department head/~~chair~~ may
1877 discuss the review and assessment of the tenured faculty members in the
1878 department with the dean, and shall provide a letter of assessment to the candidate,
1879 including a summary of faculty comments and suggestions. (See C35 regarding
1880 confidentiality of peer evaluations). This letter of assessment and the faculty report
1881 will become a part of the candidate's reappointment and mid-probationary review
1882 file. The department ~~head/chair/head~~ will discuss the review and assessment with
1883 the candidate. After receiving the assessment, the candidate has the right to submit
1884 a written response for the file.
1885

1886 **C92.3** Comments also may be solicited from students, and other relevant faculty
1887 members in the college or university, and from outside reviewers. In the case of K-
1888 State Research and Extension faculty members or faculty members whose primary
1889 responsibility is directed service (e.g., librarians and clinicians), the comments of
1890 various clientele served may be solicited as part of the evaluation for mid-
1891 probationary review.
1892

1893 **C92.4** College procedures. The candidate's mid-probationary review file as well as
1894 other materials specified in C92.2, and a copy of the departmental criteria and
1895 standards will be forwarded to the college advisory committee. C153.1 is
1896 incorporated herein by reference as the evaluation procedure to be followed by the
1897 college advisory committee. The dean will provide a letter of assessment to the
1898 candidate that includes a summary of recommendations from the college advisory
1899 committee.
1900

1901 **C93** Final tenure recommendations. The provost is responsible for making final
1902 tenure recommendations to the president.
1903

1904 **Standards for Tenure**

1905
1906 **C100.1** General principles. There can be no simple list of accomplishments that,
1907 when achieved, guarantee that a faculty member will obtain tenure. Instead, tenure
1908 is granted. This action, taken by the Kansas Board of Regents, is based on the
1909 assessment ~~by~~ of the tenured faculty of the university that a candidate has made
1910 outstanding contributions in appropriate academic endeavors. By granting tenure
1911 only to such individuals, the continued excellence of the university is ensured.
1912

1913 **C100.2** A reappointment conferring tenure is made after favorable consideration of
1914 the qualifications and accomplishments of the candidate relative to departmental
1915 tenure criteria.
1916

1917 **C100.3** Tenure is ~~neither not~~ a right accorded to every faculty member ~~n~~. Nor is it
1918 granted simply as a result of a candidate's routinely meeting assigned duties with a
1919 record free of notable deficiencies.
1920

1921 **C100.4** The decision to grant or not grant tenure must not be based on the number
1922 or percentage of faculty members who already have been granted tenure.
1923

1924 **C102** Departments' charge to establish criteria and standards. See C30-38: General
1925 Issues of Faculty Evaluation. Copies of the criteria and standards for tenure are
1926 available to faculty in their department documents ([38](http://www.k-</u></p></div><div data-bbox=)

1927 [state.edu/provost/deptdocs/](http://www.k-state.edu/provost/deptdocs/) members in their departmental or unit offices or can
1928 be found at Academic Departmental Guidelines of the Office of Academic Personnel
1929 (<http://www.k-state.edu/academicpersonnel/add/>)
1930

1931 **Procedures for Tenure Evaluation**

1932
1933 **C110** Timing. Recommendations for tenure are considered annually. Faculty
1934 members in the final year of probation will be automatically reviewed for tenure
1935 unless they resign. A faculty member may request an early tenure review. Ordinarily,
1936 this is done after consultation with the department [head/chair/head](#) and the tenured
1937 faculty members in the department.
1938

1939 **C111** Candidate's responsibilities. The candidate compiles and submits a file that
1940 documents her or his professional accomplishments in accordance with the criteria,
1941 standards, and guidelines established by the department.
1942

1943 **C112.1** Departmental procedures. The department [head/chair/head](#) is advised by
1944 the eligible tenured faculty members of the department regarding the qualifications
1945 of the candidate for tenure. The department [head/chair/head](#) is responsible for
1946 making the candidate's file and departmental tenure criteria documents available to
1947 eligible tenured faculty members in the department at least fourteen calendar days
1948 prior to the scheduled meeting date to discuss the candidate's petition. A cumulative
1949 record of recommendations from the reappointment and mid-probationary review
1950 meetings, and any outside reviews that have been solicited by the department
1951 [head/chair/head](#) will also be made available to the eligible tenured faculty. (See also
1952 Secs. C35, C36.1, C36.2, C37 and C38).
1953

1954 **C112.2** When appropriate, comments are solicited from students and from other
1955 faculty members and department [heads/chairs/heads](#) in the college or university.
1956 Outside reviewers (see C36.1) recognized as leaders in the candidate's discipline or
1957 profession may be asked to advise. When outside reviewers are used, an equal
1958 number are usually selected by the candidate and the department [head/chair/head](#).
1959

1960 **C112.3** Eligible tenured faculty members will individually review the candidate's file,
1961 considering the department's criteria, standards, and guidelines for tenure, and will
1962 then meet to discuss the candidate's petition. All recommendations and written
1963 comments of eligible departmental faculty are forwarded to the department
1964 [head/chair/head](#).
1965

1966 **C112.4** Any member of the eligible faculty may, prior to the submission of any
1967 recommendations to the department [head/chair/head](#), request that the candidate
1968 meet with the eligible tenured faculty to discuss, for purposes of clarification, the
1969 record of accomplishment submitted by the candidate.
1970

1971 **C112.5** The department [head/chair/head](#) will forward a [written](#)
1972 [recommendation letter which includes his/her recommendation, the rationale for the](#)
1973 [recommendation, and the faculty vote](#) to the dean, ~~accompanied by an explanation~~
1974 ~~of her or his judgment~~. All recommendations and unedited written comments of the
1975 department's eligible tenured faculty members and the candidate's complete file are
1976 also forwarded to the dean. A copy of the department [head's/chair's/head's written](#)
1977 [recommendation letter](#) alone is forwarded to the candidate. |

Commented [MDR44]: Changed to reflect current practice.

1978
1979 **C113 Procedures for tenure evaluation**

1980
1981 **C113.1** College Procedures. Each college will have an advisory committee to advise
1982 the dean on candidates proposed for tenure and/or promotion. The faculty, dean,
1983 and provost must approve the composition, procedures for selection of college
1984 advisory committee members, and the procedures for the operation of the college
1985 advisory committee (See C113.2). The composition, procedures for selection of the
1986 college advisory committee, and the procedures for operation of the college advisory
1987 committee may be reviewed any year at the request of the faculty, dean or the
1988 provost, and must be reviewed at least once every five years.
1989
1990 **C113.2** A copy of the candidate's file and the departmental tenure criteria
1991 documents will be forwarded to the college advisory committee. The committee's
1992 specific charge is to assure that all applicable procedures have been followed and
1993 that the department/unit in arriving at a recommendation did so by fairly applying
1994 established criteria, standards, and guidelines for tenure (See C30.1-C31.4, C32.1-
1995 C38). The committee, in advising the dean, will base its recommendation exclusively
1996 on a comparison of the candidate's credentials with the criteria, standards, and
1997 guidelines of the candidate's department. The committee will report its findings in
1998 writing to the dean. The committee's report must specifically contain a statement as
1999 to whether or not all applicable procedures were followed. The report must also
2000 explain the rationale behind the committee's recommendation by providing a detailed
2001 evaluation of the candidate's credentials with regard to how they meet or fail to meet
2002 the specific criteria, standards, and/or guidelines of the candidate's department/unit.
2003 A minority committee report is required when the committee's recommendation is
2004 not unanimous.
2005
2006 **C113.3** The dean, after consulting with the department ~~head/chair/head~~ and the
2007 college advisory committee and after discussing his or her recommendations with the
2008 ~~head/chair/head~~ and the committee, will submit his or her written recommendation
2009 to the Deans Council accompanied by the recommendations and unedited written
2010 comments of the department ~~head/chair/head~~, the departmental faculty, and the
2011 college advisory committee, and the departmental tenure criteria documents, no
2012 sooner than seven calendar days following notification to the candidate (See
2013 C113.4). The dean's recommendation and the recommendation of the college
2014 advisory committee will be copied to the department ~~head/chair/head~~ and the
2015 candidate.
2016
2017 **C113.4** Notification to candidates. Candidates are informed of the college's
2018 recommendations (See C113.3) prior to the time that the file and recommendations
2019 are forwarded to the Deans Council. Candidates may withdraw from further
2020 consideration for tenure by submitting to the dean a written request for withdrawal.
2021 This must be done within seven calendar days following notification of the college's
2022 recommendation. Withdrawal by a candidate who is in the final year of ~~the~~
2023 probationary period may be done only by formal resignation effective at the end of
2024 the next academic year.
2025
2026 **C114.1** University tenure evaluation procedures. The Deans Council meeting will be
2027 chaired by the senior dean (longest serving), and the provost will not be a party to
2028 the discussions. The dean of the candidate's college will abstain from voting when
2029 the council votes on the candidate, and will notify the candidate and the candidate's
2030 department ~~head/chair/head~~ of the council's vote. If the finding of the Deans Council
2031 differs from those of the department and/or the college dean, written justification
2032 must be provided as to how the candidate's credentials meet or fail to meet the

2033 departmental criteria, standards, and/or guidelines, to the candidate, dean of the
2034 candidate's college, and the department ~~head/chair/head~~.

2035

2036 **C114.2** If the finding of the Deans Council is to not grant tenure, the candidate may
2037 appeal this decision to the provost within a period of fourteen calendar days of
2038 receiving notification. If the provost concurs with the finding of the Deans Council to
2039 not grant tenure, the candidate ~~may then has the option to~~ file a grievance with the
2040 Grievance Chair (see University Handbook, Appendix G).

2041

2042 **C114.3** If the finding of the Deans Council is to grant tenure, the case is then
2043 reviewed by the provost. If the provost does not concur with the finding of the Deans
2044 Council, then the provost will offer to arrange a meeting with the candidate, the
2045 senior dean, and a tenured faculty moderator mutually acceptable to the provost and
2046 the candidate, within a period of fourteen calendar days of notification of provost's
2047 decision. If no agreement is reached, then the provost will provide the candidate, the
2048 department ~~head/chair/head~~, the dean of the candidate's college, and the ~~D~~eans
2049 ~~C~~eouncil, written reasons for the decision. At that point, the candidate has the option
2050 to file a grievance with the Grievance Chair.

2051

2052 **C114.4** The provost will send his or her recommendation of the cases that are to be
2053 granted tenure to the president. Decisions to deny tenure are not forwarded to the
2054 president. When the provost's recommendation disagrees with that of the Deans
2055 Council, the provost will provide a written explanation of her or his judgment to the
2056 Dean's Council, the dean, the department ~~head/chair/head~~, and the candidate.

2057

2058 **C115** The president has final authority for granting tenure. Candidates are notified of
2059 the university's action when the provost's recommendation to grant tenure are
2060 forwarded to the president.

2061

2062 **C116.1** Interdisciplinary program faculty. Faculty members with appointments in
2063 interdisciplinary programs will be evaluated for tenure in their disciplinary
2064 departments in which the candidate holds majority appointment. The department
2065 ~~head/chair/head~~ also must solicit input from the interdisciplinary program director as
2066 well as the eligible tenured faculty members in the interdisciplinary program.
2067 Departmental, college and university procedures as outlined in C110 to C115 shall be
2068 followed. A copy of the department ~~head's/chair's/head's~~ recommendation shall be
2069 provided to the interdisciplinary program director.

2070

2071 **C116.2** In the rare case when it is not possible to designate an appropriate
2072 disciplinary department at the time of appointment, recommendations for tenure
2073 may come from the formally designated eligible tenured faculty members within the
2074 interdisciplinary program, provided that prior to the appointment the eligible tenured
2075 faculty of the interdisciplinary program agree to provide this recommendation, and
2076 that the appointment was approved by the dean(s) of the appropriate college(s) and
2077 provost. The terms of the faculty appointment must be presented in writing and
2078 agreed to by the appointee. Copies of the conditions for the appointment will be filed
2079 with the interdisciplinary program director, respective dean(s) and provost.

2080

2081 **Promotion in Rank**

2082

2083 **C120** Definition. Faculty members may expect to advance through the academic
2084 ranks on the basis of demonstrated individual merit in relation to their association

2085 with the university's mission and with their own disciplines. Each higher rank
2086 demands a higher level of accomplishment.

2087
2088 **C120.1** Promotion is based upon an individual's achievements related to the specific
2089 criteria, standards, and guidelines developed by departmental faculty members in
2090 consultation with the department head and the appropriate dean.

2091
2092 **C120.2** Promotion to assistant professor reflects an acceptable level of achievement
2093 and potential for excellence. Promotion to associate professor rests on substantial
2094 professional contributions that reflect excellence in teaching, research and other
2095 creative endeavor, directed service, or extension. Promotion to professor is based on
2096 attainment of excellence in the assigned responsibilities of the faculty member and
2097 recognition of excellence by all appropriate constituencies.

2098
2099 **General Guidelines for Promotion in Rank**

2100
2101 **C130** Terminal degree requirements. A doctorate or other appropriate terminal
2102 degree is a prerequisite for holding the rank of assistant professor, associate
2103 professor, or professor. The provost maintains a list of appropriate terminal degrees
2104 as recommended by the deans. There may be special cases in which
2105 accomplishments or experience other than the terminal degree will allow promotion
2106 to one of the professorial ranks. Such situations will be considered on an individual
2107 basis.

2108
2109 **C131** Time in rank. ~~Although~~While there is no explicit time in rank is required for
2110 promotion, the median time for promotion at Kansas State University has been
2111 ~~approximately~~ about six years. Promotion may be granted earlier when the faculty
2112 member's cumulative performance at rank clearly meets the standards for
2113 promotion.

2114
2115 **C132** Promotion-related salary increases. Promotion in academic rank is recognition
2116 by the university community of substantial achievement which deserves reward.
2117 Promotion related increases in salary will be awarded at the university level and are
2118 in addition to merit salary increase based on yearly evaluations. Salary increases for
2119 promotion to associate professor and full professor will be a minimum of ~~15% and~~
2120 ~~11%, respectively,~~ of the average salary of all university faculty members for the
2121 year preceding promotion. Funds for these increases are to be from the unclassified
2122 salary adjustment pool for faculty members and academic administrators. In years
2123 when no salary adjustment pool exists, the funds will come from the same segment
2124 of the base budget and will be repaid from the next readjustment pool. ~~(FSM 4-9-~~
2125 ~~91; POD 6-6-91)~~

2126
2127 **Standards for Promotion in Rank**

2128
2129 **C140** General principles. Successful candidates for promotion will demonstrate
2130 superior professional accomplishment and excellence in the performance of their
2131 assigned duties. The assessment of a faculty member's performance upon which a
2132 recommendation regarding promotion will be based must reflect the professional
2133 expectations conveyed during annual evaluations.

2134
2135 **C141** Departments' charge to establish criteria and standards. See C30-38: General
2136 issues of faculty evaluation. Copies of the standards for promotion are available to

2137 faculty members in their department ~~documents~~ at or unit offices ([http://www.k-](http://www.k-state.edu/provost/deptdocs/)
2138 [state.edu/provost/deptdocs/](http://www.k-state.edu/provost/deptdocs/)).
2139

2140 **Procedures for ~~Promotion~~ Evaluation Related to Promotion in Rank**
2141

2142 **C150** Timing. Recommendations concerning promotion are considered annually.
2143 Department heads/chairs/heads are expected to notify faculty members regarding
2144 their progress toward or readiness for promotion review.
2145

2146 **C151** Candidate's responsibilities. A faculty member, after consultation with the
2147 department head/chair/head or appropriate departmental faculty, may request a
2148 review for promotion. The candidate compiles and submits a file that documents his
2149 or her professional accomplishments in accordance with the criteria, standards, and
2150 guidelines established by the department (see C30.4+-+).
2151

2152 **C152.1** Departmental procedures. Faculty members of the department who hold a
2153 rank equal to or higher than the rank being sought by the candidate are eligible to
2154 advise the department head/chair/head regarding the qualifications of the candidate
2155 for promotion. Department heads/chairs/heads are responsible for making the
2156 candidate's promotion file and the departmental promotion criteria documents
2157 available to the eligible faculty members at least fourteen calendar days prior to the
2158 scheduled meeting date to discuss the candidate's petition. The promotion file shall
2159 in the main provide a compilation of the candidate's professional accomplishments
2160 during tenure in the current rank, and comments from other individuals relevant to
2161 the assessment of the candidate's performance (See C152.2).
2162

2163 **C152.2** When appropriate, comments are solicited from appropriate students and
2164 alumni, and from other faculty members and department heads/chairs/heads in the
2165 college or University. Outside reviewers (see C36.1) recognized as scholars or
2166 leaders in the candidate's discipline or profession may be asked to advise. When
2167 outside reviewers are used, an equal number are usually selected by the candidate
2168 and the department head/chair/head.
2169

2170 **C152.3** Eligible faculty members individually review the candidate's file, considering
2171 the department's criteria, standards, and guidelines for promotion, and then meet to
2172 discuss the candidate's petition. All recommendations and written comments of
2173 eligible departmental faculty are forwarded to the department head/chair/head.
2174

2175 **C152.4** Any member of the eligible faculty may, prior to the submission of any
2176 recommendations to the department head/chair/head, request that a candidate meet
2177 with the eligible tenured faculty to discuss, for purposes of clarification, the record of
2178 accomplishment submitted by that candidate.
2179

2180 **C152.5** The department head/chair/head will forward a written recommendation
2181 letter which includes the rationale for the recommendation to the dean and an
2182 explanation of her or his judgment to the dean and the vote of the eligible faculty. All
2183 recommendations and unedited written comments of the department's eligible
2184 faculty members and the candidate's complete file are also forwarded to the dean. A
2185 copy of the department head's/chair's/head's written recommendation letter alone is
2186 forwarded to the candidate.
2187

2188 **C153.1** College procedures. Each college will have an advisory committee to advise
2189 the dean on candidates proposed for promotion and/or tenure. The college faculty,

Commented [MDR45]: Policy was revised for clarification of current practice.

2190 dean, and provost must approve the composition, procedures for selection of college
2191 advisory committee members, and the procedures for the operation of the college
2192 advisory committee (See C153.2). The composition, procedures for selection of the
2193 college advisory committee, and the procedures for operation of the college advisory
2194 committee may be reviewed any year at the request of the faculty, dean or the
2195 provost, and must be reviewed at least once every five years.
2196

2197 **C153.2** A copy of the candidate's file and the departmental promotion criteria
2198 documents will be forwarded to the college advisory committee. The committee's
2199 specific charge is to assure that all applicable procedures have been followed and
2200 that the department/unit in arriving at a recommendation did so by fairly applying
2201 established criteria, standards, and guidelines that are specific for promotion to the
2202 appropriate rank (See C30.1-31.4, C32.1- C38, and C141). The committee, in
2203 advising the dean, will base its recommendation exclusively on a comparison of the
2204 candidate's credentials with the criteria, standards, and guidelines of the candidate's
2205 department. The committee will report its findings in writing to the Dean. The
2206 committee's report must specifically contain a statement as to whether or not all
2207 applicable procedures were followed. The report must also explain the rationale
2208 behind the committee's recommendation by providing a detailed evaluation of the
2209 candidate's credentials with regard to how they meet or fail to meet the specific
2210 criteria, standards, and/or guidelines for promotion to the petitioned rank in the
2211 candidate's department/unit. A minority committee report is required when the
2212 committee's recommendation is not unanimous.
2213

2214 **C153.3** The dean, after consultation and discussion with the department
2215 head/chair/head and college advisory committee, will submit his or her
2216 recommendation to the Deans Council (subject to C153.4) accompanied by the
2217 recommendations and unedited written comments of the department
2218 head/chair/head, the departmental faculty, and the college advisory committee, and
2219 the departmental promotion criteria documents, seven calendar days after
2220 notification to the candidate (See 153.4). The recommendation of the dean and the
2221 recommendation of the college advisory committee will be copied to the department
2222 head/-chair and the candidate.
2223

2224 **C153.4** Notification to candidates. Candidates are informed of the college's
2225 recommendations prior to the time the file and recommendations are forwarded to
2226 the Deans Council. Candidates may withdraw from further consideration for
2227 promotion by submitting to the dean a written request for withdrawal. This must be
2228 done within seven calendar days following notification of the college's
2229 recommendation, and in this case the candidate's petition for promotion is not
2230 forwarded to the Deans Council.
2231

2232 **C154.1** University promotion evaluation procedures. The Deans Council meeting will
2233 be chaired by the senior dean (longest serving), and the provost will not be a party
2234 to the discussions. The dean of the candidate's college will abstain from voting when
2235 the Council votes on the candidate, and will notify the candidate and the candidate's
2236 department head/chair/head of the Council's vote. If the finding of the Deans Council
2237 differs from those of the department and/or college dean, written justification must
2238 be provided to the candidate, dean of the candidate's college, and the department
2239 head/chair/head.
2240

2241 **C154.2** If the finding of the Deans Council is to not grant promotion, the candidate
2242 may appeal this decision to the provost within a period of fourteen calendar days of

2243 receiving written notification. If the provost concurs with the finding of the Deans
2244 Council to not grant promotion, the candidate then has the option to file a grievance
2245 with the Grievance Chair.

2246
2247 **C154.3** If the finding of the Deans Council is to grant promotion, the case is then
2248 reviewed by the provost. If the provost does not concur with the finding of the Deans
2249 Council, then the provost will offer to hold a meeting with the candidate, the senior
2250 dean (longest serving), and a tenured faculty moderator mutually acceptable to the
2251 provost and the candidate, within a period of fourteen calendar days of notification of
2252 provost's decision. If no agreement is reached, then the provost will provide the
2253 candidate, the department head/chair/head, and the dean of the candidate's college,
2254 and the Deans Council, written reasons for the decision. At that point, the candidate
2255 has the option to file a grievance with the Grievance Chair.

2256
2257 **C154.4** The provost will send his or her recommendation of the cases that are to be
2258 granted promotion to the president. Decisions to deny promotion are not forwarded
2259 to the president. When the provost's recommendation disagrees with that of the
2260 Deans Council, the provost will provide a written explanation of her or his judgment
2261 to the Deans Council, the dean, the department head/chair/head, and the candidate.

2262
2263 **C155** The president has the final authority for granting promotion. Candidates are to
2264 be notified when the provost's recommendation to grant promotions is approved by
2265 ~~forwarded to~~ the president.

2266
2267 **C156.1** Interdisciplinary ~~program~~ faculty. A tenured faculty member with
2268 appointment in an interdisciplinary ~~unit/program~~ will be evaluated for promotion by
2269 the ~~disciplinary unit department~~ in which the candidate is tenured. An untenured
2270 faculty member with an appointment in an interdisciplinary unit will be evaluated for
2271 tenure and promotion, or in by the unit/department in which the candidate holds a
2272 majority appointment ~~if not tenured~~. The department head/chair/head also must
2273 solicit input from the interdisciplinary program director as well as the eligible tenured
2274 faculty members in the interdisciplinary program. Departmental, college, and
2275 university procedures as outlined in C152, C153, and C154 shall be followed. A copy
2276 of the department ~~head's/chair's/head's~~ recommendation shall be provided to the
2277 interdisciplinary program director.

2278
2279 **C156.2** In the rare case when it is not possible to designate an appropriate
2280 disciplinary department at the time of appointment, recommendations for promotion
2281 may come from the formally designated eligible tenured faculty members within the
2282 interdisciplinary program, provided that prior to the appointment the eligible tenured
2283 faculty of the interdisciplinary program agree to provide this recommendation, and
2284 that the appointment was approved by the dean(s) of the appropriate college(s) and
2285 provost. The terms of the faculty appointment must be presented in writing and
2286 agreed to by the appointee. Copies of the conditions for the appointment shall be
2287 filed with the interdisciplinary program director, respective dean(s) and provost.

2288 **C157** Dean's Evaluation Procedures. Five-year comprehensive review
2289 (FS 11/10/09 revisions)

2290 **C157.1** During the fifth year of the dean's tenure, the provost will request that the
2291 dean write a self-assessment of his/her activities for the past five years. In addition,
2292 the provost will write a brief summary of the university administration's expectations

Commented [RD46]: 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 [MM47]: It is best to not include dates of revision anywhere in the document.

2293 under which the dean has been operating. These expectations will be those agreed
2294 upon by the provost and the dean.

2295 **C157.2** The formal process of the evaluation will be initiated by a letter from the
2296 provost to the faculty and unclassified professionals of the college and other
2297 personnel designated to provide input (e.g., students, classified staff, constituent
2298 groups, etc.). This letter will initiate the formal process of the evaluation, explain the
2299 process, state that an opportunity to provide feedback will be forthcoming, and note
2300 that an advisory committee will be appointed. A summary of the university
2301 administrative expectations under which the dean has been operating will be made
2302 available to respondents.

2303 **C157.3** The provost will select and appoint an advisory committee. The advisory
2304 committee selection process will involve consultation with the dean, elected faculty
2305 senators, and a faculty council if the college has one. The committee will represent
2306 each academic discipline or department, and reflect the gender and race diversity of
2307 the college/unit to the extent practicable. As a general practice, only tenured faculty
2308 and no more than one department head will serve on the advisory committee. With
2309 the approval of the provost, the committee membership may be expanded by the
2310 addition of representatives from non-faculty groups who are served by the college
2311 (including students, unclassified professionals, classified staff, or clients of the
2312 college). The announcement of the composition of the committee will be made after
2313 the survey results have been collected.

2314 **C157.4** The provost will identify five references, external to the college, who have
2315 knowledge of the dean's work in fund raising and alumni/constituent relations. The
2316 references will be contacted by the provost and asked to provide a written summary
2317 of the dean's performance as Dean at Kansas State University. Some of these
2318 references will be in higher education, although others may be in related professional
2319 disciplines. Both the dean and the advisory committee may provide suggested
2320 references to the provost, according to a timeline established by the provost.

2321 **Development and distribution of the survey**

2322
2323 **C157.5** The template for the dean's evaluation survey should be consistent across
2324 the university. The dean and advisory committee may propose relevant questions to
2325 be added to the survey instrument to make it a better fit for the specific dean being
2326 evaluated. The provost will have the final approval of the questions to be included in
2327 the survey instrument that is administered for a specific dean. The survey
2328 instrument, collection of data, and analysis of data will protect the privacy and
2329 confidentiality of respondents. The survey instrument will include a clear statement
2330 that the summary of the numerical data and comments will be shared with the dean.
2331 The provost will empower the Office of Planning and Analysis or other appropriate
2332 unit to distribute the materials for confidential feedback. The method shall provide
2333 opportunity for input on performance relative to established missions and goals, and
2334 focus on the overall effectiveness of and confidence in the dean. The method used to
2335 collect feedback shall be private and confidential, and the feedback shall be
2336 anonymous to the dean being reviewed. However, absolute confidentiality and
2337 anonymity cannot be guaranteed, such as when safety, security or due process
2338 requires disclosure. The Office of Planning and Analysis or the other appropriate unit
2339 will collect the results. Individuals also may choose to use other reasonable methods
2340 to provide confidential feedback to the provost.

2341 **C157.6** Written comments will be compiled, protecting respondent confidentiality.
2342 Prior to being finalized, the provost will review and retain all written comments.
2343 ~~Allegations of an unsubstantiated nature~~ Comments unrelated to the professional
2344 evaluation of the dean will not be included in the results, but will be subject to
2345 inquiry by the provost at his or her discretion. The results will be summarized by the
2346 Office of Planning and Analysis or other appropriate unit.

2347 **Responsibilities of the Advisory Committee**

2348
2349 **C157.7** The provost will charge the advisory committee and provide a timeline for
2350 reviewing the data and preparing the report and recommendations. Each advisory
2351 committee member will receive a copy of the final composite of the results, a copy of
2352 each letter of reference, the summary of the expectations of the university
2353 administration under which the dean has been operating, the self-assessment by the
2354 dean, including goals and objectives provided to the provost in previous years, and
2355 evaluation materials from other relevant groups identified in Section C157.3.

2356 **C157.8** The advisory committee will write a draft report for the provost, which
2357 summarizes strengths, weaknesses, and issues of substance which need to be
2358 addressed. A draft copy of this report will be provided to the dean along with a copy
2359 of the final composite of the results and written comments. Prior to the committee
2360 drafting its final report to the provost, the dean will have an opportunity to respond
2361 to the committee in writing to clarify misconceptions and provide further relevant
2362 information. After due consideration of any responses from the dean, the committee
2363 will produce a final copy of the report for the provost with an overall
2364 recommendation for appointment or non-reappointment to a subsequent five-year
2365 term and will forward any response from the dean to the provost. The final report
2366 shall be signed by all committee members including the chair allowing for special
2367 provisions for missing signatures when a committee member is unavailable to sign.
2368 In the case that a minority report is deemed necessary, the report and its content
2369 should be disclosed to all committee members including the chair. The minority
2370 report shall be submitted at the same time as the final report. A separate letter from
2371 the committee to the provost will contain the number of votes of the advisory
2372 committee members for or against the reappointment of the dean. No identification
2373 of any individual votes will be included. Following the receipt of the report and prior
2374 to the final determination by the provost as to reappointment or non-reappointment,
2375 the advisory committee will have the opportunity to meet with the provost, discuss
2376 the survey results, and the vote of the committee on the recommendation.

2377 **C157.9** Absolute confidentiality is expected from the committee members
2378 concerning all evaluation materials, committee deliberations, and final
2379 recommendations. Confidentiality for committee members is a matter of both ethics
2380 and policy.

2381 **C157.10** The committee's recommendations are advisory in nature. The final
2382 decision resides with the provost subject to the approval of the president. If the
2383 provost's decision as to reappointment is contrary to a recommendation from a
2384 majority of the committee, he or she will meet with the committee members to
2385 explain the reasons for not accepting the committee's recommendations.

2386 **C157.11** The provost will meet with the faculty of the college to announce the
2387 outcome and discuss relevant issues.

2388 ~~C158~~ **Mid-appointment feedback**

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Commented [MM48]: Made this heading consistent with remainder of the document to have the heading stand alone.

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2389 **C158.1** In the second or third year of a dean's initial appointment, the dean may
2390 elect to initiate a feedback mechanism. The Office of Planning and Analysis may
2391 serve as a resource to assist in the process.

2392 **C158.2** The intent of the feedback is to reinforce positive endeavors of the college
2393 and/or dean, to help clarify the mission and direction of the college, to help clarify
2394 the college's role in the university and the relationships with external support or
2395 professional organizations, to help identify areas where the dean may want to focus
2396 more attention, and to assist the dean in self-assessment.

2397 **C158.3** At the option of the dean he or she may choose to share the results of the
2398 feedback with the provost and/or selected faculty members.
2399

2400 ~~C159-Administrative Reappointments Assignments and Five-Year~~
2401 ~~Comprehensive Reviews~~

2402 ~~Unit and Department Heads/Chairs~~

2403 **C159.1B423-4** The term of office of department/unit heads, associate deans, and
2404 assistant deans holding faculty rank, and having supervisory or budgetary authority
2405 (referred to as academic administrators for purposes of clarity) will be specifically
2406 determined at the time of ~~the appointment~~ administrative assignment, but shall not
2407 exceed five years. Individuals in these positions serve at the pleasure of the dean
2408 who determines whether ~~or not~~ annual reappointment is appropriate. These
2409 academic administrators are eligible for ~~reappointment~~ renewal to of the
2410 administrative assignment period additional terms of up to five years. To be
2411 ~~reappointed~~ continue in the administrative assignment, the administrator should have
2412 the support of the majority of the faculty, ~~unclassified~~ unclassified
2413 professional ~~staffs~~, and other staff under his/her supervision.
2414
2415

2416 **C159.2B423-3** The dean shall consider the reappointment of ~~an academic~~
2417 ~~administrator~~ an administrative assignment with supervisory or budgetary authority
2418 to an additional term only after the establishment of an advisory council and a
2419 review.
2420

2421 **C159.3B423-4** During the final year of the academic administrator's term ~~of~~
2422 ~~appointment~~, the dean will send a letter to all individuals who work under the
2423 supervision of this academic administrator. This letter will initiate the formal process
2424 of the evaluation, explain the process, state that an opportunity to provide feedback
2425 will be forthcoming, and note that an advisory committee will be appointed. The
2426 dean will provide a summary of the academic administrator's job expectations to
2427 those providing input. The dean and the academic administrator will confer and
2428 reach agreement on the job summary. Potential respondents will include faculty with
2429 tenure and on tenure track, regular instructors, unclassified professionals, and all
2430 other staff within the group being served. If requested by the academic
2431 administrator, and agreed to by the dean, evaluation materials can be collected from
2432 other groups (e.g., students, constituent groups, etc.).
2433 The dean of the college will request that the academic administrator write a self-
2434 assessment of his/her activities since initial ~~appointment~~ administrative assignment
2435 or last re-appointment.
2436

2437 **C159.4B423-6** To solicit and document the feedback of the group served, the Office
2438 of Planning and Analysis or another group (e.g., administrative support staff)
2439 empowered by the dean (~~administrative support staff~~), shall develop a secure survey

Commented [JH49]: I note that these are not unit or department heads, per the section heading directly above this sentence.

Commented [MM50]: 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."

2440 instrument that protects the privacy and ~~confidentiality~~anonymity of respondents.
2441 The survey shall provide for narrative comments, ratings of specific performance
2442 areas listed on the self-evaluation, unit-specific performance areas, and a final
2443 question/statement addressing the possibility of reappointment in the administrative
2444 assignment. ~~The administrative support staff will collect feedback for review~~. The
2445 method used to collect the feedback shall be private and confidential, and the
2446 feedback shall be anonymous to the individual being reviewed~~anonymous~~. However,
2447 absolute confidentiality and anonymity cannot be guaranteed, such as when safety,
2448 security or due process requires disclosure. The Office of Planning and Analysis or
2449 other appropriate group will collect the results. Individuals also may choose to use
2450 other methods for providing confidential feedback to the supervisor of the individual
2451 being reviewed. ~~Electronic mail is neither private nor anonymous, and should not be~~
2452 ~~used to solicit, provide or report feedback~~.

2453
2454 **C159.5B423-7** After the materials have been administered, the dean will request
2455 that the group served recommend a list of faculty, unclassified professionals, and
2456 other staff members to serve on the academic administrator's reappointment
2457 advisory committee. The dean will review the list, then select a representative
2458 committee. Students, alumni, and representatives of other university-related groups
2459 may also be named as members of the reappointment advisory committee.

2460
2461 **C159.6B423-8** The reappointment advisory committee shall keep the faculty,
2462 unclassified professionals, and other staff of the group being served regularly
2463 informed of the status of the review. The feedback results will be summarized by the
2464 administrative support staff. Written comments will be transcribed and compiled,
2465 protecting respondent confidentiality. The data will be compiled and presented so
2466 that the summary and other statistics will be standard outputs, along with an
2467 anonymous listing of the narrative comments. Comments unrelated to the
2468 professional evaluation of the administrator. ~~Unsubstantiated allegations will not be~~
2469 included in the results, but will be subject to inquiry by the dean at his/her
2470 discretion. A summary of respondents' input will be provided to the committee for its
2471 report to the dean.

2472
2473 **C159.7B423-9** The reappointment advisory committee will write a report ~~for~~to the
2474 dean, which summarizes strengths, weaknesses, and issues of substance that need
2475 to be addressed. The committee will make a recommendation for appointment or
2476 non-reappointment of the administrative assignment. A draft copy of this report will
2477 be provided to the academic administrator being reviewed. The academic
2478 administrator can, if he or she desires, respond to the committee in writing
2479 concerning the draft report. After due consideration of any responses, the committee
2480 will produce a final copy of the report and an advisory recommendation and will
2481 forward any responses from the academic administrator to the dean.

2482
2483 **C159.8B423-10** Confidentiality is expected for the committee members concerning
2484 all evaluation materials, committee deliberations, and final recommendations.
2485 Confidentiality for committee members is a matter of both ethics and policy.

2486
2487 **C159.9B423-11** To be reappointed, the administrator should have the support of
2488 the majority of the faculty, ~~unclassified~~professional staffs, and other staff under
2489 his/her supervision who responded to the request for feedback, as well as the
2490 concurrence of the dean. The dean shall consider the advisory committee's
2491 recommendation before reappointing an administrator five assignment. If the dean
2492 makes a reappointment decision that is against the wishes of a majority of the

2493 faculty and staff, the dean will schedule a meeting with the group being served and
2494 the next higher-level administrator to give a rationale for the reappointment and an
2495 opportunity to respond to his/her decision.

2496
2497 ~~C159.10B123-12~~ Those departments who elect a chair follow the departmental
2498 internal evaluation procedures.

2499
2500
2501 ~~Five-Year Other Unclassified Professional Staff Administrators~~
2502 ~~Evaluation Procedures~~

2503 ~~C159.1141.4 (b)~~ Includes all directors, associate and assistant deans and other
2504 unclassified professional administrative supervisors not specified in C159.1

2505
2506 At least once every five years, the responsible dean, vice provost, vice president,
2507 provost or president, depending upon the department's/unit's reporting structure,
2508 will issue a request for input from individuals regarding the performance of their
2509 department/unit administrator(s). To solicit and document the feedback of the group
2510 served, the Office of Planning and Analysis or another group ~~such as AXIO or~~
2511 ~~(e.g., the administrative support staff)~~ shall develop a survey instrument that
2512 protects the privacy ~~and~~ confidentiality ~~and anonymity~~ of respondents. The survey
2513 shall provide for narrative comments, ratings of specific performance areas listed on
2514 the self-evaluation, unit-specific performance areas, and a final question/statement
2515 addressing the possibility of reappointment. ~~Care should be taken to protect the~~
2516 ~~confidentiality and anonymity of the individuals submitting evaluation materials.~~
2517 Examples of methods that may be used to protect ~~the privacy and confidentiality of~~
2518 those submitting responses to five-year ~~annual~~ evaluation materials include
2519 ~~anonymous electronic AXIO surveys or surveys being submitted to a third party in~~
2520 ~~Human Resources Relations or the Planning and Analysis Evaluation Office. The~~
2521 ~~designated group will collect the results, and the feedback shall be anonymous to the~~
2522 ~~individual being reviewed. However, absolute confidentiality and anonymity cannot~~
2523 ~~be guaranteed, such as when safety, security or due process requires disclosure.~~
2524 ~~Individuals also may choose to use other methods to provide confidential feedback to~~
2525 ~~the supervisor of the individual being reviewed. Electronic mail is neither private nor~~
2526 ~~anonymous. Electronic mail is neither private nor anonymous, and should not be~~
2527 ~~used to solicit, provide or report feedback.~~ These guidelines follow the
2528 ~~unit/department head/dean's/chair's~~ review process outlined in ~~C159.4B123 now~~
2529 ~~moved to Section C. Please use the dean's process as a guide.~~

2530 **Termination of Services**

2531 **C160.1** General standards for non-reappointment. The Kansas Board of Regents has
2532 adopted The Standards of Notice of Non-Reappointment set forth by the American
2533 Association of University Professors in the autumn of 1964. (See Appendix A. Also
2534 see AAUP Statement on Academic Freedom and Tenure, Appendix C.)

2535 **C160.2** Non-reappointment in the case of financial exigency should not be
2536 interpreted as a reflection on the quality of the individual faculty member's
2537 performance.

2538 **C160.3** The termination for cause of faculty on continuous appointments and non-
2539 tenured faculty, who have been appointed on contract for a specified term, before
2540 the expiration of that term, shall be reviewed in accordance with the procedure
2541 described in C75. ~~(FSM 3-9-93)~~

2542 **C161.1** Reasons for dismissing faculty and ~~unclassified~~ unclassified professionals
2543 staff. ~~Any unclassified employee~~ faculty member or unclassified professional ~~A faculty~~
2544 ~~and/or unclassified professional staff~~ may be recommended for dismissal for:

- 2545 • Professional incompetence
- 2546 • Misconduct or unethical behavior
- 2547 • Persistent violation of university rules and/or policy
- 2548 • Bona fide financial exigency (See C162.4 and Appendix B.)
- 2549 • Program discontinuance (See C162.5 and Appendix K.)

2550 **C161.2** Tenured faculty members who are dismissed for reasons other than
2551 misconduct or unethical behavior, or financial exigency, shall be given written notice
2552 by the university 12 months in advance of their separation. Financial exigency has
2553 been broadly defined by the Kansas Board of Regents (Appendix B) with detailed
2554 procedures to be defined by each of the Regents' institutions.

2555 **C162.1** Dismissing faculty holding tenure. Termination of employment of a tenured
2556 faculty member, other than by voluntary resignation or retirement, is extremely
2557 rare. In such case the university upholds both the letter and the spirit of the tenure
2558 principle of the AAUP (Appendix C).

2559 **C162.2** Faculty members with tenure who are dismissed have a right to a formal
2560 hearing under the procedures stated in the Kansas Board of Regents policy on
2561 tenure. (See C71-78.) In cases of dismissal for cause, the Procedure for Review of
2562 Dismissal of Tenured Faculty in Appendix M will be followed. In cases of dismissal for
2563 reasons of financial exigency the procedures in Appendix B will be followed. In cases
2564 of dismissal for reasons of program discontinuance, the procedures of Appendix
2565 K will be followed.

2566 **C162.3** For faculty members whose services are to be terminated before tenure is
2567 attained, written notice shall be given to them by the dean of their college, according
2568 to the following schedule: A faculty member on a regular appointment who has been
2569 employed less than one year shall be notified by March 1 if services are to be
2570 terminated at the end of that academic year. The intent here is to provide at least a
2571 six-month evaluation period for the faculty member newly appointed at the
2572 beginning of the academic year. Accordingly, persons who are appointed at mid-year
2573 (that is, January or February) must also be notified by March 1 of the following
2574 calendar year if they are not to be reappointed for the next academic year. A faculty
2575 member on a regular appointment employed for more than one year shall be given
2576 the same written notice by December 15 if services are to be terminated at the end
2577 of that academic year. Any time after December 15, a faculty member on a regular
2578 appointment employed one or more years shall be given the same written notice at
2579 least 12 months before the expiration of an appointment. If the faculty member is
2580 not to be continued in service beyond the expiration of the probationary period,
2581 notice shall be given at least one year prior to the expiration of the probationary
2582 period. Appointments designated as term teaching faculty do not require notification
2583 of non-reappointment. ~~For faculty members holding tenure, procedures for any~~
2584 ~~termination of appointment, including appeals, will be as outlined in Appendix M.~~

2587 **C162.4** A formal plan to be used in the event financial exigency necessitates the
2588 dismissal of tenured faculty members is contained in Appendix B.

2589

Commented [MM51]: Stated in section immediately preceding.

2590 C162.5 A formal plan to be used in the event program discontinuance necessitates
2591 the dismissal of tenured faculty members is contained in Appendix K.
2592
2593

Continued Employment for Administrative Appointees

2596 C170.1 Individuals may be appointed to regular appointments or to term
2597 appointments. For the purpose of this policy, two types of appointments positions are
2598 identified and defined. A regular appointment position is defined as one in which typically
2599 made when the need and the funds for the position are expected to continue
2600 for the foreseeable future. A regular appointment is made to a budgeted position. A
2601 term appointment position is normally typically used defined as one in which when the
2602 need or funding for the position is finite and is for a specified term, usually not
2603 longer than one year. A term appointment carries no expectation of continued
2604 employment beyond the period stated in the contract. Term appointments can be
2605 made to either budgeted or non-budgeted positions.
2606

~~2607 C170.2 Individuals Persons appointed after June 1, 1982, may be appointed to~~
~~2608 regular appointments positions or to term appointments positions.~~
2609

2610 C170.3 Persons holding regular or term unclassified professional appointments may
2611 be terminated without cause, provided that notice is given according to the schedule
2612 below. This notice is called notice of nonreappointment.

2613 During the first year of service, the individual must be notified by March 1 if
2614 he/she will not be reappointed for the next fiscal year. During the second
2615 year, notification of the non-reappointment for the next fiscal year must be
2616 made by December 15. Thereafter, the individual must be provided 12
2617 months' notice if he/she will not be reappointed. (The first year of service
2618 ends with the fiscal year in which the individual was first appointed, unless
2619 the date of the appointment was after September 30. For those whose initial
2620 appointment was effective after September 30, the "first year" ends with the
2621 fiscal year after the year of appointment. However, in no case shall more than
2622 12 months' notice be required.)

2623
2624 All appointments to term positions will be temporary appointments ending at
2625 or before the end of the term. Should need or money for the position be
2626 extended, a new term may be established with the approval of the provost. In
2627 such instances, the incumbent may be appointed for the new term or a
2628 portion thereof without the position being declared open for initiation of a
2629 search process.

2630 ~~A. Except for persons covered under B, below, during the first twelve (12)~~
2631 ~~months of unclassified service, the individual must be given 90 days' notice of~~
2632 ~~termination without cause. After more than twelve (12) months of service, an~~
2633 ~~individual on a regular appointment must be given 180 days' notice of termination~~
2634 ~~without cause.~~

2635 ~~All appointments to term appointments positions will be temporary appointments~~
2636 ~~ending at the conclude at the end of the term, or earlier for cause, or with 90 days'~~
2637 ~~notice of termination without cause if notice is given according to the preceding~~
2638 ~~paragraph. Should need or money for the position be extended, a new term may be~~
2639 ~~established with the approval of the provost or appropriate vice president or as~~
2640 ~~delegated to the deans or comparable administrators. In such instances, the~~
2641 ~~incumbent may be appointed for the new term or a portion thereof without the~~
2642 ~~position being declared open for initiation of a search process.~~

Commented [MM52]: 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.

2643
2644 ~~B. Persons appointed to regular, unclassified positions prior to June 15, 2010, are~~
2645 ~~subject to notice of non-reappointment pursuant to the following schedule:~~
2646 ~~During the first year of service, the individual must be notified by March 1 if~~
2647 ~~he/she will not be reappointed for the next fiscal year. During the second~~
2648 ~~year, notification of the non-reappointment for the next fiscal year must be~~
2649 ~~made by December 15. Thereafter, the individual must be provided twelve~~
2650 ~~(12) months' notice if he/she will not be reappointed of termination without~~
2651 ~~cause. (Unless the date of the appointment was effective after September 30,~~
2652 ~~the first year of service ends with the fiscal year in which the individual was~~
2653 ~~first appointed. For those whose initial appointment was effective after~~
2654 ~~September 30, the "first year" ends with the fiscal year after the year of~~
2655 ~~appointment. In such cases, during the initial year of appointment prior to the~~
2656 ~~"first year," those individuals must be notified no later than May 1 if they are~~
2657 ~~not to be reappointed.)~~

2658
2659 ~~C171 The non-reappointment of persons holding administrative tenure granted prior~~
2660 ~~to June 1982, as defined in C170.3B, may be reviewed in accordance with the~~
2661 ~~Procedure for Review of Dismissal of Tenured Faculty, as provided in Appendix M,~~
2662 ~~provided that the administrator shall have the choice of:~~

- 2663 1. ~~A hearing committee of the composition provided in Appendix M;~~
2664 ~~or~~
2665 ~~2. a hearing committee selected from a pool which shall include all persons~~
2666 ~~holding administrative positions as defined above, except that persons holding~~
2667 ~~positions in the administrative unit in which the administrator is appointed shall not~~
2668 ~~be eligible.~~

Commented [MM53]: The approval process was never completed.

2671 **Bargaining Unit for Unclassified Employees**

2672
2673 **C180** In accordance with the laws of the State of Kansas, the potential bargaining
2674 unit for Kansas State University unclassified employees has been determined by the
2675 Public Employees Relations Board (PERB) on December 20, 1982, to be as follows:
2676 The appropriate bargaining unit for unclassified personnel at Kansas State University
2677 shall include:

- 2678 1. All unclassified faculty with the academic rank of research assistant, research
2679 associate, assistant instructor, instructor, assistant professor, associate
2680 professor, and professor if they are engaged five-tenths time or more in
2681 teaching, research, or extension;
2682 2. Support unit personnel except physicians working in Lafene Health Center,
2683 and shall exclude:
2684 A. Unclassified employees as stipulated: academic directors, associate
2685 directors, assistant directors; department heads; part-time employees
2686 (less than five-tenths time); temporary, visiting or adjunct employees
2687 and appointees; all students, including graduate teaching assistants,
2688 graduate research assistants, and graduate assistants; university
2689 officials, including the president, assistants to the president,
2690 administrative assistants to the president, provost, associate provost,
2691 assistant provost, vice presidents, associate vice presidents, assistant
2692 vice presidents, assistants to vice presidents, deans, associate deans,
2693 assistant deans, assistants to deans, controller, associate controller,
2694 assistant controller, registrar, associate registrar, assistant registrar,

2695 university attorney, branch station superintendents, area directors of
2696 extension;
2697 B. County extension agents;
2698 C. Physicians working in Lafene Student Health Center.
2699 (The complete text of the PERB order is on file in Human Capital Services and in the
2700 Faculty Senate Office.)
2701

2702 **Administrative Appeals and Grievance Resolution**

2703
2704 **C190** (Deletion, POD 4/27/12)

2705 **Grievance Resolution**

2706 C191 (Deletion, POD 4/27/12)

2707 **Ombudsperson**

2708 **C192** Appointment and Term

2709 On the recommendation of the Faculty Senate President, the Faculty Senate
2710 Executive Committee shall appoint, three ombudspersons. Candidates for the
2711 ombudspersons shall have service qualifications that demonstrate knowledge of
2712 university structure and operations, such as service on Faculty Senate or the General
2713 Grievance Board. Faculty candidates shall have attained tenure in their respective
2714 departments. ~~Unclassified professional~~ ~~Professional staff~~ ~~Unclassified professional~~
2715 candidates shall be on regular appointments. People in positions of line authority
2716 (e.g., department heads/chairs, deans, and some directors) shall not be appointed.
2717 The ombudspersons should not serve in additional roles within the university that
2718 would compromise their ability to be perceived as unbiased. Any qualified person
2719 wishing to be considered for an ombudsperson appointment may contact the Faculty
2720 Senate President.
2721

2722 Each ombudsperson shall serve a three-year term, which shall begin the first day of
2723 each fall semester, and shall be listed as ombudsperson in the annual list of all-
2724 university appointments and the Campus Directory. Reappointment to a second
2725 consecutive term should take place only in exceptional circumstances, the basis of
2726 which will be explained by the Faculty Senate President to the Faculty Senate prior to
2727 the appointment. Terms of the ombudspersons will be staggered. Ombudspersons
2728 who are unable or unwilling to adhere to **C194** are subject to immediate
2729 replacement at the discretion of the Faculty Senate Executive Committee. If for any
2730 reason an ombudsperson cannot complete a term, the term of the replacement will
2731 be for the balance of the original term.
2732

2733 **C193** Recognition and Training

2734 Service as ombudsperson shall be given appropriate consideration as part of the
2735 ombudsperson's responsibility during the term of appointment; the department head
2736 or functional equivalent shall ensure that service as ombudsperson shall be given
2737 consideration in decisions affecting assignments, salary, and promotion. The
2738 ombudsperson shall receive released time or be compensated in some other fashion.
2739 It is expected that early in the term of an ombudsperson's appointment,
2740 opportunities will be provided by the university for the ombudsperson to receive
2741 supplemental preparation that may enhance his/her ability to be successfully in the
2742 functions and responsibilities of an ombudsperson. Beyond conferring with current
2743 and former ombudspersons, such preparation shall include attending seminars,

2744 workshops, and meetings. The university will pay for the costs involved with the
2745 ombudsperson belonging to The Ombudsman Association or an equivalent
2746 organization, during the ombudsperson's term.

2747
2748 **C194 Functions and Responsibilities** The ombudsperson's role is to facilitate a
2749 confidential, unbiased, and informal process to resolve concerns and disputes that
2750 arise within the university. The ombudsperson is an information, communication, and
2751 referral resource available to the faculty and unclassified professionals who seek
2752 service on a voluntary basis.

2753 With exception(s) as specified in the University Handbook, the university recognizes
2754 and the ombuds will follow ~~the principles developed by the university and~~
2755 ~~International Ombudsman Association (IOA) as well as the Code of Ethics 1985 and~~
2756 ~~the Standards of Practice 1995 of the Ombudsman Association,~~
2757 <http://www.ombudsassociation.org/>

2758
2759 Ombudspersons are not mediators, arbitrators, or advocates for any person or
2760 position. They are advocates for fair processes and fair administration. While
2761 individuals are responsible for choosing a particular resolution, the ombudsperson
2762 may help develop options to resolve problems and/or facilitate discussion designed
2763 to identify agreeable options to resolve a dispute. Ombudspersons will exercise the
2764 responsibilities of their position with objectivity and impartiality, and will consider the
2765 concerns of all parties involved in a dispute. All communications with the
2766 ombudsperson(s) are confidential, and they will not be expected to testify in any
2767 formal process inside or outside the university.

2768
2769 ~~At the request or permission of the grievant, the an~~ ombudsperson ~~[who]~~ shall have
2770 ~~the duties of~~ shall (1) ~~providing~~ provide information about the grievance process at
2771 issue and (2) ~~guiding a help walk the~~ grievant through the initial stages of the
2772 grievance process. If requested by the grievant, the ombudsperson may also contact
2773 the administrator(s) involved to ~~seek~~ inquire as to the possibility of a resolution of
2774 the matter before a formal grievance hearing begins. The ombudsperson shall have
2775 access to anyone in the university including the president.

Commented [MM54]: 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.