

Philosophy  
Department

Arts and Sciences  
College

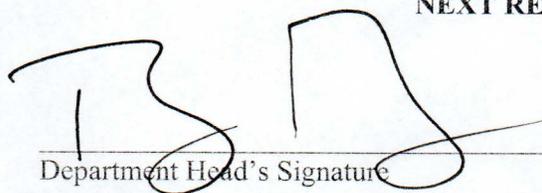
**Policy Statement Concerning:**

**Personnel Review and Evaluation Standards/Procedures**

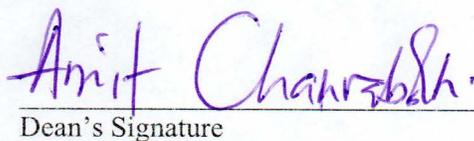
- Performance Evaluation Criteria
- Annual Evaluation
- Reappointment Evaluation for:
  - Annual Reappointment Reviews
  - Mid-Tenure Review
- Tenure
- Promotion
- Professorial Performance Award
- Chronic Low Achievement
- Post-Tenure Review
- Non-Tenure Track Faculty Titles

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

**NEXT REVIEW DATE:**

  
Department Head's Signature

5/15/19  
Date

  
Dean's Signature

5-20-2019  
Date

  
Provost's Signature

7/1/2019  
Date

**DEPARTMENT OF PHILOSOPHY  
KANSAS STATE UNIVERSITY  
EVALUATION PROCEDURES AND CRITERIA**

**I. INTRODUCTION**

This document is the Philosophy Department's attempt to: 1) state our commitment to fair labor practices, 2) state our commitment to professional standards consistent with a department at a Research I university, and 3) offer guidelines for all faculty on standard expectations for annual evaluations and promotion decisions. We realize that a statement of formal evaluation procedures and criteria is required for the assessment of faculty performance. It is our belief that other important functions of these procedures and especially these criteria are to encourage the faculty to excel in its profession and to offer a mechanism for rewarding superior performance. (See the University Handbook, Sections C30.1-C30.3.)

**II. FACULTY IDENTITY**

The philosophy department consists of tenure-line, tenured, and visiting faculty. Visiting faculty are typically hired to replace a permanent faculty on-leave, or to enable the department to function during a fiscal crisis, and are therefore to be given one-year appointments absent further relevant considerations. In the event that a fiscal crisis prevents the department from hiring a tenure-line faculty and when that results in a need for visiting faculty for consecutive academic years, the department head will generally offer a contract to visiting faculty on the basis of seniority. Everything that follows in this document applies to tenure-line and tenured faculty.

Although the department has no graduate program, as a department at a research university, our primary responsibilities are divided between undergraduate teaching and research. The small size of the department means that no member can be devoted almost entirely to research or should be devoted entirely to teaching. We believe that in the absence of special circumstances neither of these should be more than 7/10s of an individual's responsibility. In the absence of special circumstances, no more than 1/10 should be assigned to service.

**III. PROCEDURES**

The following procedures adhere to the provisions in Section C of the University Handbook and follow suggestions in the 2012 revision of "Effective Faculty Evaluation: Annual Salary Adjustments, Tenure and Promotion".

Schedules for reappointment of untenured faculty are governed by section C162.3 of the University Handbook. Schedules for tenure and promotion are set annually by the Provost and Dean. Schedules for annual merit evaluation and for mid-tenure review will be set out in this document.

A special provision in this document as regards outside reviewers (for tenure and promotion decisions) requires that the candidate for promotion and/or tenure sign a waiver/no waiver of her/his right to view evaluations by on- or off-campus reviewers. This provision supersedes the provision of a blanket "expectation" of confidentiality for peer reviewers set out in Section C35 of the University Handbook.

## **A. Procedures for Annual Evaluations**

(See the University Handbook, Sections C40-C48.3.)

(1) At the end of the calendar year each faculty member will prepare a Faculty Record listing his or her activities under the three headings of Teaching, Research and Service during that year. Appended to this Record may be other relevant materials such as off-prints, teaching materials and evaluations, reviews and the like.

(2) The department head will announce to the faculty a date early in the new year by which the Faculty Record must be submitted to the department head. Adequate notice of this deadline must be given. It is the responsibility of the individual faculty member to submit the Faculty Record by that date.

(3) On the basis of the Faculty Record and other relevant materials the department head will prepare a written draft of the evaluation of each faculty member. The evaluation will include (a) a statement of the individual's responsibilities and the weight assigned to each, (b) a summary of the substantive evidence used to arrive at the evaluative judgments in each category, (c) succinct assessments of effectiveness in carrying out each responsibility, and (d) a statement of the overall evaluation which must be consistent with the weights assigned to the separate ratings.

(4) The department head will discuss the draft with each faculty member. This will be an opportunity to amend the draft.

(5) The department head will write a final evaluation of each faculty member. This evaluation will be the basis for the merit salary increase to be recommended by the department head (in conformity with Section C46.2 of the University Handbook). Each faculty member will have the opportunity to review and discuss the final evaluation and will sign a statement that this has been done. The department head will then forward the evaluations to the dean. (But see also the University Handbook, Section C46.4.)

(6) As soon as possible after the evaluation procedure, the department head will meet with each faculty member individually to discuss the assignment of responsibilities for the new year. Such things as courses to be taught and possible committee assignments will be discussed. Faculty members are encouraged at that time to present their research projects and expectations for the year, noting however, that the evaluation of research in the subsequent year will be based on the department's standard expectations (see Section IV. C of this handbook), rather than on whether or not personal expectations are met. Absent special circumstances (e.g. extramural funding, sabbatical or family leave) the relative weight of research, teaching and service ought to reflect the responsibilities of tenured and tenure-line faculty as defined in Section II of this handbook.

(7) The extra-departmental procedure for annual evaluation is explained in Sections C47.1-C48.3 of the University Handbook.

## **B. Procedures for Reappointment**

(see the University Handbook, Sections C50.1-C56.)

(1) According to Section C162.3 of the University Handbook, the following provisions govern the timing of decisions made by the departments and the colleges.

*For faculty members whose services are to be terminated before tenure is attained, written notice shall be given them by the dean of their college. A faculty member on a regular appointment who has been employed less than one year shall be notified by March 1 if services are to be terminated the following June 1. A faculty member on a regular appointment employed for more than one year shall be given the same written notice by December 15 if services are to be terminated the following June 1. A faculty member employed two or more years shall be given the same written notice at least 12 months before the expiration of an appointment.*

Specific deadlines are set each year by the Provost and Dean, but generally reappointment decisions for the second year of service are made in the spring of the first year, reappointment decisions for the third year of service are made in the fall of the second year, and reappointment decisions for the fourth and fifth years of service are made in the spring of the third year.

(2) The department head will notify each candidate for reappointment of the date by which s/he should submit documentation of her/his professional achievements in the evaluation period.

(3) Each candidate for reappointment will submit, on or before the date specified by the head, a file of materials for review by the eligible members of the department. This file should include a Curriculum Vitae, a statement of self-evaluation, and a statement of plans for at least the next evaluation period. The file should also include evidence of activities in the areas of research, teaching, and service. Candidates for reappointment are expected to consult both the head, the University Handbook, and Effective Faculty Evaluation: Annual Salary Adjustment, Tenure and Promotion to determine what can be submitted as evidence of achievements.

(4) The head will make each candidate's file available to all eligible faculty members for review. Although the department head may solicit the reflections of any faculty member, only tenured faculty may vote on a reappointment decision. Prior to the vote of the tenured faculty, any member of the tenured faculty may request that a candidate meet with the faculty to discuss, for purposes of clarification, the evidence of achievement submitted by the candidate.

(5) The head will call a meeting of the tenured faculty for the purpose of discussing the progress towards tenure of the candidate(s) and voting on the reappointment of the candidate(s). Vote on any candidate shall be taken only at such a meeting and shall be by secret ballot. Faculty unable to attend for genuinely pressing reasons may request an absentee ballot. The department head shall absent her/himself for the final discussion and the balloting for each candidate. The tenured faculty will decide who shall count the ballots and report the result to the tenured faculty and carry the ballots to the head.

(6) The head will report to the candidate the vote of the faculty together with the faculty's assessment of the candidate's progress towards tenure in the areas of teaching, service, and research. The head will explain what points were under discussion and the reasons for the assessment, forwarding to the candidate any matters the faculty want forwarded to the candidate as well as her/his own recommendation.

(7) The head will present to the dean on or before the date specified by the dean: (a) the head's written recommendations and explanations regarding reappointment or non-reappointment for each candidate; (b) each candidate's complete file; and (c) the result of the vote of the tenured faculty.

(8) The extra-departmental procedure for reappointment is explained in Sections C54-C56 of the University Handbook. Faculty members must be informed in writing of a decision not to renew their reappointments in accordance with the 'Standards of Notice of Non-Reappointment,' Appendix A of the University Handbook.

### **C. Procedures for Tenure and Promotion**

(For tenure, see the University Handbook, Sections C70-C116.2. For promotion, see Sections C120-156.2.)

NB: If the faculty member is not to be continued in service beyond the expiration of the probationary period, notice shall be given at least one year prior to the expiration of the probationary period.--University Handbook, Section C162.3

(1) The timing of the steps to be taken by each candidate and by the department follows the schedule annually distributed by the Provost for tenure and promotion decisions. The timing in the following description of such steps reflects the pattern that has been set out in past years.

(2) In the Spring and Summer of each year the head will ask any regular faculty who could be a candidate for tenure and/or promotion if they are interested in being put forward by the department in the next round. The head may also ask the advice of other faculty as to the merits of potential candidates. Untenured faculty in tenure track appointments may request an early tenure review; normally this is done only after consultation with the department head. (See the University Handbook, Section C110.)

(3) In late Summer and early Fall each candidate for tenure and/or promotion will submit to the head:

- (a) a list of five names of potential outside reviewers,
- (b) a current Curriculum Vitae,
- (c) a signed waiver/no waiver form of her/his right to view evaluations by on- or off-campus reviewers, and
- (d) copies/offprints of relevant and representative publications and, perhaps, work in progress.

The head will also solicit names of qualified potential reviewers from other eligible faculty in the department. The head will obtain at least four reviews; with reviewers equally divided between some suggested by the candidate and some suggested by the faculty. The head will send to those who agree to conduct reviews a copy of the candidate's Curriculum Vitae, a statement concerning the candidate's waiver/no waiver decision, and whatever copies of the candidate's work the reviewer might request. In early Fall each candidate for tenure and/or promotion prepares materials to be submitted for review by the head and the eligible faculty. The Philosophy Department will utilize the standard documentation forms provided by the Provost's Office in assisting each candidate in determining the sorts of materials that are needed. Special mention should be made of the following items.

- (a) In recent years, the College has sought to stress the importance of the candidate's "statement of five year goals" in the standard documentation form. The department encourages its candidates to craft this part of the record with care and with a view to setting goals against a background of a thoughtful examination of the sort of research-planning that is characteristic of philosophy.
- (b) In constructing the Curriculum Vitae and describing the research record, it is important to indicate, for clarity's sake, which items are refereed, which invited, and so on. It may even be wise to indicate acceptance rates, numbers of articles published per year, and so on. This is useful for providing a solid basis for a fair assessment of the record by the department and for those outside the department who would review a positive decision made by the department.

(4) The head will make each candidate's file available to all eligible faculty members for review. The eligible faculty (see section III C.5.) may solicit the reflections of any other faculty members. Prior to the vote of the eligible faculty, any member of the eligible faculty may request that a candidate meet with the faculty to discuss, for purposes of clarification, the evidence of achievement submitted by the candidate.

(5) The head will call a meeting of the eligible faculty for the purpose of discussing and voting on the tenure and/or promotion of the candidate(s). Vote on any candidate shall be taken only at such meeting and shall be by secret ballot. Faculty unable to attend for genuinely pressing reasons may request an absentee ballot. The department head will absent her/himself for the final discussion and the balloting for each candidate. The eligible faculty will decide who shall count the ballots, report the result to the eligible faculty and carry the ballots to the head.

NB: "Eligible faculty" means only and all tenured faculty in the department in the case of tenure and promotion to Associate Professor; in the case of promotion to Professor, "eligible faculty" means only and all individuals in the department already at the rank of Professor.

The head will report the vote of the faculty to the candidate and explain in general terms both what points were under discussion and any matters the faculty want forwarded to the candidate. The head will report and explain her/his own recommendation.

(6) The head will present to the dean on or before the date specified by the dean: (a) the head's written recommendations and explanations regarding tenure and/or promotion for each candidate; (b) each candidate's complete file; and (c) the result of the vote of the eligible faculty.

(7) The extra-departmental procedure for tenure is found in Sections C113-C115 of the University Handbook; the extra-departmental procedure for promotion is found in Sections C153.1-155.

#### **D. Procedures for Mid-tenure Review**

(See the University Handbook, Sections C92.1-92.2; but also refer to the wider context of provisions regarding tenure, Sections C70-116.2.)

NB: The mid-tenure review process, in accordance with the University Handbook, Section 92.1, is intended to "provide the faculty member with substantive feedback from faculty colleagues and administrators regarding his or her accomplishments relative to departmental tenure criteria. A positive mid-probationary review does not insure that tenure will be granted in the future; nor does a negative review necessarily mean that tenure will be denied." Accordingly, the candidate should expect to receive fairly detailed commentary on her/his performance from both the department and the dean.

(1) Unless otherwise stated in the candidate's contract, mid-tenure review is to occur during the third year of appointment. The Philosophy Department will conduct mid-tenure review as an aspect of its reappointment decision for that year. The timing that follows is determined by this policy.

(2) The department head will notify each candidate for reappointment of the date by which she/he should submit documentation of her/his professional achievements in the evaluation period.

(3) In preparing materials to be submitted for review by the head and the eligible faculty, the candidate should be aware that the Philosophy Department will utilize the standard documentation forms for Tenure and Promotion provided by the Provost's Office. Special mention should be made of the following items.

- (a) In recent years, the College has sought to stress the importance of the candidate's "statement of five year goals" in the standard documentation form. The department encourages its candidates to craft this part of the record with care and with a view to setting goals against a background of a thoughtful examination of the sort of research-planning that is characteristic of philosophy.

- (b) In constructing the Curriculum Vitae and describing the research record, it is important to indicate, for clarity's sake, which items are refereed, which invited, and so on. It may even be wise to indicate acceptance rates, numbers of articles published per year, and so on. This is useful for providing a solid basis for a fair assessment of the record by the department and for those outside the department who would review a positive decision made by the department.

NB: This documentation is exactly like that for tenure and promotion, with the exception of letters of outside review.

(4) The head will make each candidate's file available to all eligible faculty members for review. Although the department head may solicit the reflections of any faculty member, only tenured faculty may vote on a reappointment decision and on a mid-tenure review decision. Prior to the vote of the tenured faculty, any member of the tenured faculty may request that a candidate meet with the faculty to discuss, for purposes of clarification, the evidence of achievement submitted by the candidate.

(5) The head will call a meeting of the tenured faculty for the purpose of discussing and voting on the reappointment of the candidate(s) who is/are being considered under the mid-tenure review provisions. Vote on any candidate shall be taken only at such meeting and shall be by secret ballot. Faculty unable to attend for genuinely pressing reasons may request an absentee ballot. The department head shall absent her/himself for the final discussion and the balloting for each candidate. The tenured faculty shall decide who shall count the ballots, report the result to the tenured faculty, and carry the ballots to the head. The head will report the vote of the faculty to the candidate and explain in general terms both what points were under discussion and any matters the faculty want forwarded to the candidate. The head will report and explain her/his own recommendation.

(6) The head will present to the dean on or before the date specified by the dean the standard materials that accompany a reappointment decision plus substantive reflections of the entire tenured faculty as regards the candidate's promise for tenure.

(7) Since the mid-tenure review occurs simultaneously with the reappointment decision made in the third year, the extra-departmental procedure for reappointment is in large part the same as that explained in Sections C54-C56 of the University Handbook. Faculty members must be informed in writing of a decision not to renew their reappointments in accordance with the 'Standards of Notice of Non-Reappointment,' Appendix A of the University Handbook.

### **E. Procedures for Professorial Performance Awards**

The Professorial Performance Award rewards strong performance at the highest rank with a base salary increase in addition to merit increases provided for by the annual evaluation process.

(1) Professorial Performance Award recommendations will follow the timeline for annual evaluations, as described in section I A. above; materials will therefore generally need to be submitted in late December or early January.

(2) A candidate for this award must be a full-time full professor and have been in that rank at Kansas State University for at least six years since the last promotion or Professorial Performance Award.

(3) Eligible candidates should submit for review a list of courses taught, evidence of teaching effectiveness, service duties, and research accomplishments (invited and conference talks, reviews, peer-reviewed and invited articles, books, and grants), and such supporting documentation as would be appropriate for an annual evaluation.

(4) The tenured faculty members and the head review the documents, and meet to assess the degree of accomplishment over that period as compared to the current standards for tenure and promotion, and to vote on a recommendation. The head will prepare a written evaluation, reflecting the sense of the department as expressed at the meeting, and reporting the department's recommendation.

(5) The head will review the evaluation and recommendation with the candidate, the candidate will sign a statement acknowledging this review, and the head will forward to the candidate a final version of the evaluation and recommendation. Candidates may submit written statements of any unresolved differences with respect to the evaluation, within one week of receiving the final version, and this letter will be forwarded with the head's evaluation and recommendation to the dean.

## **IV. CRITERIA AND STANDARDS FOR ANNUAL EVALUATIONS**

### **A. General considerations**

The Department of Philosophy here sets out criteria and standards for performance for all of its faculty, regardless of rank and status, to guide the head in making annual evaluations.

Since these criteria and standards prescribe generally what shall count as satisfactory and excellent performance, they may also be used by the department as crucial elements to be considered in making reappointment decisions for non-tenured faculty and for assessing progress towards tenure and/or promotion. Subsequent sections are written with this in mind.

The department recognizes that there is a correlation between institutional support for research (e.g. funding for travel to conferences, presentations, guest lecturing, and related

activities) and the quantity and quality of research output. Lacking such support will likely impact junior faculty more so than senior faculty, in part because early career faculty are in the early stages of their research programs and will typically benefit more from the above-mentioned activities. Since 2008 financial support for research has been imperiled by anticipated and actual budget cuts, and it is unreasonable to expect faculty performance to remain unchanged while institutional support for research declines or is effectively eliminated. During times of fiscal crisis, we instruct the department head, tenure and promotion review committees to weigh this consideration in annual evaluations, reappointment, tenure and promotion decisions.

### ***The Numerical Rating Scale***

The department will use a numerical scale for assessing performance within each category, teaching, research and service. Each will be evaluated on a scale of 1 to 5. The numerical values will indicate the following general levels of performance:

- 1 = fails to meet the department's minimal expectations.
- 2 = meets minimal expectations, but needs improvement.
- 3 = satisfactory performance that meets the department's expectations.
- 4 = goes beyond the usual expectations.
- 5 = definitely superior performance.

In what follows the department establishes standard expectations for each of the three categories.

### **B. Teaching**

We are all aware of the problems in both the intelligent and intelligible evaluation of teaching. Necessity, however, demands that we agree upon criteria that will determine both the department's standard expectations and superior performance. Teaching evaluation shall ordinarily be considered on a two-year 'rolling average' basis. That is, the evaluation will be based on the average of the performance for the year under review and the preceding year.

The greater part of the teaching done in the Philosophy Department is in introductory courses that are populated by students who are required to take a philosophy course to satisfy degree requirements in the College of Arts and Sciences. There are special problems in teaching courses to such students, many of whom are reluctant and are there against their will. In addition, these courses place largely unfamiliar demands of reading and writing on students. It is a rare instructor, indeed, who will receive 'rave' ratings from students on evaluation forms. While the department does require the faculty to evaluate all their courses using the department's approved form, the evaluations by themselves often do not accurately reflect the quality of an introductory course. For this reason, the department will use student evaluations with caution, especially those of introductory classes.

The standard expectations of satisfactory teaching will be:

- (i) Classes are met regularly, the instructor is available to students and holds regular office hours. Examinations and papers are graded and returned to students in a reasonable time.
- (ii) The courses include suitably challenging reading and writing assignments or, in the case of courses devoted to formal methods (such as logic courses), suitably challenging exams.

The departmental evaluation of teaching shall also, especially when looking for signs of excellence in teaching, place emphasis on the intellectual content of a course as evidenced by reading lists, examinations and assignments, and the rigor of their marking. Additional evidence of surpassing the standard expectations may include such things as the following:

- Imaginative design of courses or development of special teaching materials that further the serious study of philosophy, including the application of philosophy to other fields.
- Work with students on an individual basis that leads to outstanding student performance, winning of scholarships, fellowships, special awards, etc.
- Special recognition or awards for good teaching from outside the department.
- Above average rating on student evaluation of courses. The evaluations should be from a majority of the students in the class.

Faculty may request that the evaluation of teaching take into account syllabi, tests, essay assignments, samples of graded assignments, and a classroom observation by the head or other faculty member. When faculty make such a request, observations will take place on a timeline agreed upon between faculty and department head. Faculty may request additional observations, and videotaped lectures can be substituted for in-person observations if the instructor so desires. If the instructor so desires, the departmental evaluation of teaching should also take into account the instructor's own written assessment of the classes s/he has instructed.

### **C. Research**

Each member of the department is expected to do research that will lead to publication, or in some way, make a contribution to philosophical knowledge. Because of the nature of much philosophical work and the limited opportunities for extramural funding, it is not a standing expectation of department faculty that they will secure grants. However, for those who endeavor to do so, the securing of significant extramural funding is itself to be considered a research accomplishment.

The assessment of the quality of an individual's contribution to philosophical knowledge is, of course, complicated. To judge an individual's contribution to philosophical research on the basis of the number of pages published or the number of citations his or her work receives is misguided. There also are good objections to putting forward criteria only in terms of numbers of articles published. This fails to take into account the wide variations in quality among different articles. The quality of a contribution cannot be judged simply

by the prestige of the venue. Exceptional work is routinely found not only in the most prestigious journals but also in less prominent journals.

There are, nevertheless, some obvious distinctions to be made. The evaluation of research will therefore follow the following general principles.

(1) The evaluation of research will be based on a three-year 'rolling average' basis. That is, the evaluation will be an average of the performance for the year under review and the previous two years. Excellent philosophical work often requires time to mature and the work an individual is doing in a particular year, while it may not result in publication that year, can bear fruit in future years. For instance, it characteristically takes a number of years to produce a worthwhile book, and the situation with articles can be similar, in that research can proceed in such a way that the result is a number of articles, none of which are in a publishable state until nearly all are. The 'rolling average' method of evaluation is intended to take account of this fact of academic life. Clear evidence of significant work in progress, however, must be made available at the time of evaluation.

(2) Research will be understood to include but not be limited to such things as:

- Publications: books, articles in refereed professional journals, invited articles in collections, discussion notes in journals and book reviews.
- Meetings: papers read at professional meetings (refereed), invited papers, participation on panels, symposia, etc., serving as commentator on another's paper.
- Grants: proposals submitted, and grants awarded.
- Other: commenting on work by others that leads to publication, papers presented to other departments by invitation, presentations at departmental colloquia and work in progress.

Awards for research and publication in philosophy shall be considered marks of merit.

Along with the usual list of research activities on the Faculty Record form, faculty members are encouraged to submit comments on their work from colleagues in other departments, reviews of their books, discussions of their work in other publications and the like that would be evidence of its value.

(3) The quantity of research is to be considered. The department cannot prescribe the number of publications required for a "good" or "excellent" rating. We do believe, however, that one substantial, peer-reviewed philosophical article in a reputable venue during a three-year 'rolling average' period should be considered a "satisfactory" performance, and may justify a rating of "good" or "excellent," depending upon its quality.

(4) The ultimate responsibility for assessing the quality and relative merit of the publications, presentations, etc. must lie with the professional judgment of the department head. But these judgements should be guided, inter alia, by the following considerations:

- (a) All other things being equal, a multi-chapter monograph is a greater contribution than a journal article, which is a greater contribution than a book review or short commentary.
- (b) All other things being equal, a peer-reviewed publication or presentation is a greater contribution than non-refereed publications.
- (c) All other things being equal, greater engagement by other scholars (i.e. citations, commentaries, book reviews, etc.) is to be considered evidence of a greater contribution.
- (d) A prestigious venue may be taken as an indicator of exceptional quality, but a less prestigious venue should not be taken as an indicator of poor quality. The vagaries of academic publishing, and the desire to reach specific audiences, often require publication of high quality work in niche or under-recognized venues. With this in mind, the quality of a venue may be determined by considering, inter alia: the rates of acceptance at the venue, its reputation amongst members of the relevant research area, and evidence of the breadth of its readership within and outside the discipline.
- (e) Cross-disciplinary work will be assessed with respect to the contributions it makes to the relevant disciplines and its broader intellectual significance. If necessary, the department might seek the opinion of respected colleagues in relevant departments.
- (f) The mode of publication (i.e. whether it is online-only or printed, open-access or via subscription) should not be taken as an indicator of quality, so long as the venue follows the standards of reputable academic publishing.

The faculty member shall have the right to request the department to seek the opinion of respected colleagues in other philosophy departments (or in the case of interdisciplinary work, departments in the relevant discipline) on the merit of any particular contribution.

(5) As is the case for the assessment of a faculty member's publication record, the ultimate responsibility for assessing the quality and relative merit of a grant must lie with the professional judgment of the department head. But these judgments should be guided, inter alia, by the following considerations

- (a) All other things being equal, extramural competitive grants are of greater merit than intramural and/or non-competitive grants; furthermore, the competitiveness of the grant matters.
- (b) Support of research activities at Kansas State and expansion of the research capabilities of the department (e.g., by funding student research) should be a factor in the assessment of the merit of the grant.
- (c) While the dollar amount of a grant is itself not a measure of merit, it can serve as a proxy for the scale and scope of work, which in general should be a factor in the assessment of the merit of the grant.

#### **D. Service**

The department does not have a service component that falls under what the Faculty Handbook calls "Directed service." All service activities relevant to the department fall under the heading "Non-directed Service." Activities included under this heading fall into

three categories, (1) "Institution-based service," (2) "Profession-based service," and (3) "Public-based professional service." (see Section C6 of University Handbook)

Satisfying standard expectations in the area of service consists in a willingness to take on one's share of the burdens in this area in terms of committee work, whether at the level of the department, the college, or the university, or in assuming other extra-departmental tasks.

Ways of exceeding the standard expectations include:

- (a) Superior performance in the realm of institution-based service such as serving as a chair of a departmental, college, or university committee that is in existence for a period of time, or special service on such a committee, e.g., being charged with the major burden of writing proposals, reports, etc.
- (b) Profession-based service such as holding office in a regional or national philosophical society; organizing a meeting or arranging a program of such a society; refereeing articles or reviewing manuscripts upon the request of responsible journals and publishers; evaluating colleagues in departments at other universities for promotion and tenure upon the request of the other institution.
- (c) Public-based professional service. For example, members of our faculty are sometimes invited to give talks and conduct discussions relying on their expertise as philosophers.

#### **E. Merit Raise Recommendations**

(1) Unless unusual circumstances obtain, as defined in section F below, the head will rank faculty on a point scheme determined by a vote of the department. The (roughly) highest third, middle third and lowest third point scores will be ranked as such by the head, and raises will be given accordingly.

(2) Absent unusual circumstances, faculty will receive merit raises in the ratio of  $x\%+.1\%$ ,  $x\%$ , and  $x\%-.1\%$  for faculty ranked in the highest, middle and lowest thirds, respectively.

#### **F. Unusual circumstances**

(1) Unusual circumstances obtain if and only if, either:

- (a) A faculty member is returning from sabbatical or leave, or from an administrative appointment, or has been a member of the department for less than a full calendar year, or
- (b) The head believes one or more faculty are working below potential, and have done so for a sustained period, to the extent that the head thinks the faculty member(s) are likely to be in danger of chronic low achievement pursuant to sections C31.5-C31.7 of the Faculty Handbook.

(2) In circumstances (1) (a), the faculty member is to be given a 'satisfactory' ranking, and assigned to the middle category for the purposes of merit raises.

(3) In circumstances (1) (b), the head will forward pertinent material, with a recommendation as to evaluation, to the Annual Review committee of the department. The committee will send to the head a letter making a recommendation as to the appropriate evaluation, and a recommendation as to the appropriate reference category for merit raises.

## **V. CRITERIA AND STANDARDS FOR REAPPOINTMENT**

The criteria for reappointment should be defined in direct relation to the criteria for tenure, since the question of whether to reappoint a probationary tenure-track faculty member boils down to the question of whether it is realistic to expect the faculty member to meet the criteria for tenure when the time comes. For probationary faculty, meeting the criteria does not necessarily mean meeting a yearly quota as a percentage of the final goal. It does mean making timely progress on a research program likely to lead to tenure.

### **A. Teaching**

In accordance with the foregoing general remarks concerning reappointment, it is appropriate for the department to adapt 'retrospective' tenure criteria with regard to teaching, viz. that the faculty member perform satisfactorily in each probationary year, with some allowance made for initial adjustments to a novel environment and/or student population in the first semesters of teaching, when followed by definite improvement.

### **B. Research**

So far as research is concerned, in general terms, a favorable reappointment decision shall be conditional upon documented evidence of substantial progress in research since the previous evaluation, in the form of papers published, in preparation, or delivered to Department colloquia or other philosophical fora. What will count as substantial progress will inevitably depend on:

- what it is reasonable to expect in the light of the faculty member's teaching commitments for the year in question,
- the degree of institutional support available to the faculty member, and
- the degree to which the subject-matter of the research represents a new departure, requiring mastery of a new literature.

### **C. Service**

The faculty member's service should meet the department's 'standard expectations.'

### **D. Mid-tenure review**

The criteria for mid-tenure review, in all three categories, should depend upon the relative remoteness of the possibility, taking all relevant factors into consideration, of the faculty member's failing to get tenure when the time comes. The review should therefore be conducted with a view to the candidate's prospects for satisfying the standards for Tenure and Promotion outlined in Section VI below.

## **VI. CRITERIA AND STANDARDS FOR TENURE AND PROMOTION**

### **A. Tenure and promotion to associate professor**

The decision to grant tenure is a serious one for the department. The candidate for tenure and its attendant promotion to associate professor must have demonstrated considerable academic accomplishment as well as the promise of future accomplishment. The department's expectations include the following.

(1) Teaching: Perform at least satisfactorily during the years of the probationary appointment. Should the performance be less than satisfactory during the Mid Tenure Review, evidence of definite improvement will be required in the remaining years.

The evaluation of teaching will take into account syllabi, tests, essay assignments, samples of graded assignments, and a classroom observation by the head or other faculty member. While teaching evaluations will be considered, they will be used only with caution, because while teaching evaluations are indicative of student enthusiasm, they are poor measures of pedagogical quality.

The departmental evaluation of teaching shall also, especially when looking for signs of excellence in teaching, place emphasis on the intellectual content of a course as evidenced by reading lists, examinations and assignments, and the rigor of their marking. Additional evidence of surpassing the standard expectations may include such things as the following:

- Imaginative design of courses or development of special teaching materials that further the serious study of philosophy, including the application of philosophy to other fields.
- Work with students on an individual basis that leads to outstanding student performance, winning of scholarships, fellowships, special awards, etc.
- Special recognition or awards for good teaching from outside the department.
- Above average rating on student evaluation of courses. The evaluations should be from a majority of the students in the class.

(2) Research: The evaluation will take into account both the quality and quantity of publications. No particular number of publications is necessary for meeting the research expectation. Nor is any particular number of publications sufficient for meeting the research expectation. Only publications with substantial intellectual value will be given any weight at all. Expectations of quantity will vary with the quality of the work (see University Handbook C100.1). For instance, while four articles of respectable quality during the years of candidacy would normally meet the research expectation, two articles of exceptional quality or one of very high quality and two of respectable quality might also meet this expectation. An original scholarly monograph with a respected academic press would normally substitute for three articles. The securing of a significant, competitive, grant would normally substitute for a single article. Other philosophical works (book reviews, invited presentations at prestigious conferences, non-refereed work) are not generally considered, but could help meet the research expectation by providing evidence of promise of a national or international reputation.

While the ultimate responsibility for assessing the quality of the candidate's body of work must lie with the professional judgment of the department, the department provides the following guidance to pre-tenure faculty as a description of a tenure committee's typical deliberative process.

- (i) A peer-reviewed publication will generally be judged at least respectable if it is an original research article published in a refereed, well regarded venue that is generally recognized as such by the philosophical community.
- (ii) Cross-disciplinary work will be assessed with respect to the contributions it makes to the relevant disciplines and its broader intellectual significance. If necessary, the department might seek the opinion of respected colleagues in relevant departments.
- (iii) The coherence of the body of work as a whole, and/or the indicated trajectory of the work beyond tenure, will be considered by the tenure committee.
- (iv) The judgements of external reviewers as to the quality of the candidate's work, and/or their indicated trajectory beyond tenure, will be considered by the tenure committee.

(3) Service: It is expected that the service performed by the candidate will meet the standard expectations of the department. See Section IV.D

## **B. Promotion to professor**

The standards for promotion to professor must be substantially higher than for promotion to associate professor.

(1) Teaching: The candidate must have established a solid record of successful teaching as measured by student evaluations, the intellectual content and rigor of her or his courses, the development of teaching materials that further the serious study of philosophy, performance of her or his individual students, receipt of special awards, and the like.

(2) Research: The candidate for promotion must not merely show promise of good work to come, but must have already produced a body of good work since the last promotion. A book published by a reputable academic press is evidence of such work. Alternatively, a substantial number of articles in respected refereed journals and papers presented at regional and national meetings (refereed) will be accepted as evidence.

The candidate must have established a national reputation in her or his field as evidenced by discussions of her or his work in the professional literature, invitations to present papers at meetings or at other universities, to contribute articles to edited collections, requests to referee manuscripts for journals and presses, to review the qualifications of faculty at other universities for tenure and promotion, and the like.

(3) Service: In addition to satisfying the criteria for satisfactory service the candidate must have demonstrated a willingness to do whatever necessary departmental and college committee work that wants doing and a willingness to serve the profession, e.g. serving

as an officer in a professional society, helping to organize professional meetings, refereeing manuscripts, etc.

## **VII. CRITERIA AND STANDARDS FOR THE PROFESSORIAL PERFORMANCE AWARDS.**

**A.** Per Section C49 of the University Handbook, faculty will qualify as candidates for a Professorial Performance Award if that have held the rank of full professor for 6 or more years, and have not received a professorial performance award for 6 or more years.

**B.** Per Section C49 of the University Handbook, a recommendation for Professorial Performance Award will be made only subsequent to an evaluation finding that the candidate's performance over the past 6 academic years would warrant promotion to full professor according to the standards for tenure then in force.

## **VIII. CHRONIC LOW ACHIEVEMENT POLICY**

### **A. Preamble**

The system of tenure at Kansas State University is understood to be a means for providing senior faculty (1) the freedom necessary for the best use of their talents in pursuing excellence in scholarship and instruction and (2) sufficient economic security to make the profession attractive to men and women of ability. [See Appendix C of the KSU University Handbook.] There is a concern in the state community that this system protects tenured faculty who chronically underachieve; and, they believe, tenured faculty ought therefore be held to a set of standards of minimally acceptable expectations. In 1995, although no data--nor other evidence of any kind--have ever been offered to support the claim of even occasional abuse of the tenure system at any of the Regents institutions, the Kansas Board of Regents charged each Regents campus with coming up with a plan to respond to these concerns and to require establishment of standards of minimally acceptable levels of performance. In Spring 1996, the Kansas State Faculty Senate passed section C31.5 of the Kansas State University's University Handbook with a view to adequately responding to the Regents' charge. The Faculty Senate subsequently added sections C31.6, C31.7 and C31.8 to clarify elements of C31.5. These sections of the University Handbook charge each unit of the University with establishing the relevant standards and procedures to comply with the Regents' policy.

### **B. Procedures**

Procedures for determination of inadequate performance, as measured against the standards detailed below, shall be in conformity to Sections C31.5 - C31.8 of the University Handbook.

### **C. Standards**

Every faculty member in the Department of Philosophy carries an instructional load consistent with the missions of the Department, which include service teaching to the College of Arts and Sciences and the University and an active major program with emphases in philosophy traditionally construed, pre-law, pre-ministry, pre-business, and interdisciplinary studies. Accordingly, each member has an annual assignment in instruction, determined by the head and the faculty, that typically includes teaching at

both the upper-division and lower-division levels, advising, and course development, which involves new courses, new methods, and new content for courses previously taught. Because Kansas State University is a major research institution and the College of Arts and Sciences is the core of the University in both instruction and scholarship, the Department of Philosophy maintains standards of research excellence consistent with both those facts and with the fact it is an undergraduate-only department. Every faculty member, accordingly, has an annual assignment in research. Minimal expectations include maintaining an ongoing active research program together with efforts towards the productive dissemination of research successes. Evidence of productivity could include such things as the following: submission to refereed publications and conferences, publication in refereed journals, publication of books in philosophy, presentations to refereed conferences, presentation of invited comments at conferences, publication of invited papers to journals (including book reviews), invited presentations to other departments of philosophy, presentation of work in progress to the KSU Philosophy Department colloquium series, participation in reading groups in current research, or (where appropriate) seeking funding for research activities. [This list is intended to indicate the sorts of evidence of productivity typical in the profession, but it should not be construed as exhaustive. Special research assignments might occur in the department's efforts to maximize faculty time and talent that could produce non-typical but valuable evidence of productive dissemination of research successes.]

A department as small as the Department of Philosophy at Kansas State University requires of its members a fair amount of committee work. Accordingly, unless special conditions obtain, each member is expected to serve at a minimum on several committees, as appointed by the head. In addition, faculty with tenure are encouraged to stand for election to College committees, to serve on University, College, and professional committees whose work relates either to their area(s) of professional expertise or to the general academic well-being of the department or profession, and to stand for election to Faculty Senate. [This list is intended to indicate the sort of service contributions that are typical for Philosophy faculty at KSU, but it is not to be construed as exhaustive. Special service assignments might occur in the department's efforts to maximize faculty time and talent that could result in non-typical but valuable service to the department, college, university, or profession.]

## **IX. POST TENURE REVIEW**

### **A. Preamble**

The Philosophy Department considers it essential that tenured faculty be given the constructive evaluation necessary to make continuing contributions to the life of the university. Although no data has been adduced to suggest that tenured faculty lack requisite support in this respect, there is a concern in the state community that the current system does not do enough to aid or encourage faculty to make continuing contributions to teaching, research, service and extension. This post-tenure review process is thus instituted to ensure that, despite the financial vulnerabilities of public universities like Kansas State, such worries will be ill-founded, and hence the purpose of post-tenure review is to enhance the continued professional development of tenured faculty. The process is intended to encourage intellectual vitality and professional proficiency for all members of the faculty throughout their careers, so they may more effectively fulfill the

mission of the university. It is also designed to enhance public trust in the University by ensuring that the faculty community undertakes regular and rigorous efforts to hold all its members accountable for high professional standards.

## **B. Policy**

Kansas State University recognizes that the granting of tenure for university faculty is a vital protection of free inquiry and open intellectual debate. It is expressly recognized that nothing in this policy alters or amends the University's policies regarding removal of tenured faculty members for cause (which are stipulated in the University Handbook). This policy and any actions taken under it are separate from and have no bearing on the chronic low achievement or annual evaluation policies and processes.

The department policy on post tenure review follows the overarching purpose, principles, objectives, and procedures in the university policy on post tenure review (see University Handbook, Appendix W).

Post tenure review will, for each tenured faculty member, be conducted in the 6<sup>th</sup> year subsequent to the last formal review for that faculty member. Reviews conducted when faculty are nominated for promotion to full professor, nominated for a professorial performance award, reviewed for internal university level awards or reviewed for external awards are understood to constitute formal reviews, as are such other review proceedings as the head may deem sufficient; reviews conducted as part of a chronic low achievement proceeding are also to count as formal reviews.

The review will be conducted by the head of the department, based on material submitted by the faculty under review. A letter detailing the submitted material and the substance of the review will be constructed, and the head will meet with the faculty member under review to discuss the letter. A copy, signed by both the head and the faculty member, will be kept in the faculty member's permanent file. Submitted materials must include a current CV and copies of the 6 prior annual evaluations, but may include copies of work accepted or published in the previous six years, lists of presentations, invited or refereed, extension activities, grants or grant applications, works in progress, TEVALS and generally any evidence bearing on past or ongoing scholarly research, service, teaching or outreach. Contributions to the university will be deemed 'appropriate' so long as a) the faculty member's classroom performance has been acceptable, b) his or her service duties have been carried out effectively, and c) he or she maintains an ongoing research program, or correlative extension activities. In judging whether these contributions are collectively acceptable, achievements in each of these categories are to be weighted in proportion to the faculty member's average FTE assignments over the preceding 6 years. If the faculty member's contributions are judged not to be collectively acceptable, then a face-to-face meeting to develop a plan for allocating appropriate resources for faculty development is required. The development plan should be utilized in future annual evaluations and post-tenure reviews to review progress toward any goals set in the plan.