

Attachment 3

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/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 staffUnclassified 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 staffUnclassified professionals, like faculty, also have the opportunity to
85 perform non-directed service as defined in C6.

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

Commented [MM3]: This language is not needed.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

§85 **C14** Eligibility for academic professorial rank. ~~Unclassified professionals~~Professional
§86 ~~staff~~ Unclassified professionals (in student service departments or in other support
§87 units of the university) who are not associated with an academic department or unit
§88 are not eligible for academic professorial ranks. An academic unit consists of
§89 colleges, schools, departments, and divisions that provide oversight of academic
§90 programs. Because of tradition, academic rank is used for library and extension
§91 faculty not in an academic unit.

§92 **C15** Courtesy professorial appointment. ~~Unclassified professionals~~Professional staff
§93 Unclassified professionals in student service departments or in other support units of
§94 the university who are not associated with an academic department or unit may be
§95 granted courtesy professorial rank in academic departments, with the approval of the
§96 departmental faculty, dean, and provost. Persons granted such courtesy
§97 appointments will be expected to hold the terminal degree, or its equivalent, in the
§98 academic discipline of the department granting the courtesy appointment. Courtesy
§99 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.

404 Appointment Procedures: Professional Staff

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

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

427 Appointment Procedures: Faculty

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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.

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

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.

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.~~

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

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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-](http://www.k-state.edu/policies/ppm/4600/4650.html#040)~~
499 ~~[state.edu/policies/ppm/4650.html](http://www.k-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.

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 &](http://www.k-state.edu/hr/ped/transguidelines.htm)
600 [Procedures for Summer](http://www.k-state.edu/hr/ped/transguidelines.htm) (<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.)~~ When such situations occur, those who would be responsible for the
729 evaluation of a close relative must, in consultation with the administrator to whom
730 they report, establish an evaluation procedure that will avoid this conflict of interest.
731 (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]: From Ruth Dyer:
A40 no longer exists

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

Commented [rd17]: A30 no longer exists.

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

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

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

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

783
784 **Chronic Low Achievement for Tenured Faculty Evaluation**

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

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

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

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

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

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

873 **Other Considerations for Faculty Evaluation**

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

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

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

890
891 **C32.4** Original intellectual and artistic contributions fulfill a fundamental mission of
892 the university and are crucial to institutional excellence. There is great diversity in
893 the scholarly and creative achievement of the university faculty, and departments

894 will establish criteria and standards for all forms of research and other creative
895 achievement appropriate to their missions.
896

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

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

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

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

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

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

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

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

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

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

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

997
998 These materials, along with other documents reflecting the peer review process will
999 be retained by the dean of the college, as will the candidates' files submitted for

Commented [mdr18]: 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 [MM19R18]: This was reviewed by Faculty Affairs, and we discussed the fact that all courses are now required to be evaluated. We discussed that this implies that all student evaluations are reviewed by department/unit heads. This language was changed to have the TEVALS sent to the faculty member and the department/unit head/chair.

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

1006
1007 **C36.1** Outside reviewers. Persons outside the university who are recognized for
1008 excellence in the candidate's discipline or profession may be asked to participate as
1009 reviewers in evaluations for tenure and promotion. Each reviewer should be provided
1010 a written description of the candidate's responsibilities during the period being
1011 evaluated and pertinent materials from the candidate's file. Because outside
1012 reviewers are most likely to be familiar with and able to judge a candidate's research
1013 and other creative endeavor and are likely to review only that area of performance,
1014 this aspect should be recognized and the review weighted accordingly.

1015
1016 **C36.2** The value of outside reviews depends on the appropriate choice of objective
1017 reviewers. Comments from a candidate's major professor or graduate school
1018 classmates are generally less persuasive and should, as a rule, be avoided.

1019
1020 **Other Considerations for ~~Issues of Professional Staff~~ Unclassified**
1021 **Professional Evaluations**

1022
1023 ~~63 Employees within a department or unit who share suitably similar position~~
1024 ~~descriptions should be evaluated with uniform criteria, standards, and guidelines.~~
1025 ~~These procedures should be clearly applicable to those positions, but general enough~~
1026 ~~in nature to allow for consideration of variation among individual position~~
1027 ~~descriptions.~~

1028
1029 ~~These procedures must be mutually approved by a majority vote of the concerned~~
1030 ~~employees, by the department head or unit director, by the concerned dean or unit~~
1031 ~~administrator, and by the provost or concerned vice president.~~

1032
1033 ~~Provision must be made for review at least once every five years or more frequently~~
1034 ~~if it is determined to be necessary by any of the aforementioned parties. Dates of~~
1035 ~~revision (or the vote to continue without revision) must appear on the first page.~~
1036 ~~Copies are available to professional staff in their departmental or unit offices.~~

1037
1038 ~~C37-4~~ All evaluations of ~~professional staff~~ unclassified professionals should explicitly
1039 consider the position description for that employee in the assessment of annual
1040 performance. It should be understood that any position description will possess a
1041 degree of generality and flexibility (i.e., "other duties as assigned") such that specific
1042 duties may be adjusted in accordance with the evolving needs of a department or
1043 unit. However, if a current position description is not on file with the appropriate
1044 unit, or if the current duties of the employee differ in important respects from the
1045 position description on file, a new position description should be developed in
1046 consultation with the employee and mutually agreed upon by all concerned parties as
1047 the basis for any valid evaluation.

1048
1049 In regard to unclassified professional-staff evaluations, the following
1050 recommendations are made:

1051

Commented [MM20]: 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 [MM21]: Mutual agreement for the position description should not be required. Instead the employee will be consulted.

- 1052 a. Annual evaluations should be stated in terms of expectations. The categories
1053 should include at least the following: "exceeded expectations," "met
1054 expectations," "fallen below expectations but has met minimum -acceptable
1055 levels of productivity," and "fallen below minimum -acceptable levels of
1056 productivity." "with the "minimum acceptable levels of productivity". These
1057 categories should clearly reference the expectations duties communicated by
1058 both included in the position description and the letter of expectations [
1059 generated in the hiring process.
- 1060 b. Annual written evaluations should articulate the basis of the categorical rating
1061 assigned. This narrative should provide meaningful detail and/or guidance
1062 regarding how the professional staff member employee might improve or
1063 maintain the assigned category of evaluation in the coming year.
- 1064 c. At minimum, all professional staff annual evaluations of unclassified
1065 professionals should include a written evaluation and a meeting between the
1066 evaluating supervisor and the professional staff member employee. In the
1067 spirit of continuous improvement for both the unit and the professional staff
1068 member, this meeting should further elaborate upon the written evaluation,
1069 explore goals for the coming year, provide an opportunity to ask questions,
1070 and offer clear recommendations for how to address any articulated
1071 deficiencies.

Commented [MM22]: There is no such letter for all hires.

1072
1073 **C37.12** Confidentiality of documents. When applicable, peers who are asked to
1074 participate in a review process for another employee should be able to provide
1075 confidential input. For that reason, professional staff unclassified professionals should
1076 not expect that peer evaluations gathered from individuals at Kansas State
1077 University and at other institutions will be available to them, except in association
1078 with grievance proceeding (see Appendix G). These materials, along with other
1079 documents reflecting a peer review process, will be retained by the relevant dean or
1080 equivalent administrator.

Tenure and Promotion Procedures for Department Heads/Chairs

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1081
1082
1083 **C38** ~~Tenure and promotion procedures for department heads/chairs.~~ Each college is
1084 responsible for establishing departmental procedures to follow when department
1085 heads/chairs are candidates for tenure or promotion. In these cases, all eligible
1086 faculty members within the particular department have the primary responsibility for
1087 judging the qualifications of a candidate, and the criteria and standards used must
1088 be the same as those established by the department for other faculty members.
1089

Evaluation of Graduate Teaching Assistants

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1090
1091
1092 **C39** Graduate teaching assistants (GTAs) provide very valuable contributions to the
1093 missions of the university by participating in the instruction of undergraduate
1094 courses and in research and scholarly activities. GTAs' tasks may range from grading
1095 assignments to the instruction of one or more sections of courses under
1096 departmental supervision. When GTAs are involved in classroom teaching, their skills
1097 in communicating and interacting with students are important in the effective
1098 transfer of information. In order to assure high quality instruction, it is necessary
1099 that GTAs teaching for the first time at Kansas State University be assessed as to
1100 their instructional skills. Feedback from students in class is a valuable source for this
1101

1102 information, and can be used for both ~~skills~~-improvement of skills; and for
1103 management purposes by the department.
1104
1105 Each academic department shall have or put into place procedures for obtaining
1106 student feedback on instructional skills of GTAs teaching for the first time at Kansas
1107 State University. Departments may use their own assessment and analysis
1108 procedures, or adopt the procedures available through the Office of
1109 Assessment~~Planning and Analysis (OPA)~~. These assessments should be conducted
1110 during lecture, recitation or laboratory sessions about three weeks after the
1111 beginning of the semester. As a minimum, this process should include (1)
1112 assessment of basic communication skills such as enunciation, clarity, and loudness;
1113 (2) assessment of interactive skills in responding to student questions; (3)
1114 assessment as to whether the lecture presentations are organized; (4) provision for
1115 feedback to the GTA and implementation of corrective measures when needed; (5)
1116 collection of normative data; and (6) provision for a follow-up assessment if serious
1117 concerns arise. The results of the assessment should be provided to the GTA, the
1118 professor-in-charge, department/unit head, and provost. The results should also be
1119 transmitted to the dean of the appropriate college when serious concerns are raised
1120 about the GTA's communication skills. When GTAs are unable to meet a basic
1121 standard of communication performance as specified in the departmental/Office of
1122 Assessment~~PA~~ procedures, corrective action should be taken to remedy the situation.

1123
1124 C39.1 Disputes concerning graduate assistants' (GTA/GRA/GA) performance are
1125 employment matters that should be originated with the appointing department and
1126 be addressed through normal supervisory channels. The students should begin
1127 addressing the concern with the assigned supervisor of the assistantship and, if
1128 necessary, proceed to the department or unit head. If the matter is not resolved at
1129 the department or unit level, the student may present it to the Dean of the College in
1130 which the (GTA/GRA/GA) is employed. Formal grievance procedures do not apply to
1131 these appointments (see Appendix A of the Graduate Handbook [http://www.k-](http://www.k-state.edu/grad/graduate-handbook/appendixa.html)
1132 state.edu/grad/graduate-handbook/appendixa.html).

1133
1134 ~~Annual Evaluation of Faculty and Unclassified Employees~~Professionals
1135 Evaluation~~Annual Evaluation and Merit Increases for Faculty and~~
1136 Professional Staff

1137
1138 ~~C40 Bases for salary increases. The evaluation will provide the basis for any annual~~
1139 ~~merit pay increases in salary recommendations. See C30-C39 for additional guidance~~
1140 ~~on evaluation processes. Annual written evaluations conducted for the purpose of~~
1141 ~~determining merit salary increases are based on the distribution of responsibilities~~
1142 ~~assigned, the relative difficulty and importance of these responsibilities, and the level~~
1143 ~~of success with which each was performed.~~

1144
1145 ~~C41.1 Development and revisions of the evaluation system. Each unit that includes~~
1146 ~~faculty and/or unclassified professional staff must have a system for annual~~
1147 ~~evaluation of faculty and professional staff unclassified professionals on regular~~
1148 ~~appointment half time or greater. The system of evaluation must include a statement~~
1149 ~~of the department's/unit's evaluation criteria and standards. The evaluation will~~
1150 ~~provide the basis for annual merit salary recommendations. See C30-C39 for~~
1151 ~~additional guidance. General Issues of Faculty Evaluation.~~

1152
1153 ~~C41.2 The responsibility for developing and revising an annual evaluation system for~~
1154 ~~faculty and unclassified professional staff rests primarily with the department's/unit's~~

Field Code Changed

Commented [JH23]: I note that the next several items are somewhat redundant with stuff that was already present in the issues of faculty evaluation section. However, since that redundancy pre-dated our revisions, I did not wish to upset the ecology by expunging it. Thus, I retained a similar redundancy (mas o menos) in the verbiage established for "Issues of Professional Staff Evaluation" that I wrote above - not sure if this is right but don't see it as enough of an issue to want to tackle streamlining. It is an important set of points so I don't see redundancy as necessarily bad. 3/12/15

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

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

1172 ~~C41.4~~

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

Commented [MDR24]: This section has been moved to Section C43.

1181 ~~(b) At least once every five years, the responsible dean, vice provost, vicepresident,
1182 provost or president depending upon the department's/unit's reporting structure, will
1183 issue a request for input from individuals regarding the performance of their
1184 department/unit administrator(s). Please follow the process outlined in B123. (FS
1185 11/10/09 revisions)~~

Commented [MDR25]: This section has been moved to C159.

1187 **C42 Evaluation period.**

1188
1189 The evaluation period will be the same for all individuals in the department/unit, with
1190 the possible exception of first year appointees and individuals who have been on
1191 leave for all or a part of the year. The unit's evaluation system will normally be
1192 based on performance during the 12-month evaluation period ending December 31.
1193 However, department/units may, on the basis of a majority vote choose any other
1194 12-month period for evaluation (e.g., the fiscal year from July 1 to June 30).
1195 Depending on its goals and objectives, a department/unit's evaluation system may
1196 include accomplishments that have occurred over a period of time longer than one
1197 year. It also may specify that a rolling average of the person's annual evaluation
1198 results for several preceding years be used to determine relative salary
1199 recommendations to minimize inequities due to variable legislative actions from year
1200 to year. Faculty and unclassified professionals in such units will receive merit salary
1201 adjustments, if any, up to 12 months after the conclusion of the evaluation period.

1203 **C42.1** For first-year appointees, units have the option of a) recommending an
1204 increase based on the individual's evaluation (adjusted proportionally to encompass
1205 the entire year), b) recommending an average increase, or c) recommending the

1206 larger of the above, since the length of time for evaluating performance was limited.
1207 Such individuals are also eligible for salary adjustments on bases outside the annual
1208 evaluation (e.g., market, equity).

1209
1210 **C42.2** Faculty and ~~unclassified unclassified~~ professionals ~~staff~~ on leave. The unit may
1211 evaluate individuals who were on sabbatical leave or ~~on other~~ leave ~~without pay~~ for a
1212 portion of the year on the basis of their performance during the period they were
1213 engaged in university assignments, and, if so, merit recommendations should be
1214 consistent with this evaluation (adjusted proportionally to encompass the entire
1215 year). If the leave was for the entire year, the individual's average evaluation for
1216 recent years, not to exceed six years, may serve as the basis of the merit increase
1217 recommendation. Such individuals are also eligible for salary adjustments on bases
1218 outside the annual evaluation.

1220 Annual Evaluation of Administrators

1221 Includes performance evaluations of all heads/chairs/directors/associate and
1222 assistant deans and other unclassified professional administrative supervisors.

1225 **C431-4**

1226 ~~(a)~~ Performance evaluations of all heads/chairs/directors/associate and assistant
1227 deans and other administrative supervisors in academic and non-academic
1228 departments/units are completed annually for merit increases. Individuals under
1229 their direct supervision, as well as other faculty, unclassified professionals, university
1230 support staff, and clientele as specified in the department's/unit's evaluation system,
1231 ~~may~~ will be asked to provide input identifying strengths, weaknesses and issues
1232 relevant to the administrator's annual performance. (FSM 11/10/09 revisions) The
1233 method used to collect feedback should be private and confidential, and the feedback
1234 shall be anonymous to the individual being reviewed. However, absolute
1235 confidentiality and anonymity cannot be guaranteed, as when safety, security or due
1236 process requires disclosure. An example of a method that may be used to protect the
1237 privacy and confidentiality of those submitting annual evaluation materials would be
1238 electronic surveys, available through the Office of Planning and Analysis.
1239 Confidentiality and anonymity cannot be guaranteed, such as when safety, security,
1240 or due process requires disclosure. Individuals also may choose to use other
1241 methods to provide confidential feedback to the supervisor of the individual being
1242 reviewed. A description of the five-year review process for administrators is given in
1243 Section C159.

1244 **Responsibilities of ~~Faculty and Faculty and~~ Unclassified** 1245 **~~Employees Professionals Professionals~~ Who Are Evaluated**

1246
1247 **C45.1** Each faculty member ~~and/or unclassified professional person~~ will meet
1248 annually with the unit head to jointly establish goals and objectives in research and
1249 other creative endeavors, teaching, extension, and directed and non-directed service
1250 for the upcoming evaluation period and to discuss their relative importance within
1251 the context of the unit's goals. Each unclassified professional staff person will meet
1252 annually with the unit head to jointly establish goals and objectives related to the
1253 responsibilities set forth in their his/her job description for the year. For all faculty
1254 and unclassified professionals-employees, these goals and objectives should reflect
1255 the relative percentages of time and effort the person plans to allocate to the
1256 appropriate areas in the upcoming period. It is expected that the previous year's

Commented [MDR26]: This is new language that provides additional explanation without changing policy.

Commented [MM27]: 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 [MDR28]: These two sentences are new and are recommended by Office of General Counsel. We recommend that the Faculty Affairs Committee review this change.

Commented [MM29]: 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 [MDR30]: Comes from Section C41.4 in the current version of the UH.

Commented [MDR31]: This is a new statement suggested by the University Handbook and Policy Committee.

1257 statement will be considered during the annual evaluation and goal setting process.
1258 For faculty, the relative emphasis placed on research and other creative endeavors,
1259 teaching, extension, and directed and non-directed service may vary over the course
1260 of the person's career. For unclassified professionals-staff, major changes in duties
1261 and responsibilities (either in response to the changing needs of the unit or in
1262 consideration of employee abilities) should be discussed and mutually agreed upon
1263 and ultimately reflected in an updated position description.

Commented [MM32]: Cannot have mutual agreement to changes in job duties. Instead it will be discussed.

1264
1265 **C45.2** Each unclassified employee faculty and/or unclassified professional faculty
1266 and/or unclassified professional will provide an annual written summary of
1267 accomplishments and activities in accordance with the guidelines provided by the
1268 unit's statement of criteria, standards, and procedures.

Commented [JH33]: 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

1269
1270 **C45.3** Each unclassified employee faculty and unclassified professional faculty and/or
1271 unclassified professional will review, and must have the opportunity to discuss, her
1272 or his written evaluation with the individual who prepared it. Before the unit
1273 head/chair submits it to the next administrative level, each faculty or faculty or
1274 unclassified professional professional person employee must sign a statement
1275 acknowledging the opportunity to review and to discuss the evaluation and his/her
1276 relative position in the planned assignment of merit salary increases within the unit.
1277 Because the amount of funds available for merit increases is generally not known at
1278 this time, specific percentage increases will not normally be discussed. Within seven
1279 working days after the review and discussion, faculty and faculty and/or unclassified
1280 professionals professionals employees have the opportunity to submit written
1281 statements of unresolved differences regarding their evaluations by the unit
1282 head/chair to the unit head/chair and to the next administrative level. The
1283 statement of unresolved differences should be attached to and maintained with the
1284 evaluation.

Commented [MDR34]: This is new language but it provides clarification without changing the policy.

1285 **Responsibilities of Unit/Department Heads/Chairs/Evaluators**

1286
1287
1288 **C46.1** The unit head/chair will prepare by January 31, a written evaluation for each
1289 faculty and professional staff person, whether full or part-time, regularly or
1290 term appointed faculty or unclassified professional person. Quantitative ratings may
1291 be used to summarize evaluative judgments, however, the basis for these judgments
1292 must be explained by a narrative account. The evaluation shall provide succinct
1293 assessments of effectiveness in performing each responsibility, and these statements
1294 must include summaries of the achievements and evidence that support these
1295 assessments. These appointed to regular part time positions must be evaluated,
1296 however, evaluations are not required for an individual on a term appointment, as
1297 defined in C11, even if that employee will be re-hired for another year.

Commented [MM35]: This is changing policy to require annual evaluation of all faculty and professional staff, both regular and term.

1298
1299 **C46.2** The unit head/chair will recommend a salary adjustment for each person
1300 evaluated. The recommended percentage increases based on the annual evaluation
1301 for persons with higher levels of accomplishment shall exceed those for persons with
1302 lower levels of accomplishment. If merit salary categories are utilized, then the
1303 percentage recommended for persons in the first category will be higher than those
1304 for the second category, which in turn shall exceed those for level of accomplishment
1305 in the third category, etc. As a guide, average percentage increases in the highest
1306 category are expected to be about twice those in the lowest category; this ratio is
1307 expected to fluctuate both with the degree to which members of the unit differ in
1308 effectiveness and with the degree to which funds are available. These
1309 recommendations are made before the legislature has appropriated funds to support

1310 salary increases. Therefore, percentage increases should be projected and identified
1311 for each individual or each merit salary category, if used, based upon the governor's
1312 budget recommendations. Recommendations of dollar and percentage increases
1313 should not be communicated to individuals until the appropriation for salary
1314 increases is known.

1315
1316 **C46.3** The unit head/chair will ensure that each ~~faculty or~~ faculty or unclassified
1317 professional ~~professional employee~~ has had the opportunity to review and discuss his
1318 or her written evaluation. Within seven working days after the review and discussion,
1319 ~~faculty or~~ unclassified employees ~~professionals~~ have the opportunity to submit
1320 written statements of unresolved differences regarding their evaluations to the
1321 unit/department head/chair, ~~which will only then be forwarded to the next~~
1322 ~~administrative level.~~

1323
1324 **C46.4** The unit head/chair who prepared the evaluations must submit the following
1325 items to the appropriate dean (or, for support units, the appropriate administrator):

1326 (See schedule as published on the provost's web site at [http://www.k-](http://www.k-state.edu/provost/resources/dhmanual/master.html)
1327 [state.edu/provost/resources/dhmanual/master.html](http://www.k-state.edu/provost/resources/dhmanual/master.html)~~http://www.k-~~
1328 ~~state.edu/academicpersonnel/depthead/manual/master.html~~).

- 1329 a. A copy of the evaluation system used to prepare the evaluations.
1330 b. A written evaluation for each regularly appointed faculty or unclassified
1331 ~~unclassified~~ professional staff person employed for at least three months
1332 during the calendar year.
1333 c. A recommended merit salary adjustment for each faculty member or
1334 unclassified ~~unclassified~~ professional staff person that should be based
1335 directly on the person's evaluation.
1336 d. Documentation (e.g., a statement signed by the individual evaluated)
1337 establishing that there was an opportunity to examine the written evaluation
1338 and to discuss with the evaluator the individual's resulting relative standing
1339 for the purpose of merit salary increase in the unit.
1340 e. Any written statements submitted by faculty or ~~unclassified~~ unclassified
1341 professionals ~~staff~~ of unresolved differences regarding their evaluations.
1342 f. Any recommendations for salary adjustments on bases outside of the annual
1343 evaluation, together with documentation which supports these
1344 recommendations.

1345 Responsibilities of Deans and Comparable Administrators

1346
1347
1348 **C47.1** ~~Responsibilities of deans and comparable administrators.~~ The
1349 dean/comparable administrator will review evaluation materials and
1350 recommendations to ensure:

- 1351 a. merit evaluations are consistent with the criteria and procedures approved for
1352 the unit,
1353 ~~b. there are no inequities in the recommendations based upon race, color, ethnic~~
1354 ~~or national origin, sex, sexual orientation, gender identity, religion, age,~~
1355 ~~ancestry, disability, military status, or veteran status,~~
1356 e-b. merit salary recommendations are consistent with merit evaluations,
1357 and
1358 c. recommendations for salary adjustments on bases outside of the annual
1359 evaluations are adequately and rationally documented.

1360
1361 **C47.2** A dean/comparable administrator who does not agree with recommendations
1362 for merit salary increases made by a unit head/chair must attempt to reach

Commented [MM36]: 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.

1363 consensus through consultation. If this fails, the dean's comparable administrator's
1364 recommendation will be used. If any change has been made, the dean/comparable
1365 administrator must notify, in writing, the individual of the change and its rationale.
1366 Within seven working days after notification, such individuals have the opportunity to
1367 submit written statements of unresolved differences regarding their evaluations to
1368 the dean/comparable administrator and to the provost or appropriate vice president.
1369 All statements of unresolved differences will be included in the documentation to be
1370 forwarded to the next administrative level. All recommendations are forwarded to the
1371 provost/appropriate vice president.

1372
1373 **C47.3** The dean/comparable administrator should provide guidelines for making
1374 salary adjustments on bases outside of the annual evaluation and for justifying these
1375 requests through appropriate documentation. Approved requests are forwarded to
1376 the provost/appropriate vice president.

1377
1378 **C47.4** The dean/comparable administrator must forward to the provost/vice
1379 president all salary recommendations and supporting documentation (written
1380 evaluation; written statements of unresolved differences; recommended actions;
1381 justifications for salary adjustments on bases outside the annual evaluation process).
1382 (See schedule as published by the provost each October).

1383 Responsibilities of the President, Provost, and Vice Presidents

1384 **C48.1** ~~Responsibilities of the provost.~~ The president/provost/vice president will
1385 review evaluation materials and recommendations for those individuals reporting to
1386 them to ensure:

- 1387
- 1388 a. the evaluation process was conducted in a manner consistent with the criteria
1389 and procedures approved by the unit,
 - 1390 ~~b. there are no inequities in the recommendations based upon race, color, ethnic~~
1391 ~~or national origin, sex, sexual orientation, gender identity, religion, age,~~
1392 ~~ancestry, disability, military status, or veteran status,~~
 - 1393 ~~e-b.~~ merit salary recommendations are consistent with merit evaluations,
1394 and
 - 1395 ~~d-c.~~ recommendations for salary adjustments on bases outside of the
1396 annual evaluations are adequately documented.

1397
1398 **C48.2** If the president/provost/vice president does not agree with recommendations
1399 for salary increases made by subordinate administrators, an attempt must be made
1400 to reach consensus through consultation. If this fails, the president's/provost's/vice
1401 president's recommendation will be used. The individual affected by the
1402 disagreement must be notified by the president/provost/vice president, in writing, of
1403 the change and its rationale.

1404
1405 **C48.3** The dean or appropriate vice president will issue to each continuing faculty
1406 and/or ~~unclassified-unclassified~~ professional staff individual a contract which includes
1407 the individual's salary for the next fiscal year.

1408 **Professorial Performance Award**

1409
1410 **C49.1** Significance of the Award. The Professorial Performance Award rewards strong
1411 performance at the highest rank with a base salary increase in addition to that
1412 provided for by the annual evaluation process. The Performance Award review, it is
1413 important to note, is not a form of promotion review. It does not create a "senior"

1414 professoriate. Furthermore, the Professorial Performance Award is ~~neither~~ a right
1415 accorded to every faculty member at the rank of Professor, ~~n~~ Nor is it granted
1416 simply as a result of a candidate's routinely meeting assigned duties with a record
1417 free of notable deficiencies.

1418 **C49.2** Development and Revisions of the Professorial Performance Award Process.
1419 Departments develop their own mechanisms for review as they have for annual merit
1420 evaluation. As is the case in merit review, it may be that responsibility for the
1421 evaluation of materials involves personnel of any rank or several ranks. Each
1422 department will also specify criteria according to which candidates qualify for the
1423 award according to its own disciplinary standards of excellence. Nonetheless, all such
1424 criteria for the award will adhere to the following guidelines: 1. The candidate must
1425 be a full-time professor (either tenured or non-tenure-track) and have been in rank
1426 at Kansas State University at least six years since the last promotion or Professorial
1427 Performance Award; 2. The candidate must show evidence of sustained productivity
1428 in at least the last six years before the performance review; and 3. The candidate's
1429 productivity and performance must be of a quality comparable to that which would
1430 merit promotion to professor according to current approved departmental standards.

1431 **C49.3** The Professorial Performance Award document must be approved by a
1432 majority vote of the faculty in the department, by the department's administrative
1433 head, by the dean and by the provost. Provision must be made for a review of the
1434 document at least every five years as a part of the review of the procedures for
1435 annual merit evaluation or whenever standards for promotion to full professor
1436 change.

1437 **C49.4** Recommendations for the Professorial Performance Award will follow the
1438 timeline associated with the annual evaluation review outlined in the University
1439 Handbook.

1440 **C49.5** Responsibilities of Professorial Performance Award Candidates. Eligible
1441 candidates for review compile and submit a file that documents her or his
1442 professional accomplishments for at least the previous six years in accordance with
1443 the criteria, standards, and guidelines established by the department. The
1444 department head/chair, in conjunction with whatever mechanism departmental
1445 procedures specify for the purposes of determining eligibility for the Professorial
1446 Performance Award, will prepare a written evaluation of the candidate's materials in
1447 terms of the criteria, standards, and guidelines established, along with a
1448 recommendation for or against the award.

1449 **C49.6** Each candidate for the award will have the opportunity to discuss the written
1450 evaluation and recommendation with the department head, and each candidate will
1451 sign a statement acknowledging the opportunity to review the evaluation. Within
1452 seven working days after the review and discussion, each candidate has the
1453 opportunity to submit written statements of unresolved differences regarding his or
1454 her evaluation to the department head/chair and to the dean. A copy of the
1455 department head's/chair's written recommendation will be forwarded to the
1456 candidate.

1457 **C49.7** The department head must submit the following items to the appropriate
1458 dean:

- 1459 a. A copy of the evaluation document used to determine qualification for the
1460 award,
1461 b. Documentation establishing that there was an opportunity for the candidate to
1462 examine the written evaluation and recommendation,
1463 c. Any written statements of unresolved differences concerning the evaluation,
1464 d. The candidate's supporting materials that served as the basis of adjudicating
1465 eligibility for the award.

1466 **C49.8** Responsibilities of the Deans. The dean will review all evaluation materials
1467 and recommendations to ensure that the evaluations are consistent with the criteria
1468 and procedures established by the department for the Professorial Performance
1469 Award.

1470 **C49.9** A dean who does not agree with recommendations for the Professorial
1471 Performance Award made by a department head/~~chair~~ must attempt to reach
1472 consensus through consultation. If this fails, the dean's recommendation will be
1473 used. If any change has been made to the department head's recommendations, the
1474 dean must notify the candidate, in writing, of the change and its rationale. Within
1475 seven working days after notification, such candidates have the opportunity to
1476 submit written statements of unresolved differences regarding their evaluations to
1477 the dean and to the provost. All statements of unresolved differences will be included
1478 in the documentation to be forwarded to the next administrative level. All
1479 recommendations are forwarded to the provost.

1480 **C49.10** Responsibilities of the Provost. The provost will review all evaluation
1481 materials and recommendations to ensure that ~~(a.)~~ the evaluation process was
1482 conducted in a manner consistent with the criteria and procedures approved by the
1483 unit, ~~and (b.) there are no inequities in the recommendations based upon race,~~
1484 ~~color, ethnic or national origin, sex, sexual orientation, gender identity, religion, age,~~
1485 ~~ancestry, disability, military status, or veteran status.~~

1486 **C49.11** If the provost does not agree with recommendations for Professorial
1487 Performance Awards made by subordinate administrators, an attempt must be made
1488 to reach consensus through consultation. If this fails, the provost's decision will
1489 prevail. The candidate affected by the disagreement must be notified by the provost,
1490 in writing, of the change and its rationale.

1491 **C49.12** Basis and source of the award amount. The Professorial Performance Award
1492 will be 8% of the average salary of all full-time faculty (instructor through professor
1493 excluding administrators at those ranks). However, funding for the award cannot
1494 come out of the legislatively-approved merit increment.

1495 **C49.13** Cost of Awards. In the event that financial conditions in a given year
1496 preclude awarding the full amount as designated in C49.12, the provost shall in
1497 concert with the vice president for administration and finance adopt a plan to phase
1498 in the full award for all that year's ~~recommended and~~ approved candidates.

1499 **C49.14** Upon official notification from the Office of the Provost, the dean will
1500 consolidate the Professorial Performance Award with salary increases resulting from
1501 annual evaluation and issue the candidate a contract that includes the candidate's
1502 salary for the next fiscal year. The Professorial Performance Award will become part
1503 of the professor's base salary.
1504

1505 **Reappointment: Faculty on Probationary Appointments**

1506
1507 **C50.1** Definition. Faculty members on probationary appointments are evaluated
1508 annually to determine whether or not they will be reappointed for another year.
1509 Faculty members must be explicitly informed by the dean in writing of a decision not
1510 to renew their appointments in accordance with The Standards of Notice of Non-
1511 Reappointment. (See C162.3 ~~and Appendix A.~~) ~~These annual evaluations also serve~~
1512 ~~as an opportunity to provide feedback to a faculty member on probationary~~
1513 ~~appointment about his or her performance in comparison to the department's criteria~~
1514 ~~and standards for tenure.~~

1515
1516 **C50.2** Reappointments that confer tenure are discussed in C70-C116.

1517
1518 **C51** Departments' charge to establish criteria and standards. See C30-38: General
1519 Issues of Faculty Evaluation. Copies of these criteria and standards are available to
1520 faculty members in their departmental or unit offices.

1521
1522 **C52** Candidate's responsibilities. The candidate compiles and submits documentation
1523 of his or her professional accomplishments in accordance with the criteria, standards,
1524 and guidelines established by the department.

1525
1526 **C53.1** Departmental procedures. It is the responsibility of the department
1527 ~~head/chair/head~~ to make the candidate's reappointment file available to all tenured
1528 faculty members in the department and other eligible faculty as determined by
1529 departmental policy. A cumulative record of written recommendations and
1530 accompanying explanations forwarded to the candidate from previous reappointment
1531 meetings, and any written comments from relevant individuals outside the
1532 department will also be made available to the eligible faculty (See C53.2). As part of
1533 this process, the department ~~head/chair/head~~ and the eligible faculty will meet at
1534 least fourteen calendar days after the review documents are made available, to
1535 discuss the candidate's eligibility for reappointment and progress toward tenure.
1536 Subsequent to this meeting there will be a ballot of the eligible faculty on
1537 reappointment of the candidate. Any member of the eligible faculty may, prior to the
1538 submission of any recommendation to the department ~~head/chair/head~~, request the
1539 candidate meet with the eligible faculty to discuss, for purposes of clarification, the
1540 record of accomplishment submitted by the candidate.

1541
1542 **C53.2** For individuals with appointments in more than one unit or department,
1543 comments may be solicited from other eligible faculty members in the college or
1544 university relevant to the assessment of the candidate's performance. In the case of
1545 K-State Research and Extension faculty members or faculty members whose primary
1546 responsibilities are in directed service (e.g., librarians and clinicians), the comments
1547 of various clientele served may be solicited as part of the evaluation for
1548 reappointment.

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

Commented [MM37]: Appendix A needs to be deleted. C162.3 contains all relevant information and can be a standalone reference.

1558 available to the candidate and will become part of the candidate's reappointment file.
1559 (See [C35](#) regarding confidentiality of peer evaluations.)
1560

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

Commented [MDR38]: The changes reflect current practice.

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

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

1575 **Reappointment: Regular ~~Instructor~~ Non-Tenure Track Appointments** 1576

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

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

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

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

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

1608 **C63.3** The department head/[chair](#) forwards a written recommendation and
1609 accompanying explanation to the dean, along with the candidate's complete file, and

1610 the majority recommendation and written comments (unedited) of the departmental
1611 faculty members.

1612
1613 **C64** College procedures. The dean, on behalf of the college, forwards a written
1614 recommendation and accompanying explanation to the provost, along with the
1615 candidate's complete file, the recommendations of the department head/[chair](#), and
1616 the majority recommendation and any written comments (unedited) of the faculty
1617 members in the department.

1618
1619 **C65** University procedures. Final authority in resolving conflicting opinions regarding
1620 reappointment is delegated to the provost.

1621
1622 **C66** Notification of candidates. Candidates are informed of the college's
1623 recommendation prior to the time that the file and recommendations are forwarded
1624 to the provost.

1625 1626 **Tenure**

1627
1628 **C70** Definition. Tenure is a continuous appointment that can be terminated only in
1629 unusual circumstances and then only after due process has been accorded the
1630 individual in question. See Appendix C for a discussion of the AAUP-AAC 1940
1631 Statement of Academic Freedom and Tenure.

1632 1633 **Regents' Tenure Policy**

1634
1635 **C71** The Board of Regents adopted on April 18, 1947, the 1940 AAUP principles
1636 governing tenure of faculty members. (At Kansas State University, the term teacher
1637 as used in the following text is interpreted to refer to any member of the faculty.)

1638
1639 **C72** Section A: After the expiration of a probationary period, teachers or
1640 investigators should have permanent or continuous tenure, and their services should
1641 be terminated only for adequate cause, except in the cases of retirement for age,
1642 program or unit discontinuance, or under extraordinary circumstances because of
1643 financial exigencies. (Kansas does not have a mandatory retirement age for state
1644 employees. State law prescribes that all appointments not under the State Civil
1645 Service shall expire with the end of the fiscal year on June 30. However, unless
1646 previous notice has been given, all [regular](#) appointments of full-time faculty
1647 members are automatically renewed.)

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

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

1670 **C74** During the probationary period a teacher has the academic freedom that all
1671 other members of the faculty have.
1672

1673 **C75** Termination for cause of a continuous appointment or dismissal for cause
1674 previous to the expiration of a term appointment shall, upon request of the faculty
1675 member, be considered by the Grievance Chair and/or Panel, which will make
1676 recommendations to the administration. In all cases where the facts are in dispute,
1677 the accused teacher should be informed before the hearing in writing of the charges
1678 against him/her and should have the opportunity to be heard in his/her own defense
1679 by all bodies that pass judgment upon his/her case. He/she should be permitted to
1680 have an advisor of his/her own choosing who may act as counsel. There should be a
1681 full stenographic record of the hearing available to the parties concerned. In the
1682 hearing of charges of incompetence the testimony should include that of teachers
1683 and other scholars, either from his/her own or from other institutions. Teachers on
1684 continuous appointment who are dismissed for reasons not involving moral turpitude
1685 should receive their salaries for at least a year from the date of notification of
1686 dismissal whether or not they are continued in their duties at the institution. (At
1687 Kansas State University, graduate assistants are not considered faculty and, as such,
1688 formal grievance procedures for faculty do not apply to disputes regarding graduate
1689 assistants' performance. See C39.1 and the Foreword to the University Handbook.)

1690 **C76** Termination of a continuous appointment because of financial exigency should
1691 be demonstrably bona fide.
1692

1693 **C77** Within this general policy Kansas State University may make such operating
1694 regulations as it deems necessary, subject to the approval of the Board of Regents.
1695

1696 **C78** Amendments to the above policy have been made as follows: Tenure may be
1697 acquired only by the members of the Kansas State University faculty who are on
1698 tenure track appointments, with the rank of assistant professor or higher. (This
1699 amendment applies only to those appointed on or after July 1, 1960.) [-----] **Commented [MDR39]:** This language is not consistent with
1700 Lists of individuals approved by the chief executive officer for tenure at a Regents'
1701 institution shall be submitted by the chief executive officer to the Board of Regents
1702 for its information at the April meeting. Decisions of the president shall be final and
1703 are not subject to further administrative review by any officer or committee of the
1704 institution or by the Board of Regents. Any tenure recommendation approved by the
1705 Board of Regents shall be limited to tenure for the recommended individual at the
1706 institution consistent with the tenure policies of that institution.
1707

1708 **Kansas State University policy additions to Regents' Tenure Policy:**
1709 The following additional details concerning tenure ~~were have been adopted~~ by
1710 Kansas State University from the AAUP Advisory Letter No.13 (AAUP Bulletin, Spring
1711 1964).
1712
1713
1714

Commented [MDR39]: This language is not consistent with Sections C81, C82.2 and C13. It is critical that this be cleaned up.

Commented [MM40R39]: We included tenure track appointments to make it clear that tenure may be acquired only by those in tenure track positions.

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

1721 **C80.2** "The beginning faculty member is serving a kind of internship . . . and . . .
1722 he/she may not always be the best judge of his/her own effectiveness. An occasional
1723 word of caution, advice, or encouragement from experienced colleagues can
1724 therefore be very salutary. If the time comes that the department, division, and
1725 administration conclude that his/her connection with the institution should be
1726 severed, we would say that responsible officials of the institution should feel
1727 completely free to explain to him/her the basis of their decision. We could not agree,
1728 however, that if reasons are given for the non-reappointment the institution assumes
1729 a burden of demonstrating the validity of its reasons. To be sure, the faculty member
1730 may question whatever reasons are given him/her. But unlike the tenured teacher,
1731 he/she does not as probationer have what can be considered a claim to his/her
1732 position, and it would thus seem unreasonable to compel the institution to account
1733 for this exercise of its prerogative, much less carry the burden of justifying its
1734 decision.
1735

1736 **C80.3** "These remarks are made, I am sure you understand, on the assumption that
1737 the faculty member has had an appropriate evaluation by his/her colleagues and that
1738 he/she is not being given notice for reasons which violate his/her academic
1739 freedom. . . . I think I must say further that our purpose is to permit the institution,
1740 within the limits of academic freedom, the utmost latitude in determining who will be
1741 retained for tenure appointments. Because the granting of tenure is tantamount to a
1742 lifetime commitment, we feel that the institution should be left without a reasonable
1743 doubt as to the faculty member's qualifications for tenure before it reaches a
1744 favorable decision" (AAUP Advisory Letter No.13, AAUP Bulletin, Spring 1964).
1745

1746 Other Considerations

1747 ~~C81 Ranks for acquiring tenure. Tenure may be granted to those on full-time
1748 probationary appointments at the rank of associate professor or above. Tenure may
1749 be granted simultaneously with promotion to the rank of associate professor.
1750 Instructors may not be accorded tenure. Assistant professors may not be accorded
1751 tenure except in special circumstances approved by the provost. Years of
1752 appointment as a probationary instructor (see C12) may be credited as part of a
1753 probationary period for gaining tenure if stipulated in the individual's contract.
1754 Service in a term appointment at the rank of assistant professor or above may count
1755 as part of a probationary period for gaining tenure.~~
1756

Commented [MM41]: This is redundant to the information provided in C13 so it was deleted.

Commented [MM42]: C12 discussed instructor ranks and states, "Service in these positions is not credited toward tenure."

1757 **C82.1** The Probationary period. Prior to being considered for tenure at Kansas State
1758 University, a faculty member is annually appointed during an extended probationary
1759 period to assess the candidate's ability to contribute to the expertise expected of the
1760 University's faculty as defined by his/her unit's criteria, standards, and guidelines
1761 (See C31.1 - C31.3).
1762

1763 **C82.2** Assistant professor. Tenure is not granted below the rank of associate
1764 professor (effective July, 1994) except in special circumstances approved by the
1765 provost. For persons appointed at the rank of assistant professor, the maximum
1766 probationary period for gaining tenure and promotion to associate professor consists
1767 of six (6) regular annual appointments at Kansas State University at a probationary

1768 rank. In these cases, decisions of tenure must be made before or during the sixth
1769 year of probationary service. Candidates not approved for tenure during the sixth
1770 year of service will be notified by the appropriate dean that the seventh year of
1771 service will constitute the terminal year of appointment.
1772
1773 **C82.3** Associate professor and professor. For persons appointed at the rank of
1774 associate professor or professor, the maximum probationary period for gaining
1775 tenure consists of five (5) regular annual appointments at Kansas State University at
1776 probationary ranks. Tenure decisions must be made before or during the fifth year of
1777 probationary service. Candidates not approved for tenure during the fifth year of
1778 service will be notified by the appropriate dean that the sixth year of service will
1779 constitute the terminal year of appointment.
1780
1781 **C82.4** Faculty members on probationary appointments who have met the criteria
1782 and standards for tenure prior to the above maximum times may be granted early
1783 tenure. Because candidates may be considered for tenure at any time during their
1784 probationary period, no time credit shall be granted for service prior to employment
1785 at Kansas State University.
1786
1787 **C83.1** Faculty members on probationary, tenure-track positions may request a one
1788 year delay of the tenure clock. Such a delay shall be granted to a faculty member
1789 who is responsible for the care of a child five years of age or younger, or who adopts
1790 a child of any age. Requests for a delay in the tenure clock for the above noted
1791 reasons shall be made to the department or unit head who will forward the request
1792 to the dean. The dean will forward the request to the provost who will grant the one
1793 year delay.
1794
1795 **C83.2** Faculty members on probationary, tenure-track positions may request a one-
1796 year delay of the tenure clock (1) for a serious health condition: that is an illness,
1797 injury, impairment, or physical or mental condition that involves inpatient care in a
1798 hospital, hospice, or residential treatment facility, or continuing treatment by a
1799 health care provider or (2) for the care of a household member, a parent, or a sibling
1800 with a serious health condition: that is an illness, injury, impairment, or physical or
1801 mental condition that involves inpatient care in a hospital, hospice, or residential
1802 treatment facility, or continuing treatment by a health care provider. Common
1803 illness, minor injuries, or minor surgeries that are not life threatening are excluded.
1804 Requests for a delay in the tenure clock for the above noted reasons shall be made
1805 to the department or unit head who will forward the request along with her/his
1806 recommendation to the dean. The dean will forward the request along with his/her
1807 recommendation and the recommendation of the department or unit head to the
1808 provost, with whom the final decision rests.
1809
1810 **C83.3** Faculty members on probationary, tenure-track positions may request a one-
1811 year delay of the tenure clock when for programmatic reasons there is a substantial
1812 change in the probationary faculty member's assigned area(s) of responsibilities.
1813 Requests for a delay in the tenure clock shall be made to the department/unit
1814 head/chair who will present the request to the tenured faculty in the department/unit
1815 for consideration. The head/chair will forward the request along with her/his
1816 recommendation and the vote of the tenured faculty plus unedited faculty comments
1817 to the dean. The dean will forward the request along with his/her recommendation,
1818 the recommendation of the department/unit head/chair, and the faculty vote with
1819 unedited comments to the provost, with whom the final decision rests.
1820

1821 **C83.4** If a delay in the tenure clock is granted prior to the mid-probationary review,
1822 the review will take place one year later than would have occurred without such a
1823 delay. An individual granted a delay of the tenure clock shall not be subject to
1824 additional scholarship, teaching, or service requirements above and beyond those
1825 normally required.
1826

1827 **C83.5** A request for delay of the tenure clock must be made within a reasonable
1828 amount of time from the date of the event which would show cause for a delay of the
1829 tenure clock.
1830

1831 **C83.6** Delay of the tenure clock during the probationary period is limited to two one-
1832 year delays.
1833

1834 **C84** Years credited to probationary period. For the purposes of counting regular
1835 annual appointments as part of the probationary period, a year is credited if the
1836 individual is on a full-time (ten-tenths) appointment for at least eight months of an
1837 academic year or is on an appointment of nine-tenths or more for the entire
1838 academic year, or receives no less than eight-ninths of his or her salary for the
1839 academic year. Individuals appointed at lesser levels do not count that year a part of
1840 the probationary period. The summer session is not counted for those on academic
1841 year (nine-month) appointments.
1842

1843 **General Guidelines for Tenure** 1844

1845 **C90** Purpose of tenure. The university uses a selective process in awarding tenure to
1846 secure a faculty of the highest possible caliber. To be tenured, faculty members must
1847 be experts in their chosen fields, and they must have full academic freedom in
1848 pursuit of ideas or inquiries without fear of censure or retribution.
1849

1850 **C91** Evaluation and feedback. The university uses an extended probationary period
1851 to provide opportunity to assess a candidate's ability to contribute to the expertise
1852 and the versatility expected of the faculty at Kansas State University. Evaluation is
1853 conducted annually and feedback provided in a timely manner to each faculty
1854 member on a probationary appointment. See C50.1.
1855

1856 **C92.1** Mid-probationary review. A formal review of a probationary faculty member is
1857 conducted midway through the probationary period.
1858 Unless otherwise stated in the candidate's contract, the mid-probationary review
1859 shall take place during the third year of appointment. This review provides the
1860 faculty member with substantive feedback from faculty colleagues and
1861 administrators regarding his or her accomplishments relative to departmental tenure
1862 criteria. ~~Neither a positive nor negative mid-probationary review determines the~~
1863 ~~outcome of the tenure review process. does not ensure that tenure will be granted in~~
1864 ~~the future nor does a negative review mean that tenure will be denied.~~
1865

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

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

1885 **C92.3** Comments also may be solicited from students, and other relevant faculty
1886 members in the college or university, and from outside reviewers. In the case of K-
1887 State Research and Extension faculty members or faculty members whose primary
1888 responsibility is directed service (e.g., librarians and clinicians), the comments of
1889 various clientele served may be solicited as part of the evaluation for mid-
1890 probationary review.
1891

1892 **C92.4** College procedures. The candidate's mid-probationary review file as well as
1893 other materials specified in C92.2, and a copy of the departmental criteria and
1894 standards will be forwarded to the college advisory committee. C153.1 is
1895 incorporated herein by reference as the evaluation procedure to be followed by the
1896 college advisory committee. The dean will provide a letter of assessment to the
1897 candidate that includes a summary of recommendations from the college advisory
1898 committee.
1899

1900 **C93** Final tenure recommendations. The provost is responsible for making final
1901 tenure recommendations to the president.
1902

1903 **Standards for Tenure**

1904
1905 **C100.1** General principles. There can be no simple list of accomplishments that,
1906 when achieved, guarantee that a faculty member will obtain tenure. Instead, tenure
1907 is granted. This action, taken by the Kansas Board of Regents, is based on the
1908 assessment ~~by~~ the tenured faculty of the university that a candidate has made
1909 outstanding contributions in appropriate academic endeavors. By granting tenure
1910 only to such individuals, the continued excellence of the university is ensured.
1911

1912 **C100.2** A reappointment conferring tenure is made after favorable consideration of
1913 the qualifications and accomplishments of the candidate relative to departmental
1914 tenure criteria.
1915

1916 **C100.3** Tenure is ~~neither not~~ a right accorded to every faculty member ~~n- Nor~~ is it
1917 granted simply as a result of a candidate's routinely meeting assigned duties with a
1918 record free of notable deficiencies.
1919

1920 **C100.4** The decision to grant or not grant tenure must not be based on the number
1921 or percentage of faculty members who already have been granted tenure.
1922

1923 **C102** Departments' charge to establish criteria and standards. See C30-38: General
1924 Issues of Faculty Evaluation. Copies of the criteria and standards for tenure are
1925 available to faculty in their department documents ([http://www.k-](http://www.k-state.edu/provost/deptdocs/)
1926 state.edu/provost/deptdocs/). ~~members in their departmental or unit offices or can~~

1927 [be found at Academic Departmental Guidelines of the Office of Academic Personnel](http://www.k-state.edu/academicpersonnel/add/)
1928 [\(http://www.k-state.edu/academicpersonnel/add/\)](http://www.k-state.edu/academicpersonnel/add/)
1929

1930 **Procedures for Tenure Evaluation**

1931
1932 **C110** Timing. Recommendations for tenure are considered annually. Faculty
1933 members in the final year of probation will be automatically reviewed for tenure
1934 unless they resign. A faculty member may request an early tenure review. Ordinarily,
1935 this is done after consultation with the department [head/chair/head](#) and the tenured
1936 faculty members in the department.
1937

1938 **C111** Candidate's responsibilities. The candidate compiles and submits a file that
1939 documents her or his professional accomplishments in accordance with the criteria,
1940 standards, and guidelines established by the department.
1941

1942 **C112.1** Departmental procedures. The department [head/chair/head](#) is advised by
1943 the eligible tenured faculty members of the department regarding the qualifications
1944 of the candidate for tenure. The department [head/chair/head](#) is responsible for
1945 making the candidate's file and departmental tenure criteria documents available to
1946 eligible tenured faculty members in the department at least fourteen calendar days
1947 prior to the scheduled meeting date to discuss the candidate's petition. A cumulative
1948 record of recommendations from the reappointment and mid-probationary review
1949 meetings, and any outside reviews that have been solicited by the department
1950 [head/chair/head](#) will also be made available to the eligible tenured faculty. (See also
1951 Secs. C35, C36.1, C36.2, C37 and C38).
1952

1953 **C112.2** When appropriate, comments are solicited from students and from other
1954 faculty members and department [heads/chairs/heads](#) in the college or university.
1955 Outside reviewers (see C36.1) recognized as leaders in the candidate's discipline or
1956 profession may be asked to advise. When outside reviewers are used, an equal
1957 number are usually selected by the candidate and the department [head/chair/head](#).
1958

1959 **C112.3** Eligible tenured faculty members will individually review the candidate's file,
1960 considering the department's criteria, standards, and guidelines for tenure, and will
1961 then meet to discuss the candidate's petition. All recommendations and written
1962 comments of eligible departmental faculty are forwarded to the department
1963 [head/chair/head](#).
1964

1965 **C112.4** Any member of the eligible faculty may, prior to the submission of any
1966 recommendations to the department [head/chair/head](#), request that the candidate
1967 meet with the eligible tenured faculty to discuss, for purposes of clarification, the
1968 record of accomplishment submitted by the candidate.
1969

1970 **C112.5** The department [head/chair/head](#) will forward a [written](#)
1971 [recommendation letter which includes his/her recommendation, the rationale for the](#)
1972 [recommendation, and the faculty vote](#) to the dean, [accompanied by an explanation](#)
1973 [of her or his judgment](#). All recommendations and unedited written comments of the
1974 department's eligible tenured faculty members and the candidate's complete file are
1975 also forwarded to the dean. A copy of the department [head's/chair's/head's written](#)
1976 [recommendation letter](#) alone is forwarded to the candidate.
1977

Commented [MDR43]: Changed to reflect current practice.

1978 **C113 Procedures for tenure evaluation**

1979

1980 **C113.1** College Procedures. Each college will have an advisory committee to advise
1981 the dean on candidates proposed for tenure and/or promotion. The faculty, dean,
1982 and provost must approve the composition, procedures for selection of college
1983 advisory committee members, and the procedures for the operation of the college
1984 advisory committee (See C113.2). The composition, procedures for selection of the
1985 college advisory committee, and the procedures for operation of the college advisory
1986 committee may be reviewed any year at the request of the faculty, dean or the
1987 provost, and must be reviewed at least once every five years.

1988

1989 **C113.2** A copy of the candidate's file and the departmental tenure criteria
1990 documents will be forwarded to the college advisory committee. The committee's
1991 specific charge is to assure that all applicable procedures have been followed and
1992 that the department/unit in arriving at a recommendation did so by fairly applying
1993 established criteria, standards, and guidelines for tenure (See C30.1-C31.4, C32.1-
1994 C38). The committee, in advising the dean, will base its recommendation exclusively
1995 on a comparison of the candidate's credentials with the criteria, standards, and
1996 guidelines of the candidate's department. The committee will report its findings in
1997 writing to the dean. The committee's report must specifically contain a statement as
1998 to whether or not all applicable procedures were followed. The report must also
1999 explain the rationale behind the committee's recommendation by providing a detailed
2000 evaluation of the candidate's credentials with regard to how they meet or fail to meet
2001 the specific criteria, standards, and/or guidelines of the candidate's department/unit.
2002 A minority committee report is required when the committee's recommendation is
2003 not unanimous.

2004

2005 **C113.3** The dean, after consulting with the department [head/chair/head](#) and the
2006 college advisory committee and after discussing his or her recommendations with the
2007 [head/chair/head](#) and the committee, will submit his or her written recommendation
2008 to the Deans Council accompanied by the recommendations and unedited written
2009 comments of the department [head/chair/head](#), the departmental faculty, and the
2010 college advisory committee, and the departmental tenure criteria documents, no
2011 sooner than seven calendar days following notification to the candidate (See
2012 C113.4). The dean's recommendation and the recommendation of the college
2013 advisory committee will be copied to the department [head/chair/head](#) and the
2014 candidate.

2015

2016 **C113.4** Notification to candidates. Candidates are informed of the college's
2017 recommendations (See C113.3) prior to the time that the file and recommendations
2018 are forwarded to the Deans Council. Candidates may withdraw from further
2019 consideration for tenure by submitting to the dean a written request for withdrawal.
2020 This must be done within seven calendar days following notification of the college's
2021 recommendation. Withdrawal by a candidate who is in the final year of [the](#)
2022 probationary period may be done only by formal resignation effective at the end of
2023 the next academic year.

2024

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

2032 departmental criteria, standards, and/or guidelines, to the candidate, dean of the
2033 candidate's college, and the department [head/chair/head](#).

2034

2035 **C114.2** If the finding of the Deans Council is to not grant tenure, the candidate may
2036 appeal this decision to the provost within a period of fourteen calendar days of
2037 receiving notification. If the provost concurs with the finding of the Deans Council to
2038 not grant tenure, the candidate ~~may then have the option to~~ file a grievance with the
2039 Grievance Chair [\(see University Handbook, Appendix G\)](#).

2040

2041 **C114.3** If the finding of the Deans Council is to grant tenure, the case is then
2042 reviewed by the provost. If the provost does not concur with the finding of the Deans
2043 Council, then the provost will offer to arrange a meeting with the candidate, the
2044 senior dean, and a tenured faculty moderator mutually acceptable to the provost and
2045 the candidate, within a period of fourteen calendar days of notification of provost's
2046 decision. If no agreement is reached, then the provost will provide the candidate, the
2047 department [head/chair/head](#), the dean of the candidate's college, and the [Deans](#)
2048 [Council](#), written reasons for the decision. At that point, the candidate has the option
2049 to file a grievance with the Grievance Chair.

2050

2051 **C114.4** The provost will send his or her recommendation of the cases that are to be
2052 granted tenure to the president. Decisions to deny tenure are not forwarded to the
2053 president. When the provost's recommendation disagrees with that of the Deans
2054 Council, the provost will provide a written explanation of her or his judgment to the
2055 Dean's Council, the dean, the department [head/chair/head](#), and the candidate.

2056

2057 **C115** The president has final authority for granting tenure. Candidates are notified of
2058 the university's action when the provost's recommendation to grant tenure are
2059 forwarded to the president.

2060

2061 **C116.1** Interdisciplinary program faculty. Faculty members with appointments in
2062 interdisciplinary programs will be evaluated for tenure in their disciplinary
2063 departments in which the candidate holds majority appointment. The department
2064 [head/chair/head](#) also must solicit input from the interdisciplinary program director as
2065 well as the eligible tenured faculty members in the interdisciplinary program.
2066 Departmental, college and university procedures as outlined in C110 to C115 shall be
2067 followed. A copy of the department [head's/chair's/head's](#) recommendation shall be
2068 provided to the interdisciplinary program director.

2069

2070 **C116.2** In the rare case when it is not possible to designate an appropriate
2071 disciplinary department at the time of appointment, recommendations for tenure
2072 may come from the formally designated eligible tenured faculty members within the
2073 interdisciplinary program, provided that prior to the appointment the eligible tenured
2074 faculty of the interdisciplinary program agree to provide this recommendation, and
2075 that the appointment was approved by the dean(s) of the appropriate college(s) and
2076 provost. The terms of the faculty appointment must be presented in writing and
2077 agreed to by the appointee. Copies of the conditions for the appointment will be filed
2078 with the interdisciplinary program director, respective dean(s) and provost.

2079

2080 **Promotion in Rank**

2081

2082 **C120** Definition. Faculty members may expect to advance through the academic
2083 ranks on the basis of demonstrated individual merit in relation to their association

2084 with the university's mission and with their own disciplines. Each higher rank
2085 demands a higher level of accomplishment.
2086

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

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

2098 **General Guidelines for Promotion in Rank**

2099 **C130** Terminal degree requirements. A doctorate or other appropriate terminal
2100 degree is a prerequisite for holding the rank of assistant professor, associate
2101 professor, or professor. The provost maintains a list of appropriate terminal degrees
2102 as recommended by the deans. There may be special cases in which
2103 accomplishments or experience other than the terminal degree will allow promotion
2104 to one of the professorial ranks. Such situations will be considered on an individual
2105 basis.
2106

2107 **C131** Time in rank. ~~Although~~While there is no explicit time in rank is required for
2108 promotion, the median time for promotion at Kansas State University has been
2109 ~~approximately~~ about six years. Promotion may be granted earlier when the faculty
2110 member's cumulative performance at rank clearly meets the standards for
2111 promotion.
2112

2113 **C132** Promotion-related salary increases. Promotion in academic rank is recognition
2114 by the university community of substantial achievement which deserves reward.
2115 Promotion related increases in salary will be awarded at the university level and are
2116 in addition to merit salary increase based on yearly evaluations. Salary increases for
2117 promotion to associate professor and full professor will be a minimum of ~~15% and~~
2118 ~~11%, respectively,~~ of the average salary of all university faculty members for the
2119 year preceding promotion. Funds for these increases are to be from the unclassified
2120 salary adjustment pool for faculty members and academic administrators. In years
2121 when no salary adjustment pool exists, the funds will come from the same segment
2122 of the base budget and will be repaid from the next readjustment pool. ~~(FSM 4-9-~~
2123 ~~91; POD 6-6-91)~~
2124

2125 **Standards for Promotion in Rank**

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

2132 **C141** Departments' charge to establish criteria and standards. See C30-38: General
2133 issues of faculty evaluation. Copies of the standards for promotion are available to
2134
2135

2136 faculty members in their department ~~documents at or unit offices~~ ([http://www.k-](http://www.k-state.edu/provost/deptdocs/)
2137 [state.edu/provost/deptdocs/](http://www.k-state.edu/provost/deptdocs/)).
2138

2139 **Procedures for ~~Promotion~~ Evaluation Related to Promotion in Rank**
2140

2141 **C150** Timing. Recommendations concerning promotion are considered annually.
2142 Department ~~heads/chairs/heads~~ are expected to notify faculty members regarding
2143 their progress toward or readiness for promotion review.
2144

2145 **C151** Candidate's responsibilities. A faculty member, after consultation with the
2146 department ~~head/chair/head~~ or appropriate departmental faculty, may request a
2147 review for promotion. The candidate compiles and submits a file that documents his
2148 or her professional accomplishments in accordance with the criteria, standards, and
2149 guidelines established by the department (see C30.41-4).

2150
2151 **C152.1** Departmental procedures. Faculty members of the department who hold a
2152 rank equal to or higher than the rank being sought by the candidate are eligible to
2153 advise the department ~~head/chair/head~~ regarding the qualifications of the candidate
2154 for promotion. Department ~~heads/chairs/heads~~ are responsible for making the
2155 candidate's promotion file and the departmental promotion criteria documents
2156 available to the eligible faculty members at least fourteen calendar days prior to the
2157 scheduled meeting date to discuss the candidate's petition. The promotion file shall
2158 in the main provide a compilation of the candidate's professional accomplishments
2159 during tenure in the current rank, and comments from other individuals relevant to
2160 the assessment of the candidate's performance (See C152.2).
2161

2162 **C152.2** When appropriate, comments are solicited from appropriate students and
2163 alumni, and from other faculty members and department ~~heads/chairs/heads~~ in the
2164 college or University. Outside reviewers (see C36.1) recognized as scholars or
2165 leaders in the candidate's discipline or profession may be asked to advise. When
2166 outside reviewers are used, an equal number are usually selected by the candidate
2167 and the department ~~head/chair/head~~.
2168

2169 **C152.3** Eligible faculty members individually review the candidate's file, considering
2170 the department's criteria, standards, and guidelines for promotion, and then meet to
2171 discuss the candidate's petition. All recommendations and written comments of
2172 eligible departmental faculty are forwarded to the department ~~head/chair/head~~.
2173

2174 **C152.4** Any member of the eligible faculty may, prior to the submission of any
2175 recommendations to the department ~~head/chair/head~~, request that a candidate meet
2176 with the eligible tenured faculty to discuss, for purposes of clarification, the record of
2177 accomplishment submitted by that candidate.
2178

2179 **C152.5** The department ~~head/chair/head~~ will forward a written recommendation
2180 ~~letter which includes the rationale for the recommendation to the dean and an~~
2181 ~~explanation of her or his judgment to the dean and the vote of the eligible faculty.~~ All
2182 recommendations and unedited written comments of the department's eligible
2183 faculty members and the candidate's complete file are also forwarded to the dean. A
2184 copy of the department ~~head's/chair's/head's~~ written recommendation ~~letter alone~~ is
2185 forwarded to the candidate.
2186

2187 **C153.1** College procedures. Each college will have an advisory committee to advise
2188 the dean on candidates proposed for promotion and/or tenure. The college faculty,

Commented [MDR44]: Policy was revised for clarification of current practice.

2189 dean, and provost must approve the composition, procedures for selection of college
2190 advisory committee members, and the procedures for the operation of the college
2191 advisory committee (See C153.2). The composition, procedures for selection of the
2192 college advisory committee, and the procedures for operation of the college advisory
2193 committee may be reviewed any year at the request of the faculty, dean or the
2194 provost, and must be reviewed at least once every five years.
2195

2196 **C153.2** A copy of the candidate's file and the departmental promotion criteria
2197 documents will be forwarded to the college advisory committee. The committee's
2198 specific charge is to assure that all applicable procedures have been followed and
2199 that the department/unit in arriving at a recommendation did so by fairly applying
2200 established criteria, standards, and guidelines that are specific for promotion to the
2201 appropriate rank (See C30.1-31.4, C32.1- C38, [and](#) C141). The committee, in
2202 advising the dean, will base its recommendation exclusively on a comparison of the
2203 candidate's credentials with the criteria, standards, and guidelines of the candidate's
2204 department. The committee will report its findings in writing to the Dean. The
2205 committee's report must specifically contain a statement as to whether or not all
2206 applicable procedures were followed. The report must also explain the rationale
2207 behind the committee's recommendation by providing a detailed evaluation of the
2208 candidate's credentials with regard to how they meet or fail to meet the specific
2209 criteria, standards, and/or guidelines for promotion to the petitioned rank in the
2210 candidate's department/unit. A minority committee report is required when the
2211 committee's recommendation is not unanimous.
2212

2213 **C153.3** The dean, after consultation and discussion with the department
2214 [head/chair/head](#) and college advisory committee, will submit his or her
2215 recommendation to the Deans Council (subject to C153.4) accompanied by the
2216 recommendations and unedited written comments of the department
2217 [head/chair/head](#), the departmental faculty, and the college advisory committee, and
2218 the departmental promotion criteria documents, seven calendar days after
2219 notification to the candidate (See 153.4). The recommendation of the dean and the
2220 recommendation of the college advisory committee will be copied to the department
2221 [head/-chair](#) and the candidate.
2222

2223 **C153.4** Notification to candidates. Candidates are informed of the college's
2224 recommendations prior to the time the file and recommendations are forwarded to
2225 the Deans Council. Candidates may withdraw from further consideration for
2226 promotion by submitting to the dean a written request for withdrawal. This must be
2227 done within seven calendar days following notification of the college's
2228 recommendation, and in this case the candidate's petition for promotion is not
2229 forwarded to the Deans Council.
2230

2231 **C154.1** University promotion evaluation procedures. The Deans Council meeting will
2232 be chaired by the senior dean (longest serving), and the provost will not be a party
2233 to the discussions. The dean of the candidate's college will abstain from voting when
2234 the Council votes on the candidate, and will notify the candidate and the candidate's
2235 department [head/chair/head](#) of the Council's vote. If the finding of the Deans Council
2236 differs from those of the department and/or college dean, written justification must
2237 be provided to the candidate, dean of the candidate's college, and the department
2238 [head/chair/head](#).
2239

2240 **C154.2** If the finding of the Deans Council is to not grant promotion, the candidate
2241 may appeal this decision to the provost within a period of fourteen calendar days of

2242 receiving written notification. If the provost concurs with the finding of the Deans
2243 Council to not grant promotion, the candidate then has the option to file a grievance
2244 with the Grievance Chair.

2245
2246 **C154.3** If the finding of the Deans Council is to grant promotion, the case is then
2247 reviewed by the provost. If the provost does not concur with the finding of the Deans
2248 Council, then the provost will offer to hold a meeting with the candidate, the senior
2249 dean (longest serving), and a tenured faculty moderator mutually acceptable to the
2250 provost and the candidate, within a period of fourteen calendar days of notification of
2251 provost's decision. If no agreement is reached, then the provost will provide the
2252 candidate, the department ~~head/chair/head~~, and the dean of the candidate's college,
2253 and the Deans Council, written reasons for the decision. At that point, the candidate
2254 has the option to file a grievance with the Grievance Chair.

2255
2256 **C154.4** The provost will send his or her recommendation of the cases that are to be
2257 granted promotion to the president. Decisions to deny promotion are not forwarded
2258 to the president. When the provost's recommendation disagrees with that of the
2259 Deans Council, the provost will provide a written explanation of her or his judgment
2260 to the Deans Council, the dean, the department ~~head/chair/head~~, and the candidate.

2261
2262 **C155** The president has the final authority for granting promotion. Candidates are to
2263 be notified when the provost's recommendation to grant promotions is ~~approved by~~
2264 ~~forwarded to~~ the president.

2265
2266 **C156.1** Interdisciplinary ~~program~~ faculty. A ~~tenured~~ faculty member with
2267 appointment in an interdisciplinary ~~unit/program~~ will be evaluated for promotion by
2268 the ~~disciplinary unit department~~ in which the candidate is tenured. ~~An untenured~~
2269 ~~faculty member with an appointment in an interdisciplinary unit will be evaluated for~~
2270 ~~tenure and promotion, or in by the unit/department~~ in which the candidate holds a
2271 majority appointment ~~if not tenured~~. The department ~~head/chair/head~~ also must
2272 solicit input from the interdisciplinary program director as well as the eligible tenured
2273 faculty members in the interdisciplinary program. Departmental, college, and
2274 university procedures as outlined in C152, C153, and C154 shall be followed. A copy
2275 of the department ~~head's/chair's/head's~~ recommendation shall be provided to the
2276 interdisciplinary program director.

2277
2278 **C156.2** In the rare case when it is not possible to designate an appropriate
2279 disciplinary department at the time of appointment, recommendations for promotion
2280 may come from the formally designated eligible tenured faculty members within the
2281 interdisciplinary program, provided that prior to the appointment the eligible tenured
2282 faculty of the interdisciplinary program agree to provide this recommendation, and
2283 that the appointment was approved by the dean(s) of the appropriate college(s) and
2284 provost. The terms of the faculty appointment must be presented in writing and
2285 agreed to by the appointee. Copies of the conditions for the appointment shall be
2286 filed with the interdisciplinary program director, respective dean(s) and provost.

2287 **C157** Dean's Evaluation Procedures. Five-year comprehensive review
2288 (FS 11/10/09 revisions)

2289
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,
the provost will write a brief summary of the university administration's expectations

Commented [RD45]: 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 [MM46]: It is best to not include dates of revision anywhere in the document.

2292 under which the dean has been operating. These expectations will be those agreed
2293 upon by the provost and the dean.

2294 **C157.2** The formal process of the evaluation will be initiated by a letter from the
2295 provost to the faculty and unclassified professionals of the college and other
2296 personnel designated to provide input (e.g., students, classified staff, constituent
2297 groups, etc.). This letter will initiate the formal process of the evaluation, explain the
2298 process, state that an opportunity to provide feedback will be forthcoming, and note
2299 that an advisory committee will be appointed. A summary of the university
2300 administrative expectations under which the dean has been operating will be made
2301 available to respondents.

2302 **C157.3** The provost will select and appoint an advisory committee. The advisory
2303 committee selection process will involve consultation with the dean, elected faculty
2304 senators, and a faculty council if the college has one. The committee will represent
2305 each academic discipline or department, and reflect the gender and race diversity of
2306 the college/unit to the extent practicable. As a general practice, only tenured faculty
2307 and no more than one department head will serve on the advisory committee. With
2308 the approval of the provost, the committee membership may be expanded by the
2309 addition of representatives from non-faculty groups who are served by the college
2310 (including students, unclassified professionals, classified staff, or clients of the
2311 college). The announcement of the composition of the committee will be made after
2312 the survey results have been collected.

2313 **C157.4** The provost will identify five references, external to the college, who have
2314 knowledge of the dean's work in fund raising and alumni/constituent relations. The
2315 references will be contacted by the provost and asked to provide a written summary
2316 of the dean's performance as Dean at Kansas State University. Some of these
2317 references will be in higher education, although others may be in related professional
2318 disciplines. Both the dean and the advisory committee may provide suggested
2319 references to the provost, according to a timeline established by the provost.

2320 **Development and distribution of the survey**

2321
2322 **C157.5** The template for the dean's evaluation survey should be consistent across
2323 the university. The dean and advisory committee may propose relevant questions to
2324 be added to the survey instrument to make it a better fit for the specific dean being
2325 evaluated. The provost will have the final approval of the questions to be included in
2326 the survey instrument that is administered for a specific dean. The survey
2327 instrument, collection of data, and analysis of data will protect the privacy and
2328 confidentiality of respondents. The survey instrument will include a clear statement
2329 that the summary of the numerical data and comments will be shared with the dean.
2330 The provost will empower the Office of Planning and Analysis or other appropriate
2331 unit to distribute the materials for confidential feedback. The method shall provide
2332 opportunity for input on performance relative to established missions and goals, and
2333 focus on the overall effectiveness of and confidence in the dean. The method used to
2334 collect feedback shall be private and confidential, and the feedback shall be
2335 anonymous to the dean being reviewed. However, absolute confidentiality and
2336 anonymity cannot be guaranteed, such as when safety, security or due process
2337 requires disclosure. The Office of Planning and Analysis or the other appropriate unit
2338 will collect the results. Individuals also may choose to use other reasonable methods
2339 to provide confidential feedback to the provost.

2340 **C157.6** Written comments will be compiled, protecting respondent confidentiality.
2341 Prior to being finalized, the provost will review and retain all written comments.
2342 ~~Allegations of an unsubstantiated nature~~ Comments unrelated to the professional
2343 evaluation of the dean will not be included in the results, but will be subject to
2344 inquiry by the provost at his or her discretion. The results will be summarized by the
2345 Office of Planning and Analysis or other appropriate unit.

2346 **Responsibilities of the Advisory Committee**

2347
2348 **C157.7** The provost will charge the advisory committee and provide a timeline for
2349 reviewing the data and preparing the report and recommendations. Each advisory
2350 committee member will receive a copy of the final composite of the results, a copy of
2351 each letter of reference, the summary of the expectations of the university
2352 administration under which the dean has been operating, the self-assessment by the
2353 dean, including goals and objectives provided to the provost in previous years, and
2354 evaluation materials from other relevant groups identified in Section C157.3.

2355 **C157.8** The advisory committee will write a draft report for the provost, which
2356 summarizes strengths, weaknesses, and issues of substance which need to be
2357 addressed. A draft copy of this report will be provided to the dean along with a copy
2358 of the final composite of the results and written comments. Prior to the committee
2359 drafting its final report to the provost, the dean will have an opportunity to respond
2360 to the committee in writing to clarify misconceptions and provide further relevant
2361 information. After due consideration of any responses from the dean, the committee
2362 will produce a final copy of the report for the provost with an overall
2363 recommendation for appointment or non-reappointment to a subsequent five-year
2364 term and will forward any response from the dean to the provost. The final report
2365 shall be signed by all committee members including the chair allowing for special
2366 provisions for missing signatures when a committee member is unavailable to sign.
2367 In the case that a minority report is deemed necessary, the report and its content
2368 should be disclosed to all committee members including the chair. The minority
2369 report shall be submitted at the same time as the final report. A separate letter from
2370 the committee to the provost will contain the number of votes of the advisory
2371 committee members for or against the reappointment of the dean. No identification
2372 of any individual votes will be included. Following the receipt of the report and prior
2373 to the final determination by the provost as to reappointment or non-reappointment,
2374 the advisory committee will have the opportunity to meet with the provost, discuss
2375 the survey results, and the vote of the committee on the recommendation.

2376 **C157.9** Absolute confidentiality is expected from the committee members
2377 concerning all evaluation materials, committee deliberations, and final
2378 recommendations. Confidentiality for committee members is a matter of both ethics
2379 and policy.

2380 **C157.10** The committee's recommendations are advisory in nature. The final
2381 decision resides with the provost subject to the approval of the president. If the
2382 provost's decision as to reappointment is contrary to a recommendation from a
2383 majority of the committee, he or she will meet with the committee members to
2384 explain the reasons for not accepting the committee's recommendations.

2385 **C157.11** The provost will meet with the faculty of the college to announce the
2386 outcome and discuss relevant issues.

2387 ~~C158~~ **Mid-appointment feedback**

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Commented [MM47]: Made this heading consistent with remainder of the document to have the heading stand alone.

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2388 **C158.1** In the second or third year of a dean's initial appointment, the dean may
2389 elect to initiate a feedback mechanism. The Office of Planning and Analysis may
2390 serve as a resource to assist in the process.

2391 **C158.2** The intent of the feedback is to reinforce positive endeavors of the college
2392 and/or dean, to help clarify the mission and direction of the college, to help clarify
2393 the college's role in the university and the relationships with external support or
2394 professional organizations, to help identify areas where the dean may want to focus
2395 more attention, and to assist the dean in self-assessment.

2396 **C158.3** At the option of the dean he or she may choose to share the results of the
2397 feedback with the provost and/or selected faculty members.

2399 ~~C159~~ **Administrative Reappointments Assignments and Five-Year**
2400 **Comprehensive Reviews**
2401 **Unit and Department Heads/Chairs**

2402 ~~C159.1B423-4~~ The term of office of department/unit heads, ~~associate deans, and~~
2403 ~~assistant deans~~ holding faculty rank, and having supervisory or budgetary authority
2404 (referred to as academic administrators for purposes of clarity) will be specifically
2405 determined at the time of ~~the appointment~~ administrative assignment, but shall not
2406 exceed five years. Individuals in these positions serve at the pleasure of the dean
2407 who determines whether ~~or not~~ annual reappointment is appropriate. These
2408 academic administrators are eligible for ~~reappointment renewal to of the~~
2409 ~~administrative assignment period additional terms~~ of up to five years. To ~~be~~
2410 ~~reappointed~~ continue in the administrative assignment, the administrator should have
2411 the support of the majority of the faculty, ~~unclassified unclassified~~ professionals
2412 ~~staffs~~, and other staff under his/her supervision.

2415 ~~C159.2B423-3~~ The dean shall consider the reappointment of ~~an academic~~
2416 ~~administrator~~ an administrative assignment with supervisory or budgetary authority
2417 to an additional term only after the establishment of an advisory council and a
2418 review.

2420 ~~C159.3B423-4~~ During the final year of the academic administrator's term ~~of~~
2421 ~~appointment~~, the dean will send a letter to all individuals who work under the
2422 supervision of this academic administrator. This letter will initiate the formal process
2423 of the evaluation, explain the process, state that an opportunity to provide feedback
2424 will be forthcoming, and note that an advisory committee will be appointed. The
2425 dean will provide a summary of the academic administrator's job expectations to
2426 those providing input. The dean and the academic administrator will confer and
2427 reach agreement on the job summary. Potential respondents will include faculty with
2428 tenure and on tenure track, regular instructors, unclassified professionals, and all
2429 other staff within the group being served. If requested by the academic
2430 administrator, and agreed to by the dean, evaluation materials can be collected from
2431 other groups (e.g., students, constituent groups, etc.).
2432 The dean of the college will request that the academic administrator write a self-
2433 assessment of his/her activities since initial ~~appointment~~ administrative assignment
2434 or last re-appointment.

2436 ~~C159.4B423-6~~ To solicit and document the feedback of the group served, the Office
2437 of Planning and Analysis or another group (e.g., administrative support staff)
2438 empowered by the dean (~~administrative support staff~~), shall develop a secure survey

Commented [JH48]: I note that these are not unit or department heads, per the section heading directly above this sentence.

Commented [MM49]: 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."

2439 instrument that protects the privacy and ~~confidentiality~~anonymity of respondents.
2440 The survey shall provide for narrative comments, ratings of specific performance
2441 areas listed on the self-evaluation, unit-specific performance areas, and a final
2442 question/statement addressing the possibility of reappointment in the administrative
2443 assignment. ~~The administrative support staff will collect feedback for review.~~ The
2444 method used to collect the feedback shall be private and confidential, and the
2445 feedback shall be anonymous to the individual being reviewed~~anonymous~~. However,
2446 absolute confidentiality and anonymity cannot be guaranteed, such as when safety,
2447 security or due process requires disclosure. The Office of Planning and Analysis or
2448 other appropriate group will collect the results. Individuals also may choose to use
2449 other methods for providing confidential feedback to the supervisor of the individual
2450 being reviewed. Electronic mail is neither private nor anonymous, and should not be
2451 used to solicit, provide or report feedback.

2452
2453 C159.5B423-7 After the materials have been administered, the dean will request
2454 that the group served recommend a list of faculty, unclassified professionals, and
2455 other staff members to serve on the academic administrator's reappointment
2456 advisory committee. The dean will review the list, then select a representative
2457 committee. Students, alumni, and representatives of other university-related groups
2458 may also be named as members of the reappointment advisory committee.

2459
2460 C159.6B423-8 The reappointment advisory committee shall keep the faculty,
2461 unclassified professionals, and other staff of the group being served regularly
2462 informed of the status of the review. The feedback results will be summarized by the
2463 administrative support staff. Written comments will be transcribed and compiled,
2464 protecting respondent confidentiality. The data will be compiled and presented so
2465 that the summary and other statistics will be standard outputs, along with an
2466 anonymous listing of the narrative comments. Comments unrelated to the
2467 professional evaluation of the administrator ~~Unsubstantiated allegations~~ will not be
2468 included in the results, but will be subject to inquiry by the dean at his/her
2469 discretion. A summary of respondents' input will be provided to the committee for its
2470 report to the dean.

2471
2472 C159.7B423-9 The reappointment advisory committee will write a report ~~for~~to the
2473 dean, which summarizes strengths, weaknesses, and issues of substance that need
2474 to be addressed. The committee will make a recommendation for appointment or
2475 non-reappointment of the administrative assignment. A draft copy of this report will
2476 be provided to the academic administrator being reviewed. The academic
2477 administrator can, if he or she desires, respond to the committee in writing
2478 concerning the draft report. After due consideration of any responses, the committee
2479 will produce a final copy of the report and an advisory recommendation and will
2480 forward any responses from the academic administrator to the dean.

2481
2482 C159.8B423-10 Confidentiality is expected for the committee members concerning
2483 all evaluation materials, committee deliberations, and final recommendations.
2484 Confidentiality for committee members is a matter of both ethics and policy.

2485
2486 C159.9B423-11 To be reappointed, the administrator should have the support of
2487 the majority of the faculty, ~~unclassified~~professional staffs, and other staff under
2488 his/her supervision who responded to the request for feedback, as well as the
2489 concurrence of the dean. The dean shall consider the advisory committee's
2490 recommendation before reappointing an administrator five assignment. If the dean
2491 makes a reappointment decision that is against the wishes of a majority of the

2492 faculty and staff, the dean will schedule a meeting with the group being served and
2493 the next higher-level administrator to give a rationale for the reappointment and an
2494 opportunity to respond to his/her decision.

2495
2496 ~~C159.10B123-12~~ Those departments who elect a chair follow the departmental
2497 internal evaluation procedures.

2498
2499
2500 ~~Five-Year Other Unclassified Professional Staff Administrators~~
2501 ~~Evaluation Procedures~~

2502 ~~C159.1141-4 (b)-~~ Includes all directors, associate and assistant deans and other
2503 unclassified professional administrative supervisors not specified in C159.1

2504
2505 At least once every five years, the responsible dean, vice provost, vice president,
2506 provost or president, depending upon the department's/unit's reporting structure,
2507 will issue a request for input from individuals regarding the performance of their
2508 department/unit administrator(s). To solicit and document the feedback of the group
2509 served, the Office of Planning and Analysis or another group ~~such as AXIO or~~
2510 ~~(e.g., the administrative support staff)~~ shall develop a survey instrument that
2511 protects the privacy ~~and~~ confidentiality ~~and anonymity~~ of respondents. The survey
2512 shall provide for narrative comments, ratings of specific performance areas listed on
2513 the self-evaluation, unit-specific performance areas, and a final question/statement
2514 addressing the possibility of reappointment. ~~Gare should be taken to protect the~~
2515 ~~confidentiality and anonymity of the individuals submitting evaluation materials.~~
2516 Examples of methods that may be used to protect ~~the privacy and confidentiality of~~
2517 those submitting ~~responses to five-year annual~~ evaluation materials include
2518 ~~anonymous electronic AXIO~~ surveys or surveys ~~being~~ submitted to a third party in
2519 Human Resources ~~relations~~ or the Planning and ~~Analysis Evaluation~~ Office. ~~The~~
2520 ~~designated group will collect the results, and the feedback shall be anonymous to the~~
2521 ~~individual being reviewed. However, absolute confidentiality and anonymity cannot~~
2522 ~~be guaranteed, such as when safety, security or due process requires disclosure.~~
2523 ~~Individuals also may choose to use other methods to provide confidential feedback to~~
2524 ~~the supervisor of the individual being reviewed. Electronic mail is neither private nor~~
2525 ~~anonymous. Electronic mail is neither private nor anonymous, and should not be~~
2526 ~~used to solicit, provide or report feedback.~~ These guidelines follow the
2527 ~~unit/department head/dean's/chair's~~ review process outlined in ~~C159.4B123 now~~
2528 ~~moved to Section C. Please use the dean's process as a guide.~~

2529 Termination of Services

2530 **C160.1** General standards for non-reappointment. The Kansas Board of Regents has
2531 adopted The Standards of Notice of Non-Reappointment set forth by the American
2532 Association of University Professors in the autumn of 1964. (See Appendix A. Also
2533 see AAUP Statement on Academic Freedom and Tenure, Appendix C.)

2534 **C160.2** Non-reappointment in the case of financial exigency should not be
2535 interpreted as a reflection on the quality of the individual faculty member's
2536 performance.

2537 **C160.3** The termination for cause of faculty on continuous appointments and non-
2538 tenured faculty, who have been appointed on contract for a specified term, before
2539 the expiration of that term, shall be reviewed in accordance with the procedure
2540 described in C75. ~~(FSM 3-9-93)~~

2541 **C161.1** Reasons for dismissing faculty and ~~unclassified-unclassified~~ professional ~~ss~~
2542 ~~staff. Any unclassified-employee~~ faculty member or unclassified professional ~~A faculty~~
2543 ~~and/or unclassified professional staff~~ may be recommended for dismissal for:

- 2544 • Professional incompetence
- 2545 • Misconduct or unethical behavior
- 2546 • Persistent violation of university rules and/or policy
- 2547 • Bona fide financial exigency (See C162.4 and Appendix B.)
- 2548 • Program discontinuance (See C162.5 and Appendix K.)

2549 **C161.2** Tenured faculty members who are dismissed for reasons other than
2550 misconduct or unethical behavior, or financial exigency, shall be given written notice
2551 by the university 12 months in advance of their separation. Financial exigency has
2552 been broadly defined by the Kansas Board of Regents (Appendix B) with detailed
2553 procedures to be defined by each of the Regents' institutions.

2554 **C162.1** Dismissing faculty holding tenure. Termination of employment of a tenured
2555 faculty member, other than by voluntary resignation or retirement, is extremely
2556 rare. In such case the university upholds both the letter and the spirit of the tenure
2557 principle of the AAUP (Appendix C).

2558 **C162.2** Faculty members with tenure who are dismissed have a right to a formal
2559 hearing under the procedures stated in the Kansas Board of Regents policy on
2560 tenure. (See C71-78.) In cases of dismissal for cause, the Procedure for Review of
2561 Dismissal of Tenured Faculty in Appendix M will be followed. In cases of dismissal for
2562 reasons of financial exigency the procedures in Appendix B will be followed. In cases
2563 of dismissal for reasons of program discontinuance, the procedures of Appendix
2564 K will be followed.

2565 **C162.3** For faculty members whose services are to be terminated before tenure is
2566 attained, written notice shall be given to them by the dean of their college, according
2567 to the following schedule: A faculty member on a regular appointment who has been
2568 employed less than one year shall be notified by March 1 if services are to be
2569 terminated at the end of that academic year. The intent here is to provide at least a
2570 six-month evaluation period for the faculty member newly appointed at the
2571 beginning of the academic year. Accordingly, persons who are appointed at mid-year
2572 (that is, January or February) must also be notified by March 1 of the following
2573 calendar year if they are not to be reappointed for the next academic year. A faculty
2574 member on a regular appointment employed for more than one year shall be given
2575 the same written notice by December 15 if services are to be terminated at the end
2576 of that academic year. Any time after December 15, a faculty member on a regular
2577 appointment employed one or more years shall be given the same written notice at
2578 least 12 months before the expiration of an appointment. If the faculty member is
2579 not to be continued in service beyond the expiration of the probationary period,
2580 notice shall be given at least one year prior to the expiration of the probationary
2581 period. Appointments designated as term teaching faculty do not require notification
2582 of non-reappointment. ~~For faculty members holding tenure, procedures for any~~
2583 ~~termination of appointment, including appeals, will be as outlined in Appendix M.~~

2584 **C162.4** A formal plan to be used in the event financial exigency necessitates the
2586 dismissal of tenured faculty members is contained in Appendix B.
2587
2588

Commented [MM50]: Stated in section immediately preceding.

2589 C162.5 A formal plan to be used in the event program discontinuance necessitates
2590 the dismissal of tenured faculty members is contained in Appendix K.
2591
2592

2593 Continued Employment for Administrative Appointees

2594
2595 C170.1 Individuals may be appointed to regular appointments or to term
2596 appointments. ~~For the purpose of this policy, two types of appointment positions are~~
2597 ~~identified and defined.~~ A regular appointment position is ~~defined as one in which~~
2598 ~~made when which~~ the need and the funds for the position are expected to continue
2599 for the foreseeable future. A regular appointment is made to a budgeted position. A
2600 term appointment position is ~~normally typically used defined as one in which when~~ the
2601 need or funding for the position is finite and is for a specified term, usually not
2602 longer than one year. A term appointment carries no expectation of continued
2603 employment beyond the period stated in the contract. Term appointments can be
2604 made to either budgeted or non-budgeted positions.
2605

2606 ~~C170.2 Individuals~~ ~~Persons appointed after June 1, 1982, may be appointed to~~
2607 ~~regular appointment positions or to term appointment positions.~~
2608

2609 C170.3 Persons holding regular or term unclassified professional appointments may
2610 be terminated without cause, provided that notice is given according to the schedule
2611 below. This notice is called notice of nonreappointment.

2612 During the first year of service, the individual must be notified by March 1 if
2613 he/she will not be reappointed for the next fiscal year. During the second
2614 year, notification of the non-reappointment for the next fiscal year must be
2615 made by December 15. Thereafter, the individual must be provided 12
2616 months' notice if he/she will not be reappointed. (The first year of service
2617 ends with the fiscal year in which the individual was first appointed, unless
2618 the date of the appointment was after September 30. For those whose initial
2619 appointment was effective after September 30, the "first year" ends with the
2620 fiscal year after the year of appointment. However, in no case shall more than
2621 12 months' notice be required.)

2622
2623 All appointments to term positions will be temporary appointments ending at
2624 or before the end of the term. Should need or money for the position be
2625 extended, a new term may be established with the approval of the provost. In
2626 such instances, the incumbent may be appointed for the new term or a
2627 portion thereof without the position being declared open for initiation of a
2628 search process.

2629 A. ~~Except for persons covered under B, below, during the first twelve (12)~~
2630 ~~months of unclassified service, the individual must be given 90 days' notice of~~
2631 ~~termination without cause. After more than twelve (12) months of service, an~~
2632 ~~individual on a regular appointment must be given 180 days' notice of termination~~
2633 ~~without cause.~~

2634 ~~All appointments to term appointment positions will be temporary appointments~~
2635 ~~ending at the conclude at the end of the term, or earlier for cause, or with 90 days'~~
2636 ~~notice of termination without cause if notice is given according to the preceding~~
2637 ~~paragraph. Should need or money for the position be extended, a new term may be~~
2638 ~~established with the approval of the provost or appropriate vice president or as~~
2639 ~~delegated to the deans or comparable administrators. In such instances, the~~
2640 ~~incumbent may be appointed for the new term or a portion thereof without the~~
2641 ~~position being declared open for initiation of a search process.~~

Commented [MM51]: 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.

2642
2643 B. ~~Persons appointed to regular, unclassified positions prior to June 15, 2010, are~~
2644 ~~subject to notice of non-reappointment pursuant to the following schedule:~~
2645 ~~During the first year of service, the individual must be notified by March 1 if~~
2646 ~~he/she will not be reappointed for the next fiscal year. During the second~~
2647 ~~year, notification of the non-reappointment for the next fiscal year must be~~
2648 ~~made by December 15. Thereafter, the individual must be provided twelve~~
2649 ~~(12) months' notice if he/she will not be reappointed of termination without~~
2650 ~~cause. (Unless the date of the appointment was effective after September 30,~~
2651 ~~the first year of service ends with the fiscal year in which the individual was~~
2652 ~~first appointed. For those whose initial appointment was effective after~~
2653 ~~September 30, the "first year" ends with the fiscal year after the year of~~
2654 ~~appointment. In such cases, during the initial year of appointment prior to the~~
2655 ~~"first year," those individuals must be notified no later than May 1 if they are~~
2656 ~~not to be reappointed.)~~

2657
2658 ~~C174 The non-reappointment of persons holding administrative tenure granted prior~~
2659 ~~to June 1982, as defined in C170.3B, may be reviewed in accordance with the~~
2660 ~~Procedure for Review of Dismissal of Tenured Faculty, as provided in Appendix M,~~
2661 ~~provided that the administrator shall have the choice of:~~

- 2662 1. ~~A hearing committee of the composition provided in Appendix M;~~
2663 ~~or~~
2664 ~~2. a hearing committee selected from a pool which shall include all persons~~
2665 ~~holding administrative positions as defined above, except that persons holding~~
2666 ~~positions in the administrative unit in which the administrator is appointed shall not~~
2667 ~~be eligible.~~

Commented [MM52]: The approval process was never completed.

2670 **Bargaining Unit for Unclassified Employees**

2671
2672 **C180** In accordance with the laws of the State of Kansas, the potential bargaining
2673 unit for Kansas State University unclassified employees has been determined by the
2674 Public Employees Relations Board (PERB) on December 20, 1982, to be as follows:
2675 The appropriate bargaining unit for unclassified personnel at Kansas State University
2676 shall include:

- 2677 1. All unclassified faculty with the academic rank of research assistant, research
2678 associate, assistant instructor, instructor, assistant professor, associate
2679 professor, and professor if they are engaged five-tenths time or more in
2680 teaching, research, or extension;
2681 2. Support unit personnel except physicians working in Lafene Health Center,
2682 and shall exclude:
2683 A. Unclassified employees as stipulated: academic directors, associate
2684 directors, assistant directors; department heads; part-time employees
2685 (less than five-tenths time); temporary, visiting or adjunct employees
2686 and appointees; all students, including graduate teaching assistants,
2687 graduate research assistants, and graduate assistants; university
2688 officials, including the president, assistants to the president,
2689 administrative assistants to the president, provost, associate provost,
2690 assistant provost, vice presidents, associate vice presidents, assistant
2691 vice presidents, assistants to vice presidents, deans, associate deans,
2692 assistant deans, assistants to deans, controller, associate controller,
2693 assistant controller, registrar, associate registrar, assistant registrar,

2694 university attorney, branch station superintendents, area directors of
2695 extension;
2696 B. County extension agents;
2697 C. Physicians working in Lafene Student Health Center.
2698 (The complete text of the PERB order is on file in Human Capital Services and in the
2699 Faculty Senate Office.)
2700

2701 **Administrative Appeals and Grievance Resolution**

2702
2703 **C190** (Deletion, POD 4/27/12)

2704 **Grievance Resolution**

2705 C191 (Deletion, POD 4/27/12)

2706 **Ombudsperson**

2707 **C192** Appointment and Term

2708 On the recommendation of the Faculty Senate President, the Faculty Senate
2709 Executive Committee shall appoint, three ombudspersons. Candidates for the
2710 ombudspersons shall have service qualifications that demonstrate knowledge of
2711 university structure and operations, such as service on Faculty Senate or the General
2712 Grievance Board. Faculty candidates shall have attained tenure in their respective
2713 departments. ~~Unclassified professional~~ Professional staff ~~Unclassified professional~~
2714 candidates shall be on regular appointments. People in positions of line authority
2715 (e.g., department heads/chairs, deans, and some directors) shall not be appointed.
2716 The ombudspersons should not serve in additional roles within the university that
2717 would compromise their ability to be perceived as unbiased. Any qualified person
2718 wishing to be considered for an ombudsperson appointment may contact the Faculty
2719 Senate President.

2720
2721 Each ombudsperson shall serve a three-year term, which shall begin the first day of
2722 each fall semester, and shall be listed as ombudsperson in the annual list of all-
2723 university appointments and the Campus Directory. Reappointment to a second
2724 consecutive term should take place only in exceptional circumstances, the basis of
2725 which will be explained by the Faculty Senate President to the Faculty Senate prior to
2726 the appointment. Terms of the ombudspersons will be staggered. Ombudspersons
2727 who are unable or unwilling to adhere to **C194** are subject to immediate
2728 replacement at the discretion of the Faculty Senate Executive Committee. If for any
2729 reason an ombudsperson cannot complete a term, the term of the replacement will
2730 be for the balance of the original term.

2731
2732 **C193** Recognition and Training

2733 Service as ombudsperson shall be given appropriate consideration as part of the
2734 ombudsperson's responsibility during the term of appointment; the department head
2735 or functional equivalent shall ensure that service as ombudsperson shall be given
2736 consideration in decisions affecting assignments, salary, and promotion. The
2737 ombudsperson shall receive released time or be compensated in some other fashion.
2738 It is expected that early in the term of an ombudsperson's appointment,
2739 opportunities will be provided by the university for the ombudsperson to receive
2740 supplemental preparation that may enhance his/her ability to be successfully in the
2741 functions and responsibilities of an ombudsperson. Beyond conferring with current
2742 and former ombudspersons, such preparation shall include attending seminars,

2743 workshops, and meetings. The university will pay for the costs involved with the
2744 ombudsperson belonging to The Ombudsman Association or an equivalent
2745 organization, during the ombudsperson's term.

2746
2747 **C194** Functions and Responsibilities The ombudsperson's role is to facilitate a
2748 confidential, unbiased, and informal process to resolve concerns and disputes that
2749 arise within the university. The ombudsperson is an information, communication, and
2750 referral resource available to the faculty and unclassified professionals who seek
2751 service on a voluntary basis.

2752 With exception(s) as specified in the University Handbook, the university recognizes
2753 and the ombuds will follow ~~the principles developed by the university and~~
2754 ~~International Ombudsman Association (IOA) as well as~~ the Code of Ethics 1985 ~~and~~
2755 ~~the Standards of Practice 1995~~ of the Ombudsman Association,
2756 <http://www.ombudsassociation.org/>

2757
2758 Ombudspersons are not mediators, arbitrators, or advocates for any person or
2759 position. They are advocates for fair processes and fair administration. While
2760 individuals are responsible for choosing a particular resolution, the ombudsperson
2761 may help develop options to resolve problems and/or facilitate discussion designed
2762 to identify agreeable options to resolve a dispute. Ombudspersons will exercise the
2763 responsibilities of their position with objectivity and impartiality, and will consider the
2764 concerns of all parties involved in a dispute. All communications with the
2765 ombudsperson(s) are confidential, and they will not be expected to testify in any
2766 formal process inside or outside the university.

2767
2768 ~~At the request or permission of the grievant, Thean~~ ombudsperson ~~[who] shall have~~
2769 ~~the duties of~~ shall (1) ~~providing~~ provide information about the grievance process ~~at~~
2770 ~~issue~~ and (2) ~~guiding or help walk the~~ grievant through the initial stages of the
2771 grievance process. If requested by the grievant, the ombudsperson may also contact
2772 the administrator(s) involved to ~~seek~~ inquire as to the possibility of a resolution of
2773 the matter before a formal grievance hearing begins. The ombudsperson shall have
2774 access to anyone in the university including the president.

Commented [MM53]: 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.