

Attachment 2

Proposed Changes to University Handbook - Section C

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 **Unclassified Professional Staff Responsibilities**

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

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

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

Commented [MM3]: This language is not needed.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

§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.

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

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

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

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

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

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

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

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

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

605 Other Types of Appointments

606
607 **C24 Interdisciplinary appointments.** Normally, all tenure-track faculty members
608 appointed to interdisciplinary programs who have not already acquired tenure at
609 Kansas State University shall at the time of consideration they are being considered
610 for appointment identify the disciplinary department with which ~~they wish~~ to be
611 associated. Prior to appointment, a majority of the faculty members of the chosen
612 disciplinary department must find the individual acceptable as a potential faculty
613 member in their 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 is allowed the courtesy of affiliation with
622 the university, adjunct appointments are usually without compensation. Payment
623 may be made for classroom instruction, although adjunct faculty members are
624 normally not appointed to serve in the formal teaching program. Refer to the PPM,
625 Chapter 4650, <http://www.k->
626 [state.edu/policies/ppm/4600/4650.html#040](http://www.k-state.edu/policies/ppm/4600/4650.html#040) <http://www.k->
627 [state.edu/policies/ppm/4650.html](http://www.k-state.edu/policies/ppm/4650.html).
628

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629 **C25.2** The activities of adjunct faculty members are limited to participation in
630 academic functions such as teaching, advising, and supervising research. The regular
631 procedures of the graduate faculty apply to any individual's participation in a
632 graduate program. Adjunct appointees may serve as major professors for graduate
633 students only if a regular member of the graduate faculty serves as co-major
634 professor.
635

636 **C25.3** All university rules and regulations apply to adjunct faculty members in their
637 university association, including policies with respect to patents, conflict of interest,
638 classified research, and use of human subjects. Adjunct faculty members must

639 accept responsibility for liability in cases of supervised student work ~~which they~~
640 supervise off-campus.

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

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

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

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

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

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

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

684 **Other Considerations**

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

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

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

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

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

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

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

734 **C31.1** Departmental/unit criteria, standards, and guidelines. ~~It is not The~~
735 ~~possibility~~ it does not exist at the university or college levels to establish detailed
736 criteria and standards for annual merit salary adjustments, reappointment,
737 promotion, and tenure. The responsibility for developing and revising an annual
738 evaluation system for faculty and unclassified professionals staff rests primarily with
739 the department's/unit's faculty and professional staff unclassified professionals in
740 consultation with the department's/unit's administrative head/chair, dean, vice-

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

Commented [MM16]: From Brian Niehoff: This was C37. It did not fit there very well. I think if it is to be renumbered, it should be as C30.4

741 president, provost or president, as appropriate, depending upon the
742 department's/unit's reporting structure. The evaluation system that is developed
743 should be consistent with the university's goals as well as those of the unit. Each
744 administrative unit will develop a procedure in accordance with the University
745 Handbook applicable policy. Consult Human Capital Services for best practices and
746 shared core competencies.

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

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

Commented [rd18]: A30 no longer exists.

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

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

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

780 **C31.4** ~~It is the~~ Responsibility lies with the deans and the provost to ensure that
781 departmental/unit criteria, standards, and guidelines are followed in making
782 recommendations and decisions for merit salary adjustments, reappointment,
783 promotion, and tenure within the colleges. It is the ~~Responsibility lies with~~ the
784 vice presidents and their subordinate administrators in making recommendations and
785 decisions for merit salary adjustments, reappointment, and promotion within their
786 respective units.

787
788 **Chronic Low Achievement for Tenured Faculty Evaluation**
789

790 **C31.5** ~~Chronic low achievement.~~ Chronic failure of a tenured faculty member to
791 perform his/her professional duties, as defined in the respective unit, shall constitute
792 evidence of "professional incompetence" and warrant consideration for "dismissal for
793 cause" under existing university policies. Each department or unit shall develop a set
794 of guidelines describing the minimum-acceptable level of productivity for ~~each~~
795 applicable areas of responsibility for the faculty, as well as procedures to handle such
796 cases. In keeping with regular procedures in matters of tenure (C112.1 and C112.2),
797 eligible departmental faculty will have input into any decision on individual cases
798 unless the faculty member requests otherwise. When a tenured faculty member's
799 overall performance falls below the minimum-acceptable level, as indicated by the
800 annual evaluation, the department or unit head/chair shall indicate so in writing to
801 the faculty member. The department head/chair will also indicate, in writing, a
802 suggested course of action to improve the performance of the faculty member. In
803 subsequent annual evaluations, the faculty member will report on activities aimed at
804 improving performance and any evidence of improvement. The names of faculty
805 members who fail to meet minimum standards for the year following the department
806 head's/chair's suggested course of action will be forwarded to the appropriate dean.
807 If the faculty member has two successive evaluations or a total of three evaluations
808 in any five-year period in which minimum standards are not met, then "dismissal for
809 cause" will be considered at the discretion of the appropriate dean.

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

835
836 **C31.7** Prior to the point at which "dismissal for cause" is considered under C31.5,
837 other less drastic actions should have been taken. In most cases, the faculty
838 member's deficient performance ("below expectations" or worse) in one or more
839 areas of responsibility will have been noted in prior annual evaluations. At that point,
840 the first responsibility of the head/chair of the department or unit is to determine
841 explicitly whether the duties assigned to the faculty member have been equitable in
842 the context of the distribution of duties within the unit and to correct any inequities

843 affecting the faculty member under review. Second, the head/chair of the
844 department or unit should have offered the types of assistance indicated in C30.3.
845 Referral for still other forms of assistance (e.g., medical or psychological) may be
846 warranted. Third, if the deficient performance continues in spite of these efforts and
847 recommendations, the department head/chair and the faculty member may agree to
848 a reallocation of the faculty member's time so that he/she no longer has duties in the
849 area(s) of deficient performance. ~~Of course, s~~Such reallocation can occur only if
850 there are one or more areas of better performance in the faculty member's profile
851 and if the reallocation is possible in the larger context of the department's or unit's
852 mission, needs, and resources.

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

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

877 Other Considerations for Faculty Evaluation

878
879 **C32.1** Diversity of faculty responsibilities. The responsibilities of the university
880 faculty include teaching, research and other creative ~~activitiesendeavor~~, extension,
881 directed service, and/or non-directed service (See C1-C6.) The emphasis given to
882 these responsibilities varies among the colleges and departments of the university
883 and may well vary from individual to individual within a department.
884

885 **C32.2** Kansas State University has several important missions, and a fundamental
886 one is the education of students. ~~Teaching-evaluations~~Evaluation of teaching isare an
887 important part of the overall faculty evaluation. ~~They are~~It is An evaluation is used
888 to aid faculty development and foster a commitment to teaching excellence at
889 Kansas State University.
890

891 **C32.3** A variety of teaching environments and pedagogies are critical to institutional
892 excellence. Departments will establish criteria and standards for all forms of teaching
893 appropriate to their missions.

894
895 **C32.4** Original intellectual and artistic contributions fulfill a fundamental mission of
896 the university and are crucial to institutional excellence. There is great diversity in
897 the scholarly and creative achievement of the university faculty, and departments
898 will establish criteria and standards for all forms of research and other creative
899 achievement appropriate to their missions.

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

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

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

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

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

043 levels independent study). Faculty members engaged in individualized instruction
044 should be guided by the unit's criteria for evaluating such instruction (See C32.2).
045

046 **C34.2** Student ratings-feedback should never be the only source of information
047 about classroom teaching. Departments or units should be encouraged to develop a
048 comprehensive, flexible approach to teaching evaluation, where several types of
049 evidence can be collected, presented and evaluated as a portfolio. Peers,
050 administrators, and other appropriate judges also can offer useful insights about a
051 faculty member's teaching performance. Peer evaluation, defined as a critical review
052 by colleagues knowledgeable of the entire range of teaching activities, can be an
053 important component of the university's teaching evaluation program since peers are
054 often in the best position to interpret and understand the evidence and place ~~it~~ in ~~its~~
055 proper academic context. Data other than student ratings-feedback that provide
056 relevant evidence of teaching effectiveness are described in "Effective Faculty
057 Evaluation: Annual Salary Adjustment, Tenure and Promotion." ([http://www.k-](http://www.k-state.edu/provost/forms/EFE.pdf)
058 [state.edu/provost/forms/EFE.pdf](http://www.k-state.edu/academicpersonnel/depthead/manual/master.html))[http://www.k-](http://www.k-state.edu/academicpersonnel/depthead/manual/master.html)
059 [state.edu/academicpersonnel/depthead/manual/master.html](http://www.k-state.edu/academicpersonnel/depthead/manual/master.html)." Examples include:
060 course materials such as reading lists, syllabi, and examinations; special
061 contributions to effective teaching for diverse student populations; preparation of
062 innovative teaching materials or instructional techniques; special teaching activities
063 outside the university; exit interviews, and graduate interviews and surveys to
064 obtain information about teaching effectiveness.
065

066 **C34.3** A department or unit's policies and procedures may specify that submission of
067 student ratings-feedback will be mandatory and further specify the student rating
068 feedback system(s) to be employed for the purposes of making personnel
069 recommendations concerning annual merit salary, reappointment, tenure, and
070 promotion. In such instances, departmental procedures for administering student
071 ratings-feedback forms or questionnaires should be standardized in order to minimize
072 extraneous influences when results are compared within a department. Assistance
073 with establishing such procedures is available from the Teaching and Learning Center
074 for the Advancement of Teaching and Learning.
075

076 **C34.4** Regardless of the form or system used, the results or reports shall be
077 returned only to the faculty member and department/unit head/chair unless that
078 individual has provided signed authorization to release the results to others. University policy requires that results of student feedbackratings not be returned to
079 faculty members until after the semester deadline for submitting grades. The only
080 deviation from this procedure is the return of student feedbackratings that are being
081 used by a faculty member to develop mid-semester strategies for improvement; in
082 these cases, the students must be informed that the results will be returned to the
083 instructor before grades have been submitted.
084
085

086 **C34.5** Some student ratings-feedback systems are designed primarily to help faculty
087 members improve their teaching. Faculty members are encouraged to decide
088 individually what means, ~~if any, are they~~ used to ascertain student views of their
089 teaching in order to improve. Other student ratings systems are designed primarily
090 to aid in the comparative evaluation of faculty members within a department for the
091 purposes of making personnel recommendations concerning annual merit salary,
092 reappointment, tenure, and promotion. ~~It is essential that~~ Each department or
093 unit's policies and procedures indicate the student rating-feedback system(s) to be
094 employed for the latter purposes. Faculty members are, ~~of course,~~ free to submit
095 supplemental student views from instruments or other methods of their own choice.

Commented [mdr19]: Just an alert to the Faculty Affairs Committee – some department heads and faculty would like the University Handbook to require submission of TEVALS for faculty evaluation. Such a change would be a major change in policy.

Commented [MM20R19]: This was reviewed by Faculty Affairs, and we discussed the fact that all courses are now required to be evaluated. We discussed that this implies that all student evaluations are reviewed by department/unit heads. This language was changed to have the TEVALs sent to the faculty member and the department/unit head/chair.

996
997 **C35** Confidentiality of documents. Faculty ~~and unclassified professionals~~ should not
998 expect that their peer evaluations gathered from individuals at Kansas State
999 University and at other institutions will ~~not~~ be available to them, except in
1000 association with grievance proceeding (see Appendix G).

1001
1002 These materials, along with other documents reflecting the peer review process will
1003 be retained by the dean of the college, as will the candidates' files submitted for
1004 promotion or tenure consideration. Where actual copies of books or other creative or
1005 scholarly works are submitted, these materials may be returned to candidates upon
1006 completion of the review process. Upon request of the candidate following the
1007 completion of the review process for tenure or promotion, the dean will have a
1008 detailed discussion with the candidate and provide a written summary of the
1009 information leading to the decision. _

1010
1011 **C36.1** Outside reviewers. Persons outside the university who are recognized for
1012 excellence in the candidate's discipline or profession may be asked to participate as
1013 reviewers in evaluations for tenure and promotion. Each reviewer should be provided
1014 a written description of the candidate's responsibilities during the period being
1015 evaluated and pertinent materials from the candidate's file. Because outside
1016 reviewers are most likely to be familiar with and able to judge a candidate's research
1017 and other creative endeavor and are likely to review only that area of performance,
1018 this aspect should be recognized and the review weighted accordingly.

1019
1020 **C36.2** The value of outside reviews depends on the appropriate choice of objective
1021 reviewers. Comments from a candidate's major professor or graduate school
1022 classmates are generally less persuasive and should, as a rule, be avoided.

1023
1024 **Other Considerations for ~~Issues of Professional Staff Unclassified~~**
1025 **Professional Evaluations**

1026
1027 ~~C3 Employees within a department or unit who share suitably similar position~~
1028 ~~descriptions should be evaluated with uniform criteria, standards, and guidelines.~~
1029 ~~These procedures should be clearly applicable to those positions, but general enough~~
1030 ~~in nature to allow for consideration of variation among individual position~~
1031 ~~descriptions.~~

1032
1033 ~~These procedures must be mutually approved by a majority vote of the concerned~~
1034 ~~employees, by the department head or unit director, by the concerned dean or unit~~
1035 ~~administrator, and by the provost or concerned vice president.~~

1036
1037 ~~Provision must be made for review at least once every five years or more frequently~~
1038 ~~if it is determined to be necessary by any of the aforementioned parties. Dates of~~
1039 ~~revision (or the vote to continue without revision) must appear on the first page.~~
1040 ~~Copies are available to professional staff in their departmental or unit offices.~~

1041
1042 ~~C37-4 All evaluations of professional staff unclassified professionals should explicitly~~
1043 ~~consider the position description for that employee in the assessment of annual~~
1044 ~~performance. Understandably, any position description will possess a degree of~~
1045 ~~generality and flexibility (i.e., "other duties as assigned") such that specific duties~~
1046 ~~may be adjusted in accordance with the evolving needs of a department or unit.~~
1047 ~~However, if a current position description is not on file with the appropriate unit, or if~~
1048 ~~the current duties of the employee differ in important respects from the position~~

Commented [MM21]: There was redundancy between C31.2 and C37, so we deleted C37. We revised the name of this section to encompass the additional information helpful for unclassified professional evaluations.

1049 description on file, a new position description should be developed in consultation
1050 with the employee and mutually agreed upon by all concerned parties as the basis
1051 for any valid evaluation.

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

1052
1053 In regard to unclassified professional-staff evaluations, the following
1054 recommendations are made:

1055
1056 a. Annual evaluations should be stated in terms of expectations. The categories
1057 should include at least the following: "exceeded expectations," "met
1058 expectations," "fallen below expectations but has met minimum -acceptable
1059 levels of productivity," and "fallen below minimum -acceptable levels of
1060 productivity." " with the "minimum acceptable levels of productivity". These
1061 categories should clearly reference the expectations/duties communicated by
1062 both included in the position description and the letter of expectations [
1063 generated in the hiring process.

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

1064 b. Annual written evaluations should articulate the basis of the categorical rating
1065 assigned. This narrative should provide meaningful detail and/or guidance
1066 regarding how the professional staff member/employee might improve or
1067 maintain the assigned category of evaluation in the coming year.

1068 c. At minimum, all professional staff/annual evaluations of unclassified
1069 professionals should include a written evaluation and a meeting between the
1070 evaluating supervisor and the professional staff member/employee. In the
1071 spirit of continuous improvement for both the unit and the professional staff
1072 member, this meeting should further elaborate upon the written evaluation,
1073 explore goals for the coming year, provide an opportunity to ask questions,
1074 and offer clear recommendations for how to address any articulated
1075 deficiencies.

1076
1077 C37.12 Confidentiality of documents. When applicable, peers who are asked to
1078 participate in a review process for another employee should be able to provide
1079 confidential input. For that reason, professional staff/unclassified professionals should
1080 not expect that peer evaluations gathered from individuals at Kansas State
1081 University and at other institutions will be available to them, except in association
1082 with grievance proceeding (see Appendix G). These materials, along with other
1083 documents reflecting a peer review process, will be retained by the relevant dean or
1084 equivalent administrator.

1085 Tenure and Promotion Procedures for Department Heads/Chairs

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1086
1087
1088 C38 Tenure and promotion procedures for department heads/chairs. Each college is
1089 responsible for establishing departmental procedures to follow when department
1090 heads/chairs are candidates for tenure or promotion. In these cases, all eligible
1091 faculty members within the particular department have the primary responsibility for
1092 judging the qualifications of a candidate, and the criteria and standards used must
1093 be the same as those established by the department for other faculty members.

1094 Evaluation of Graduate Teaching Assistants

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1095
1096
1097 C39 Graduate teaching assistants (GTAs) provide very valuable contributions to the
1098 missions of the university by participating in the instruction of undergraduate

1099 courses and in research and scholarly activities. GTAs' tasks may range from grading
1100 assignments to the instruction of one or more sections of courses under
1101 departmental supervision. When GTAs are involved in classroom teaching, their skills
1102 in communicating and interacting with students are important in the effective
1103 transfer of information. In order to assure high quality instruction, it is necessary
1104 that GTAs teaching for the first time at Kansas State University be assessed as to
1105 their instructional skills. Feedback from students in class is a valuable source for this
1106 information, and can be used for both ~~skills~~ improvement of skills, and for
1107 management purposes by the department.

1108
1109 Each academic department shall have or put into place procedures for obtaining
1110 student feedback on instructional skills of GTAs teaching for the first time at Kansas
1111 State University. Departments may use their own assessment and analysis
1112 procedures, or adopt the procedures available through the Office of
1113 Assessment Planning and Analysis (OPA). These assessments should be conducted
1114 during lecture, recitation or laboratory sessions about three weeks after the
1115 beginning of the semester. As a minimum, this process should include (1)
1116 assessment of basic communication skills such as enunciation, clarity, and loudness;
1117 (2) assessment of interactive skills in responding to student questions; (3)
1118 assessment as to whether the lecture presentations are organized; (4) provision for
1119 feedback to the GTA and implementation of corrective measures when needed; (5)
1120 collection of normative data; and (6) provision for a follow-up assessment if serious
1121 concerns arise. The results of the assessment should be provided to the GTA, the
1122 professor-in-charge, department/unit head, and provost. The results should also be
1123 transmitted to the dean of the appropriate college when serious concerns are raised
1124 about the GTA's communication skills. When GTAs are unable to meet a basic
1125 standard of communication performance as specified in the departmental/Office of
1126 AssessmentPA procedures, corrective action should be taken to remedy the situation.

1127
1128 C39.1 Disputes concerning graduate assistants' (GTA/GRA/GA) performance are
1129 employment matters that should be originated with the appointing department and
1130 be addressed through normal supervisory channels. The students should begin
1131 addressing the concern with the assigned supervisor of the assistantship and, if
1132 necessary, proceed to the department or unit head. If the matter is not resolved at
1133 the department or unit level, the student may present it to the Dean of the College in
1134 which the (GTA/GRA/GA) is employed. Formal grievance procedures do not apply to
1135 these appointments (see Appendix A of the Graduate Handbook [http://www.k-](http://www.k-state.edu/grad/graduate-handbook/appendixa.html)
1136 state.edu/grad/graduate-handbook/appendixa.html).

1137
1138 Annual Evaluation of Faculty and Unclassified Employees Professionals
1139 Evaluation Annual Evaluation and Merit Increases for Faculty and
1140 Professional Staffs

1141
1142 C40 Bases for salary increases.—The evaluation will provide the basis for any annual
1143 merit pay increases in salary recommendations. See C30-C39 for additional guidance
1144 on evaluation processes. Annual written evaluations conducted for the purpose of
1145 determining merit salary increases are based on the distribution of responsibilities
1146 assigned, the relative difficulty and importance of these responsibilities, and the level
1147 of success with which each was performed.

1148
1149 C41.1 Development and revisions of the evaluation system. Each unit that includes
1150 faculty and/or unclassified professional staff must have a system for annual
1151 evaluation of faculty and professional staff unclassified professionals on regular

Field Code Changed

Commented [JH24]: I note that the next several items are somewhat redundant with stuff that was already present in the issues of faculty evaluation section. However, since that redundancy pre-dated our revisions, I did not wish to upset the ecology by expunging it. Thus, I retained a similar redundancy (mas o menos) in the verbiage established for "Issues of Professional Staff Evaluation" that I wrote above - not sure if this is right but don't see it as enough of an issue to want to tackle streamlining. It is an important set of points so I don't see redundancy as necessarily bad. 3/12/15

1152 appointment half time or greater. The system of evaluation must include a statement
1153 of the department's/unit's evaluation criteria and standards. ~~The evaluation will~~
1154 ~~provide the basis for annual merit salary recommendations. See C30-C39 for~~
1155 ~~additional guidance.~~ General Issues of Faculty Evaluation.

1156
1157 **C41.2** ~~The responsibility for developing and revising an annual evaluation system for~~
1158 ~~faculty and unclassified professional staff rests primarily with the department's/unit's~~
1159 ~~faculty and unclassified professional staff in consultation with the department's/unit's~~
1160 ~~administrative head/chair, dean, vice president, provost or president, as appropriate,~~
1161 ~~depending upon the department's/unit's reporting structure. At the time of initial~~
1162 ~~consideration, and with later revision of the system, faculty and unclassified~~
1163 ~~professional staff are expected to provide opinions about the department's/unit's~~
1164 ~~evaluation system. The system that is developed should be consistent with the~~
1165 ~~university's goals as well as those of the unit. Each administrative unit will develop a~~
1166 ~~procedure in accordance with the University Handbook.~~

1167
1168 **C41.3** ~~A unit's evaluation system must be mutually approved by a majority vote of~~
1169 ~~the faculty and/or unclassified professional staff in the unit, by the unit's~~
1170 ~~administrative head, and by the dean or appropriate vice president. The date of final~~
1171 ~~approval must appear on the first page. Provision must be made for review of the~~
1172 ~~system at least once every five years or more frequently if it is determined to be~~
1173 ~~necessary by any of the three aforementioned parties. Revisions also must be~~
1174 ~~approved by the process described above. Dates of revision (or the vote to continue~~
1175 ~~without revision) must appear on the first page.~~

1176
1177 **C41.4**

1178 ~~(a) Performance evaluations of all heads/chairs/directors and other administrative~~
1179 ~~supervisors in academic and non-academic departments/units are completed~~
1180 ~~annually for merit increases. Individuals under their supervision, as well as other~~
1181 ~~faculty, unclassified professionals, classified staff, and clientele as specified in the~~
1182 ~~department's/unit's evaluation system, will be asked to provide input identifying~~
1183 ~~strengths, weaknesses and issues relevant to the administrator's annual~~
1184 ~~performance.~~

1185 ~~(b) At least once every five years, the responsible dean, vice provost, vicepresident,~~
1186 ~~provost or president depending upon the department's/unit's reporting structure, will~~
1187 ~~issue a request for input from individuals regarding the performance of their~~
1188 ~~department/unit administrator(s). Please follow the process outlined in B123. (FS~~
1189 ~~11/10/09 revisions).~~

1190
1191 **C42 Evaluation period.**

1192
1193 The evaluation period will be the same for all individuals in the department/unit, with
1194 the possible exception of first year appointees and individuals who have been on
1195 leave for all or a part of the year. The unit's evaluation system will normally be
1196 based on performance during the 12-month evaluation period ending December 31.
1197 However, department/units may, on the basis of a majority vote choose any other
1198 12-month period for evaluation (e.g., the fiscal year from July 1 to June 30).
1199 Depending on its goals and objectives, a department/unit's evaluation system may
1200 include accomplishments that have occurred over a period of time longer than one
1201 year. ~~The evaluation system~~ also may specify that a rolling average of the person's
1202 annual evaluation results for several preceding years be used to determine relative

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

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

1203 salary recommendations to minimize inequities due to variable legislative actions
1204 from year to year. Faculty and unclassified professionals in such units will receive
1205 merit salary adjustments, if any, up to 12 months after the conclusion of the
1206 evaluation period.

1207
1208 **C42.1** For first-year appointees, units have the option of a) recommending an
1209 increase based on the individual's evaluation (adjusted proportionally to encompass
1210 the entire year), b) recommending an average increase, or c) recommending the
1211 larger of the above, since the length of time for evaluating performance was limited.
1212 Such individuals are also eligible for salary adjustments on bases outside the annual
1213 evaluation (e.g., market, equity).

1214
1215 **C42.2** Faculty and ~~unclassified~~ unclassified professionals ~~staff~~ on leave. The unit may
1216 evaluate individuals who were on sabbatical leave or ~~on other~~ leave ~~without pay~~ for a
1217 portion of the year on the basis of their performance during the period ~~of they were~~
1218 engaged in university assignments, and, if so, merit recommendations should
1219 be consistent with this evaluation (adjusted proportionally to encompass the entire
1220 year). If the leave was for the entire year, the individual's average evaluation for
1221 recent years, not to exceed six years, may serve as the basis of the merit increase
1222 recommendation. Such individuals are also eligible for salary adjustments on bases
1223 outside the annual evaluation.

1224 Annual Evaluation of Administrators

1225 Includes performance evaluations of all heads/chairs/directors/associate and
1226 assistant deans and other unclassified professional administrative supervisors.

1227 **C431.4**

1228
1229
1230
1231 ~~(a)~~ Performance evaluations of all heads/chairs/directors/associate and assistant
1232 deans and other administrative supervisors in academic and non-academic
1233 departments/units are completed annually for merit increases. Individuals under
1234 their direct supervision, as well as other faculty, unclassified professionals, university
1235 support staff, and clientele as specified in the department's/unit's evaluation system,
1236 ~~may~~ be asked to provide input identifying strengths, weaknesses and issues
1237 relevant to the administrator's annual performance. (FSM 11/10/09 revisions) The
1238 method used to collect feedback should be private and confidential, and the feedback
1239 shall be anonymous to the individual being reviewed. However, absolute
1240 confidentiality and anonymity cannot be guaranteed, as when safety, security or due
1241 process requires disclosure. An example of a method that may be used to protect the
1242 privacy and confidentiality of those submitting annual evaluation materials would be
1243 electronic surveys, available through the Office of Planning and Analysis.
1244 Confidentiality and anonymity cannot be guaranteed, such as when safety, security,
1245 or due process requires disclosure. Individuals also may choose to use other
1246 methods to provide confidential feedback to the supervisor of the individual being
1247 reviewed. A description of the five-year review process for administrators is given in
1248 Section C159.

1249 **Responsibilities of Faculty and Faculty and Unclassified** 1250 **Employees Professionals Professionals Who Are Evaluated**

1251
1252 **C45.1** Each faculty member ~~and/or unclassified professional person~~ will meet
1253 annually with the unit head to jointly establish goals and objectives in research and

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

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

Commented [MDR29]: These two sentences are new and are recommended by Office of General Counsel. We recommend that the Faculty Affairs Committee review this change.

Commented [MM30]: This language was discussed and approved by the entire Faculty Senate at a meeting in 2013, but it was not ever written into the UH. General Counsel is available to answer questions relating to this, if needed.

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

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

1254 other creative endeavors, teaching, extension, and directed and non-directed service
1255 for the upcoming evaluation period and to discuss their relative importance within
1256 the context of the unit's goals. Each unclassified professional staff person will meet
1257 annually with the unit head to jointly establish goals and objectives related to the
1258 responsibilities set forth in their his/her job description for the year. For all faculty
1259 and unclassified professionals-employees, these goals and objectives should reflect
1260 the relative percentages of time and effort the person plans to allocate to the
1261 appropriate areas in the upcoming period. It is expected that the previous year's
1262 statement will be considered during the annual evaluation and goal setting process.
1263 For faculty, the relative emphasis placed on research and other creative endeavors,
1264 teaching, extension, and directed and non-directed service may vary over the course
1265 of the person's career. For unclassified professionals-staff, major changes in duties
1266 and responsibilities (either in response to the changing needs of the unit or in
1267 consideration of employee abilities) should be discussed and mutually agreed upon
1268 and ultimately reflected in an updated position description.

1270 **C45.2** Each unclassified employee faculty and/or unclassified professional faculty
1271 and/or unclassified professional will provide an annual written summary of
1272 accomplishments and activities in accordance with the guidelines provided by the
1273 unit's statement of criteria, standards, and procedures.

1275 **C45.3** Each unclassified employee faculty and unclassified professional faculty and/or
1276 unclassified professional will review, and must have the opportunity to discuss, her
1277 or his written evaluation with the department head/chair or supervisor individual who
1278 prepared the evaluation†. Before the unit head/chair submits it to the next
1279 administrative level, each faculty or faculty or unclassified professional professional
1280 person employee must sign a statement acknowledging the opportunity to review
1281 and to discuss the evaluation and his/her relative position in the planned assignment
1282 of merit salary increases within the unit. Because the amount of funds available for
1283 merit increases is generally not known at this time, specific percentage increases will
1284 not normally be discussed. Within seven working days after the review and
1285 discussion, faculty and faculty and/or unclassified professionals professionals
1286 employees have the opportunity to submit written statements of unresolved
1287 differences regarding their evaluations by the unit head/chair to the unit head/chair,
1288 and to the next administrative level. The statement of unresolved differences should
1289 be attached to and maintained with the evaluation.

1291 Responsibilities of Unit/Department Heads/Chairs Evaluators

1293 **C46.1** The unit head/chair will prepare by January 31, a written evaluation for each
1294 faculty and professional staff person, whether full or part-time, regularly or
1295 term appointed faculty or unclassified professional person. Quantitative ratings may
1296 be used to summarize evaluative judgments; however, the basis for these judgments
1297 must be explained by a narrative account. The evaluation shall provide succinct
1298 assessments of effectiveness in performing each responsibility, and these statements
1299 must include summaries of the achievements and evidence that support these
1300 assessments. Those appointed to regular part-time positions must be evaluated;
1301 however, evaluations are not required for an individual on a term appointment, as
1302 defined in C11, even if that employee will be re-hired for another year.

1304 **C46.2** The unit head/chair will recommend a salary adjustment for each person
1305 evaluated. The recommended percentage increases based on the annual evaluation
1306 for persons with higher levels of accomplishment shall exceed those for persons with

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

Commented [JH34]: Not sure what to put here, but this seems important. Can job duties be changed with impunity. Must agreement between both parties be present, and should be communicated here?

Verbiage added to address: 3.12.15

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

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

1307 lower levels of accomplishment. If merit salary categories are utilized, then the
1308 percentage recommended for persons in the first category will be higher than those
1309 for the second category, which in turn shall exceed those for level of accomplishment
1310 in the third category, etc. As a guide, average percentage increases in the highest
1311 category are expected to be about twice those in the lowest category; this ratio is
1312 expected to fluctuate both with the degree to which members of the unit differ in
1313 effectiveness and with the degree to which funds are available. These
1314 recommendations are made before the legislature has appropriated funds to support
1315 salary increases. Therefore, percentage increases should be projected and identified
1316 for each individual or each merit salary category, if used, based upon the governor's
1317 budget recommendations. Recommendations of dollar and percentage increases
1318 should not be communicated to individuals until the appropriation for salary
1319 increases is known.

1320
1321 **C46.3** The unit head/chair will ensure that each ~~faculty or~~ faculty or unclassified
1322 professional ~~professional employee~~ has had the opportunity to review and discuss his
1323 or her written evaluation. Within seven working days after the review and discussion,
1324 ~~faculty or~~ unclassified employees ~~professionals~~ have the opportunity to submit
1325 written statements of unresolved differences regarding their evaluations to the
1326 unit/department head/chair, ~~which will only then be forwarded to the next~~
1327 ~~administrative level.~~

1328
1329 **C46.4** The unit head/chair who prepared the evaluations must submit the following
1330 items to the appropriate dean (or, for support units, the appropriate administrator):
1331 (See schedule as published on the provost's web site at [http://www.k-](http://www.k-state.edu/provost/resources/dhmanual/master.html)
1332 [state.edu/provost/resources/dhmanual/master.html](http://www.k-state.edu/provost/resources/dhmanual/master.html)~~http://www.k-~~
1333 ~~state.edu/academicpersonnel/depthead/manual/master.html~~).

- 1334 a. A copy of the evaluation system used to prepare the evaluations.
- 1335 b. A written evaluation for each regularly appointed faculty or unclassified
1336 ~~unclassified~~ professional staff person employed for at least three months
1337 during the calendar year.
- 1338 c. A recommended merit salary adjustment for each faculty member or
1339 unclassified ~~unclassified~~ professional staff person that should be based
1340 directly on the person's evaluation.
- 1341 d. Documentation (e.g., a statement signed by the individual evaluated)
1342 establishing that there was an opportunity to examine the written evaluation
1343 and to discuss with the evaluator the individual's resulting relative standing
1344 for the purpose of merit salary increase in the unit.
- 1345 e. Any written statements submitted by faculty or ~~unclassified~~ unclassified
1346 ~~professionals~~ staff of unresolved differences regarding their evaluations.
- 1347 f. Any recommendations for salary adjustments on bases outside of the annual
1348 evaluation, together with documentation which supports these
1349 recommendations.

1350 **Responsibilities of Deans and Comparable Administrators**

1351
1352
1353 **C47.1** ~~Responsibilities of deans and comparable administrators.~~The
1354 dean/comparable administrator will review evaluation materials and
1355 recommendations to ensure:
1356 a. merit evaluations are consistent with the criteria and procedures approved for
1357 the unit,

1358 ~~b. there are no inequities in the recommendations based upon race, color, ethnic~~
1359 ~~or national origin, sex, sexual orientation, gender identity, religion, age,~~
1360 ~~ancestry, disability, military status, or veteran status;~~
1361 ~~e-b.~~ merit salary recommendations are consistent with merit evaluations,
1362 and
1363 ~~c.~~ recommendations for salary adjustments on bases outside of the annual
1364 evaluations are adequately and rationally documented.

1366 **C47.2** A dean/[comparable administrator](#) who does not agree with recommendations
1367 for merit salary increases made by a unit head/chair must attempt to reach
1368 consensus through consultation. If this fails, the dean's/[comparable administrator's](#)
1369 recommendation will be used. If any change has been made, the dean/[comparable](#)
1370 [administrator](#) must notify, in writing, the individual of the change and its rationale.
1371 Within seven working days after notification, such individuals have the opportunity to
1372 submit written statements of unresolved differences regarding their evaluations to
1373 the dean/[comparable administrator](#) and to the provost [or appropriate vice president](#).
1374 All statements of unresolved differences will be included in the documentation to be
1375 forwarded to the next administrative level. All recommendations are forwarded to the
1376 provost/[appropriate vice president](#).

1378 **C47.3** The dean/[comparable administrator](#) should provide guidelines for making
1379 salary adjustments on bases outside of the annual evaluation and for justifying these
1380 requests through appropriate documentation. Approved requests are forwarded to
1381 the provost/[appropriate vice president](#).

1383 **C47.4** The dean/[comparable administrator](#) must forward to the provost/[vice](#)
1384 [president](#) all salary recommendations and supporting documentation (written
1385 evaluation; written statements of unresolved differences; recommended actions;
1386 justifications for salary adjustments on bases outside the annual evaluation process).
1387 (See schedule as published by the provost each October).

Responsibilities of the President, Provost, and Vice Presidents

1389 **C48.1** ~~Responsibilities of the provost.~~ The [president](#)/provost/[vice president](#) will
1390 review evaluation materials and recommendations [for those individuals reporting to](#)
1391 [them](#) to ensure:
1392 a. the evaluation process was conducted in a manner consistent with the criteria
1393 and procedures approved by the unit,
1394 ~~b. there are no inequities in the recommendations based upon race, color, ethnic~~
1395 ~~or national origin, sex, sexual orientation, gender identity, religion, age,~~
1396 ~~ancestry, disability, military status, or veteran status;~~
1397 ~~e-b.~~ merit salary recommendations are consistent with merit evaluations,
1398 and
1399 ~~d-c.~~ recommendations for salary adjustments on bases outside of the
1400 annual evaluations are adequately documented.

1403 **C48.2** If the [president](#)/provost/[vice president](#) does not agree with recommendations
1404 for salary increases made by subordinate administrators, an attempt must be made
1405 to reach consensus through consultation. If this fails, the [president's](#)/provost's/[vice](#)
1406 [president's](#) recommendation will be used. The individual affected by the
1407 disagreement must be notified by the [president](#)/provost/[vice president](#), in writing, of
1408 the change and its rationale.

Commented [MM37]: There is no way for the administrator to appropriately do this except for looking for cases that specifically mention protected categories in their comments, which no one should.

1410 **C48.3** The dean or appropriate vice president will issue to each continuing faculty
1411 and/or ~~unclassified-unclassified~~ professional ~~staff~~ individual a contract which includes
1412 the individual's salary for the next fiscal year.
1413

1414 **Professorial Performance Award**

1415 **C49.1** Significance of the Award. The Professorial Performance Award rewards strong
1416 performance at the highest rank with a base salary increase in addition to that
1417 provided for by the annual evaluation process. The Performance Award review, ~~it is~~
1418 ~~important to note,~~ is not a form of promotion review. ~~The Performance Award~~ does
1419 not create a "senior" professoriate. Furthermore, the Professorial Performance Award
1420 is ~~neither~~ a right accorded to every faculty member at the rank of Professor. ~~It~~ Nor
1421 ~~is it~~ granted simply as a result of a candidate's routinely meeting assigned duties
1422 with a record free of notable deficiencies.

1423 **C49.2** Development and Revisions of the Professorial Performance Award Process.
1424 Departments develop their own mechanisms for review as ~~they have~~ for annual merit
1425 evaluation. As is the case in merit review, ~~it may be that~~ responsibility for the
1426 evaluation of materials involves personnel of any rank or several ranks. Each
1427 department will also specify criteria according to which candidates qualify for the
1428 award according to its own disciplinary standards of excellence. Nonetheless, all such
1429 criteria for the award will adhere to the following guidelines: 1. The candidate must
1430 be a full-time professor (either tenured or non-tenure-track) and have been in rank
1431 at Kansas State University at least six years since the last promotion or Professorial
1432 Performance Award; 2. The candidate must show evidence of sustained productivity
1433 in at least the last six years before the performance review; and 3. The candidate's
1434 productivity and performance must be of a quality comparable to that which would
1435 merit promotion to professor according to current approved departmental standards.

1436 **C49.3** The Professorial Performance Award document must be approved by a
1437 majority vote of the faculty in the department, by the department's administrative
1438 head, by the dean and by the provost. Provision must be made for a review of the
1439 document at least every five years as a part of the review of the procedures for
1440 annual merit evaluation or whenever standards for promotion to full professor
1441 change.

1442 **C49.4** Recommendations for the Professorial Performance Award will follow the
1443 timeline associated with the annual evaluation review outlined in the University
1444 Handbook.

1445 **C49.5** Responsibilities of Professorial Performance Award Candidates. Eligible
1446 candidates for review compile and submit a file that documents her or his
1447 professional accomplishments for at least the previous six years in accordance with
1448 the criteria, standards, and guidelines established by the department. The
1449 department head/chair, in conjunction with whatever mechanism departmental
1450 procedures specify for the purposes of determining eligibility for the Professorial
1451 Performance Award, will prepare a written evaluation of the candidate's materials in
1452 terms of the criteria, standards, and guidelines established, along with a
1453 recommendation for or against the award.

1454 **C49.6** Each candidate for the award will have the opportunity to discuss the written
1455 evaluation and recommendation with the department head, and each candidate will
1456 sign a statement acknowledging the opportunity to review the evaluation. Within

1457 seven working days after the review and discussion, each candidate has the
1458 opportunity to submit written statements of unresolved differences regarding his or
1459 her evaluation to the department head/chair and to the dean. A copy of the
1460 department head's/chair's written recommendation will be forwarded to the
1461 candidate.

1462 **C49.7** The department head must submit the following items to the appropriate
1463 dean:

- 1464 a. A copy of the evaluation document used to determine qualification for the
1465 award,
- 1466 b. Documentation establishing that there was an opportunity for the candidate to
1467 examine the written evaluation and recommendation,
- 1468 c. Any written statements of unresolved differences concerning the evaluation,
- 1469 d. The candidate's supporting materials that served as the basis of adjudicating
1470 eligibility for the award.

1471 **C49.8** Responsibilities of the Deans. The dean will review all evaluation materials
1472 and recommendations to ensure that the evaluations are consistent with the criteria
1473 and procedures established by the department for the Professorial Performance
1474 Award.

1475 **C49.9** A dean who does not agree with recommendations for the Professorial
1476 Performance Award made by a department head/chair must attempt to reach
1477 consensus through consultation. If this fails, the dean's recommendation will be
1478 used. If any change has been made to the department head's recommendations, the
1479 dean must notify the candidate, in writing, of the change and its rationale. Within
1480 seven working days after notification, such candidates have the opportunity to
1481 submit written statements of unresolved differences regarding their evaluations to
1482 the dean and to the provost. All statements of unresolved differences will be included
1483 in the documentation to be forwarded to the next administrative level. All
1484 recommendations are forwarded to the provost.

1485 **C49.10** Responsibilities of the Provost. The provost will review all evaluation
1486 materials and recommendations to ensure that ~~(a.)~~ the evaluation process was
1487 conducted in a manner consistent with the criteria and procedures approved by the
1488 unit, ~~and (b.) there are no inequities in the recommendations based upon race,~~
1489 ~~color, ethnic or national origin, sex, sexual orientation, gender identity, religion, age,~~
1490 ~~ancestry, disability, military status, or veteran status.~~

1491 **C49.11** If the provost does not agree with recommendations for Professorial
1492 Performance Awards made by subordinate administrators, an attempt must be made
1493 to reach consensus through consultation. If this fails, the provost's decision will
1494 prevail. The candidate affected by the disagreement must be notified by the provost,
1495 in writing, of the change and its rationale.

1496 **C49.12** Basis and source of the award amount. The Professorial Performance Award
1497 will be 8% of the average salary of all full-time faculty (instructor through professor
1498 excluding administrators at those ranks). However, funding for the award cannot
1499 come out of the legislatively-approved merit increment.

1500 **C49.13** Cost of Awards. In the event that financial conditions in a given year
1501 preclude awarding the full amount as designated in C49.12, the provost shall in

1502 concert with the vice president for administration and finance adopt a plan to phase
1503 in the full award for all that year's recommended and approved candidates.

1504 **C49.14** Upon official notification from the Office of the Provost, the dean will
1505 consolidate the Professorial Performance Award with salary increases resulting from
1506 annual evaluation and issue the candidate a contract that includes the candidate's
1507 salary for the next fiscal year. The Professorial Performance Award will become part
1508 of the professor's base salary.

1510 **Reappointment: Faculty on Probationary Appointments**

1511
1512 **C50.1** Definition. Faculty members on probationary appointments are evaluated
1513 annually to determine whether or not they will be reappointed for another year.
1514 Faculty members must be explicitly informed by the dean in writing of a decision not
1515 to renew their appointments in accordance with The Standards of Notice of Non-
1516 Reappointment. (See C162.3 and Appendix A.) These annual evaluations also serve
1517 as an opportunity to provide feedback to a faculty member on probationary
1518 appointment about his or her performance in comparison to the department's criteria
1519 and standards for tenure.

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

1520
1521 **C50.2** Reappointments that confer tenure are discussed in C70-C116.

1522
1523 **C51** Departments' charge to establish criteria and standards. See C30-38: General
1524 Issues of Faculty Evaluation. Copies of these criteria and standards are available to
1525 faculty members in their departmental or unit offices.

1526
1527 **C52** Candidate's responsibilities. The candidate compiles and submits documentation
1528 of his or her professional accomplishments in accordance with the criteria, standards,
1529 and guidelines established by the department.

1530
1531 **C53.1** Departmental procedures. It is the responsibility of the department
1532 head/chair/head to make the candidate's reappointment file available to all tenured
1533 faculty members in the department and other eligible faculty as determined by
1534 departmental policy. A cumulative record of written recommendations and
1535 accompanying explanations forwarded to the candidate from previous reappointment
1536 meetings, and any written comments from relevant individuals outside the
1537 department will also be made available to the eligible faculty (See C53.2). As part of
1538 this process, the department head/chair/head and the eligible faculty will meet at
1539 least fourteen calendar days after the review documents are made available, to
1540 discuss the candidate's eligibility for reappointment and progress toward tenure.
1541 Subsequent to this meeting there will be a ballot of the eligible faculty on
1542 reappointment of the candidate. Any member of the eligible faculty may, prior to the
1543 submission of any recommendation to the department head/chair/head, request the
1544 candidate meet with the eligible faculty to discuss, for purposes of clarification, the
1545 record of accomplishment submitted by the candidate.

1546
1547 **C53.2** For individuals with appointments in more than one unit or department,
1548 comments may be solicited from other eligible faculty members in the college or
1549 university relevant to the assessment of the candidate's performance. In the case of
1550 K-State Research and Extension faculty members or faculty members whose primary
1551 responsibilities are in directed service (e.g., librarians and clinicians), the comments
1552 of various clientele served may be solicited as part of the evaluation for
1553 reappointment.

1554
1555 **C53.3** The department ~~head/chair/head~~ will forward a ~~written recommendation letter~~
1556 ~~which includes his/her recommendation and the rationale for the recommendation~~
1557 ~~and the faculty vote and accompanying explanations~~ to the dean, along with the
1558 candidate's complete file, the majority recommendation and unedited written
1559 comments of each of the department's tenured faculty members. The department
1560 ~~head/chair/head~~ will also meet with the candidate to discuss the separate issue of
1561 the candidate's progress toward tenure. The department ~~head's/chair/head's~~ ~~written~~
1562 ~~recommendation letter alone and accompanying explanations alone~~ will be made
1563 available to the candidate and will become part of the candidate's reappointment file.
1564 (See [C35](#) regarding confidentiality of peer evaluations.)
1565

1566 **C54** College procedures. The dean, along with the recommendation of the
1567 department head/~~chair~~ and, on behalf of the college, forwards ~~the letter a written~~
1568 ~~recommendation and accompanying explanation~~ to the provost, and the majority
1569 recommendation and any written comments (unedited) of the faculty members in
1570 the department. The candidate's complete file will be available to the provost upon
1571 his/her request.
1572

Commented [MDR39]: The changes reflect current practice.

1573 **C55** University procedures. Final authority in resolving conflicting opinions regarding
1574 reappointment is delegated to the provost.
1575

1576 **C56** Notification of candidates. Candidates are informed of the college's
1577 recommendation prior to the time that the file and recommendations are forwarded
1578 to the provost.
1579

1580 **Reappointment: Regular ~~Instructor~~ Non-Tenure Track Appointments**

1581

1582 **C60** Definition. Faculty members on regular ~~non-tenure track instructor~~
1583 appointments ([see C10](#)) are evaluated annually to determine whether or not they will
1584 be reappointed for another year. These faculty members must be explicitly informed
1585 in writing of a decision not to renew their appointments in accordance with The
1586 Standards of Notice of Non-Reappointment. (See [Appendix AC162.3](#).)
1587

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1588 **C61** Departments' charge to establish criteria and standards. See [C30-38](#): General
1589 Issues of Faculty Evaluation. Copies of these criteria and standards are available to
1590 faculty members in their departmental or unit offices. It must be clear that an
1591 effective instructor on a regular appointment may not be denied reappointment in
1592 order to avoid granting benefits.
1593

1594 **C62** Candidate's responsibilities. The candidate compiles and submits documentation
1595 of his or her professional accomplishments in accordance with the criteria, standards,
1596 and guidelines established by the department.
1597

1598 **C63.1** Departmental procedures. ~~The department head/chair is responsible for~~
1599 ~~making it is the responsibility of the department head to make~~ the candidate's file
1600 available to the department faculty members who are eligible to make
1601 recommendations. The department head/~~chair~~ is advised by the eligible faculty
1602 members of the department regarding the qualifications of the candidate for
1603 reappointment. Any member of the eligible faculty may, prior to the submission of
1604 any recommendations to the department head/~~chair~~, request that a candidate meet
1605 with the eligible faculty to discuss, for purposes of clarification, the record of
1606 accomplishment submitted by that candidate.

1607
1608 **C63.2** Comments may be solicited from other faculty members and department
1609 heads/[chairs](#) in the college or university. In the case of extension faculty members or
1610 faculty members whose primary responsibilities are Directed Service (e.g., librarians
1611 and clinicians), the comments of various clientele served may be solicited as part of
1612 the evaluation for reappointment.
1613
1614 **C63.3** The department head/[chair](#) forwards a written recommendation and
1615 accompanying explanation to the dean, along with the candidate's complete file, and
1616 the majority recommendation and written comments (unedited) of the departmental
1617 faculty members.
1618
1619 **C64** College procedures. The dean, on behalf of the college, forwards a written
1620 recommendation and accompanying explanation to the provost, along with the
1621 candidate's complete file, the recommendations of the department head/[chair](#), and
1622 the majority recommendation and any written comments (unedited) of the faculty
1623 members in the department.
1624
1625 **C65** University procedures. Final authority in resolving conflicting opinions regarding
1626 reappointment is delegated to the provost.
1627
1628 **C66** Notification of candidates. Candidates are informed of the college's
1629 recommendation prior to the time that the file and recommendations are forwarded
1630 to the provost.
1631
1632 **Tenure**
1633
1634 **C70** Definition. Tenure is a continuous appointment that can be terminated only in
1635 unusual circumstances and then only after due process has been accorded the
1636 individual in question. See Appendix C for a discussion of the AAUP-AAC 1940
1637 Statement of Academic Freedom and Tenure.
1638
1639 **Regents' Tenure Policy**
1640
1641 **C71** The Board of Regents adopted on April 18, 1947, the 1940 AAUP principles
1642 governing tenure of faculty members. (At Kansas State University, the term teacher
1643 as used in the following text is interpreted to refer to any member of the faculty.)
1644
1645 **C72** Section A: After the expiration of a probationary period, teachers or
1646 investigators should have permanent or continuous tenure, and their services should
1647 be terminated only for adequate cause, except in the cases of retirement for age,
1648 program or unit discontinuance, or under extraordinary circumstances because of
1649 financial exigencies. (Kansas does not have a mandatory retirement age for state
1650 employees. State law prescribes that all appointments not under the State Civil
1651 Service shall expire with the end of the fiscal year on June 30. However, unless
1652 previous notice has been given, all [regular](#) appointments of full-time faculty
1653 members are automatically renewed.)
1654
1655 **C73** Section B: In the interpretation of the principles contained in Section A of this
1656 resolution, the following is approved by the Regents:
1657 The precise terms and conditions of every appointment should be stated in writing
1658 and be in the possession of both institution and teacher before the appointment is
1659 consummated.

1660 Beginning with appointment to the rank of full-time instructor or a higher rank, the
1661 probationary period should not exceed seven years, including within this period full-
1662 time service in all institutions of higher education; but subject to the provision that
1663 when, after a term of probationary service of more than three years in one or more
1664 institutions, a person is to be appointed as a faculty member at Kansas State
1665 University, it may be agreed in writing that his/her new appointment is for a
1666 probationary period of not more than four years, even though thereby the person's
1667 total probationary period in the academic profession is extended beyond the normal
1668 maximum of seven years; except, when the interest of both parties may best be
1669 served by mutual agreement at the time of the initial employment, Kansas State
1670 University may agree to allow for more than four years of probationary service
1671 provided the probationary period at Kansas State University does not exceed seven
1672 years. Notices should be given at least one year prior to the expiration of the
1673 probationary period, if the teacher is not to be continued in service after the
1674 expiration of that period. (See AAUP's Standards of Notice of Non-
1675 Reappointment, Appendix A.)

1677 **C74** During the probationary period a teacher has the academic freedom that all
1678 other members of the faculty have.

1680 **C75** Termination for cause of a continuous appointment or dismissal for cause
1681 previous to the expiration of a term appointment shall, upon request of the faculty
1682 member, be considered by the Grievance Chair and/or Panel, which will make
1683 recommendations to the administration. In all cases where the facts are in dispute,
1684 the accused teacher should be informed before the hearing in writing of the charges
1685 against him/her and should have the opportunity to be heard in his/her own defense
1686 by all bodies that pass judgment upon his/her case. He/she should be permitted to
1687 have an advisor of his/her own choosing who may act as counsel. There should be a
1688 full stenographic record of the hearing available to the parties concerned. In the
1689 hearing of charges of incompetence the testimony should include that of teachers
1690 and other scholars, either from his/her own or from other institutions. Teachers on
1691 continuous appointment who are dismissed for reasons not involving moral turpitude
1692 should receive their salaries for at least a year from the date of notification of
1693 dismissal whether or not ~~they are continued~~there is continuation in their duties at
1694 the institution. (At Kansas State University, graduate assistants are not considered
1695 faculty and, as such, formal grievance procedures for faculty do not apply to disputes
1696 regarding graduate assistants' performance. See C39.1 and the Foreword to the
1697 University Handbook.)

1699 **C76** Termination of a continuous appointment because of financial exigency should
1700 be demonstrably bona fide.

1702 **C77** Within this general policy Kansas State University may make such operating
1703 regulations as it deems necessary, subject to the approval of the Board of Regents.

1705 **C78** Amendments to the above policy have been made as follows: Tenure may be
1706 acquired only by the members of the Kansas State University faculty who are on
1707 tenure track appointments, with the rank of assistant professor or higher. (This
1708 amendment applies only to those appointed on or after July 1, 1960.) Lists of individuals approved by the chief executive officer for tenure at a Regents'
1709 institution shall be submitted by the chief executive officer to the Board of Regents
1710 for its information at the April meeting. Decisions of the president shall be final and
1711 are not subject to further administrative review by any officer or committee of the

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

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

1713 institution or by the Board of Regents. Any tenure recommendation approved by the
1714 Board of Regents shall be limited to tenure for the recommended individual at the
1715 institution consistent with the tenure policies of that institution.

1716 **Kansas State University policy additions to Regents' Tenure Policy:**

1717 The following additional details concerning tenure ~~were have been~~ adopted by
1718 Kansas State University ~~from the AAUP Advisory Letter No.13 (AAUP Bulletin, Spring~~
1719 ~~1964).~~

1720
1721 **C80.1** The duration of the probationary period relative to tenure varies with rank
1722 and experience. In its approach to the probationary period and to the award of
1723 continuous tenure, the university seeks to follow the spirit of the AAUP Advisory
1724 Letter No.13 (AAUP Bulletin, Spring 1964) as ~~it~~ explained ~~in the~~ understanding of
1725 the probationary period:

1726
1727 **C80.2** "The beginning faculty member is serving a kind of internship . . . and . . .
1728 he/she may not always be the best judge of his/her own effectiveness. An occasional
1729 word of caution, advice, or encouragement from experienced colleagues can
1730 therefore be very salutary. If the time comes that the department, division, and
1731 administration conclude that his/her connection with the institution should be
1732 severed, we would say that responsible officials of the institution should feel
1733 completely free to explain to him/her the basis of their decision. We could not agree,
1734 however, that if reasons are given for the non-reappointment the institution assumes
1735 a burden of demonstrating the validity of its reasons. To be sure, the faculty member
1736 may question whatever reasons are given him/her. But unlike the tenured teacher,
1737 he/she does not as probationer have what can be considered a claim to his/her
1738 position, and it would thus seem unreasonable to compel the institution to account
1739 for this exercise of its prerogative, much less carry the burden of justifying its
1740 decision.

1741
1742 **C80.3** "These remarks are made, I am sure you understand, on the assumption that
1743 the faculty member has had an appropriate evaluation by his/her colleagues and that
1744 he/she is not being given notice for reasons which violate his/her academic
1745 freedom. . . . I think I must say further that our purpose is to permit the institution,
1746 within the limits of academic freedom, the utmost latitude in determining who will be
1747 retained for tenure appointments. Because the granting of tenure is tantamount to a
1748 lifetime commitment, we feel that the institution should be left without a reasonable
1749 doubt as to the faculty member's qualifications for tenure before it reaches a
1750 favorable decision" (AAUP Advisory Letter No.13, AAUP Bulletin, Spring 1964).

1751 Other Considerations

1752 ~~C81 Ranks for acquiring tenure. Tenure may be granted to those on full-time~~
1753 ~~probationary appointments at the rank of associate professor or above. Tenure may~~
1754 ~~be granted simultaneously with promotion to the rank of associate professor.~~
1755 ~~Instructors may not be accorded tenure. Assistant professors may not be accorded~~
1756 ~~tenure except in special circumstances approved by the provost. Years of~~
1757 ~~appointment as a probationary instructor (see C12) may be credited as part of a~~
1758 ~~probationary period for gaining tenure if stipulated in the individual's contract.~~
1759 ~~Service in a term appointment at the rank of assistant professor or above may count~~
1760 ~~as part of a probationary period for gaining tenure.~~

1761
1762
1763 **C82.1** The Probationary period. Prior to being considered for tenure at Kansas State
1764 University, a faculty member is annually appointed during an extended probationary
1765

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

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

1766 period to assess the candidate's ability to contribute to the expertise expected of the
1767 University's faculty as defined by his/her unit's criteria, standards, and guidelines
1768 (See C31.1 - C31.3).
1769

1770 **C82.2** Assistant professor. Tenure is not granted below the rank of associate
1771 professor (effective July, 1994) except in special circumstances approved by the
1772 provost. For persons appointed at the rank of assistant professor, the maximum
1773 probationary period for gaining tenure and promotion to associate professor consists
1774 of six (6) regular annual appointments at Kansas State University at a probationary
1775 rank. In these cases, decisions of tenure must be made before or during the sixth
1776 year of probationary service. Candidates not approved for tenure during the sixth
1777 year of service will be notified by the appropriate dean that the seventh year of
1778 service will constitute the terminal year of appointment.
1779

1780 **C82.3** Associate professor and professor. For persons appointed at the rank of
1781 associate professor or professor, the maximum probationary period for gaining
1782 tenure consists of five (5) regular annual appointments at Kansas State University at
1783 probationary ranks. Tenure decisions must be made before or during the fifth year of
1784 probationary service. Candidates not approved for tenure during the fifth year of
1785 service will be notified by the appropriate dean that the sixth year of service will
1786 constitute the terminal year of appointment.
1787

1788 **C82.4** Faculty members on probationary appointments who have met the criteria
1789 and standards for tenure prior to the above maximum times may be granted early
1790 tenure. Because candidates may be considered for tenure at any time during their
1791 probationary period, no time credit shall be granted for service prior to employment
1792 at Kansas State University.
1793

1794 **C83.1** Faculty members on probationary, tenure-track positions may request a one
1795 year delay of the tenure clock. Such a delay shall be granted to a faculty member
1796 who is responsible for the care of a child five years of age or younger, or who adopts
1797 a child of any age. Requests for a delay in the tenure clock for the above noted
1798 reasons shall be made to the department or unit head who will forward the request
1799 to the dean. The dean will forward the request to the provost who will grant the one
1800 year delay.
1801

1802 **C83.2** Faculty members on probationary, tenure-track positions may request a one-
1803 year delay of the tenure clock (1) for a serious health condition: that is an illness,
1804 injury, impairment, or physical or mental condition that involves inpatient care in a
1805 hospital, hospice, or residential treatment facility, or continuing treatment by a
1806 health care provider or (2) for the care of a household member, a parent, or a sibling
1807 with a serious health condition: that is an illness, injury, impairment, or physical or
1808 mental condition that involves inpatient care in a hospital, hospice, or residential
1809 treatment facility, or continuing treatment by a health care provider. Common
1810 illness, minor injuries, or minor surgeries that are not life threatening are excluded.
1811 Requests for a delay in the tenure clock for the above noted reasons shall be made
1812 to the department or unit head who will forward the request along with her/his
1813 recommendation to the dean. The dean will forward the request along with his/her
1814 recommendation and the recommendation of the department or unit head to the
1815 provost, with whom the final decision rests.
1816

1817 **C83.3** Faculty members on probationary, tenure-track positions may request a one-
1818 year delay of the tenure clock when for programmatic reasons there is a substantial

1819 change in the probationary faculty member's assigned area(s) of responsibilities.
1820 Requests for a delay in the tenure clock shall be made to the department/unit
1821 head/chair who will present the request to the tenured faculty in the department/unit
1822 for consideration. The head/chair will forward the request along with her/his
1823 recommendation and the vote of the tenured faculty plus unedited faculty comments
1824 to the dean. The dean will forward the request along with his/her recommendation,
1825 the recommendation of the department/unit head/chair, and the faculty vote with
1826 unedited comments to the provost, with whom the final decision rests.

1827
1828 **C83.4** If a delay in the tenure clock is granted prior to the mid-probationary review,
1829 the review will take place one year later than would have occurred without such a
1830 delay. An individual granted a delay of the tenure clock shall not be subject to
1831 additional scholarship, teaching, or service requirements above and beyond those
1832 normally required.

1833
1834 **C83.5** A request for delay of the tenure clock must be made within a reasonable
1835 amount of time from the date of the event which would show cause for a delay of the
1836 tenure clock.

1837
1838 **C83.6** Delay of the tenure clock during the probationary period is limited to two one-
1839 year delays.

1840
1841 **C84** Years credited to probationary period. For the purposes of counting regular
1842 annual appointments as part of the probationary period, a year is credited if the
1843 individual is on a full-time (ten-tenths) appointment for at least eight months of an
1844 academic year or is on an appointment of nine-tenths or more for the entire
1845 academic year, or receives no less than eight-ninths of his or her salary for the
1846 academic year. Individuals appointed at lesser levels do not count that year a part of
1847 the probationary period. The summer session is not counted for those on academic
1848 year (nine-month) appointments.

1849 **General Guidelines for Tenure**

1850
1851
1852 **C90** Purpose of tenure. The university uses a selective process in awarding tenure to
1853 secure a faculty of the highest possible caliber. To be tenured, faculty members must
1854 be experts in their chosen fields, and ~~they~~ must have full academic freedom in
1855 pursuit of ideas or inquiries without fear of censure or retribution.

1856
1857 **C91** Evaluation and feedback. The university uses an extended probationary period
1858 to provide opportunity to assess a candidate's ability to contribute to the expertise
1859 and the versatility expected of the faculty at Kansas State University. Evaluation is
1860 conducted annually and feedback provided in a timely manner to each faculty
1861 member on a probationary appointment. See C50.1.

1862
1863 **C92.1** Mid-probationary review. A formal review of a probationary faculty member is
1864 conducted midway through the probationary period.
1865 Unless otherwise stated in the candidate's contract, the mid-probationary review
1866 shall take place during the third year of appointment. This review provides the
1867 faculty member with substantive feedback from faculty colleagues and
1868 administrators regarding his or her accomplishments relative to departmental tenure
1869 criteria. ~~Neither a positive nor negative mid-probationary review determines the~~
1870 ~~outcome of the tenure review process. does not ensure that tenure will be granted in~~
1871 ~~the future nor does a negative review mean that tenure will be denied.~~

1872
1873 **C92.2** Procedures for the mid-probationary review are similar to procedures for the
1874 tenure review and are established by the departmental faculty in consultation with
1875 the department ~~head/chair/head~~ and the dean. The department ~~head/chair/head~~ is
1876 responsible for making the candidate's mid-probationary review file available to the
1877 tenured faculty members in the department at least fourteen calendar days prior to a
1878 meeting to discuss the candidate's progress. A cumulative record of written
1879 recommendations and accompanying explanations forwarded to the candidate from
1880 previous reappointment meetings, and any comments from individuals outside the
1881 department relevant to the assessment of the candidate's performance will also be
1882 made available to the eligible tenured faculty. The department ~~head/chair~~ may
1883 discuss the review and assessment of the tenured faculty members in the
1884 department with the dean, and shall provide a letter of assessment to the candidate,
1885 including a summary of faculty comments and suggestions. (See C35 regarding
1886 confidentiality of peer evaluations). This letter of assessment and the faculty report
1887 will become a part of the candidate's reappointment and mid-probationary review
1888 file. The department ~~head/chair/head~~ will discuss the review and assessment with
1889 the candidate. After receiving the assessment, the candidate has the right to submit
1890 a written response for the file.

1891 **C92.3** Comments also may be solicited from students, and other relevant faculty
1892 members in the college or university, and from outside reviewers. In the case of K-
1893 State Research and Extension faculty members or faculty members whose primary
1894 responsibility is directed service (e.g., librarians and clinicians), the comments of
1895 various clientele served may be solicited as part of the evaluation for mid-
1896 probationary review.

1897 **C92.4** College procedures. The candidate's mid-probationary review file as well as
1898 other materials specified in C92.2, and a copy of the departmental criteria and
1899 standards will be forwarded to the college advisory committee. C153.1 is
1900 incorporated herein by reference as the evaluation procedure to be followed by the
1901 college advisory committee. The dean will provide a letter of assessment to the
1902 candidate that includes a summary of recommendations from the college advisory
1903 committee.

1904 **C93** Final tenure recommendations. The provost is responsible for making final
1905 tenure recommendations to the president.

1906 **Standards for Tenure**

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

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

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1923 C100.3 Tenure is ~~neither not~~ a right accorded to every faculty member ~~n~~. Nor is
1924 ~~tenure~~ granted simply as a result of a candidate's routinely meeting assigned duties
1925 with a record free of notable deficiencies.

1926
1927 C100.4 The decision to grant or not grant tenure must not be based on the number
1928 or percentage of faculty members who already have been granted tenure.

1929
1930 C102 Departments' charge to establish criteria and standards. See C30-38: General
1931 Issues of Faculty Evaluation. Copies of the criteria and standards for tenure are
1932 available to faculty ~~in their department documents~~ ([http://www.k-](http://www.k-state.edu/provost/deptdocs/)
1933 [state.edu/provost/deptdocs/](http://www.k-state.edu/provost/deptdocs/)). ~~members in their departmental or unit offices or can~~
1934 ~~be found at Academic Departmental Guidelines of the Office of Academic Personnel~~
1935 ~~(<http://www.k-state.edu/academicpersonnel/add/>)~~

1936 1937 **Procedures for Tenure Evaluation**

1938
1939 C110 Timing. Recommendations for tenure are considered annually. Faculty
1940 members in the final year of probation will be automatically reviewed for tenure
1941 unless the ~~faculty member~~ resigns. A faculty member may request an early tenure
1942 review. Ordinarily, this is done after consultation with the department
1943 ~~head/chair/head~~ and the tenured faculty members in the department.

1944
1945 C111 Candidate's responsibilities. The candidate compiles and submits a file that
1946 documents her or his professional accomplishments in accordance with the criteria,
1947 standards, and guidelines established by the department.

1948
1949 C112.1 Departmental procedures. The department ~~head/chair/head~~ is advised by
1950 the eligible tenured faculty members of the department regarding the qualifications
1951 of the candidate for tenure. The department ~~head/chair/head~~ is responsible for
1952 making the candidate's file and departmental tenure criteria documents available to
1953 eligible tenured faculty members in the department at least fourteen calendar days
1954 prior to the scheduled meeting date to discuss the candidate's petition. A cumulative
1955 record of recommendations from the reappointment and mid-probationary review
1956 meetings, and any outside reviews that have been solicited by the department
1957 ~~head/chair/head~~ will also be made available to the eligible tenured faculty. (See also
1958 Secs. C35, C36.1, C36.2, C37 and C38).

1959
1960 C112.2 When appropriate, comments are solicited from students and from other
1961 faculty members and department ~~heads/chairs/heads~~ in the college or university.
1962 Outside reviewers (see C36.1) recognized as leaders in the candidate's discipline or
1963 profession may be asked to advise. When outside reviewers are used, an equal
1964 number are usually selected by the candidate and the department ~~head/chair/head~~.

1965
1966 C112.3 Eligible tenured faculty members will individually review the candidate's file,
1967 considering the department's criteria, standards, and guidelines for tenure, and will
1968 then meet to discuss the candidate's petition. All recommendations and written
1969 comments of eligible departmental faculty are forwarded to the department
1970 ~~head/chair/head~~.

1971
1972 C112.4 Any member of the eligible faculty may, prior to the submission of any
1973 recommendations to the department ~~head/chair/head~~, request that the candidate
1974 meet with the eligible tenured faculty to discuss, for purposes of clarification, the
1975 record of accomplishment submitted by the candidate.

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

Commented [MDR44]: Changed to reflect current practice.

C113 Procedures for tenure evaluation

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

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

C113.3 The dean, after consulting with the department ~~head/chair/head~~ and the college advisory committee and after discussing his or her recommendations with the ~~head/chair/head~~ and the committee, will submit his or her written recommendation to the Deans Council accompanied by the recommendations and unedited written comments of the department ~~head/chair/head~~, the departmental faculty, and the college advisory committee, and the departmental tenure criteria documents, no sooner than seven calendar days following notification to the candidate (See C113.4). The dean's recommendation and the recommendation of the college advisory committee will be copied to the department ~~head/chair/head~~ and the candidate.

C113.4 Notification to candidates. Candidates are informed of the college's recommendations (See C113.3) prior to the time that the file and recommendations are forwarded to the Deans Council. Candidates may withdraw from further consideration for tenure by submitting to the dean a written request for withdrawal. This must be done within seven calendar days following notification of the college's recommendation. Withdrawal by a candidate who is in the final year of ~~the~~

2029 probationary period may be done only by formal resignation effective at the end of
2030 the next academic year.
2031

2032 **C114.1** University tenure evaluation procedures. The Deans Council meeting will be
2033 chaired by the senior dean (longest serving), and the provost will not be a party to
2034 the discussions. The dean of the candidate's college will abstain from voting when
2035 the council votes on the candidate, and will notify the candidate and the candidate's
2036 department ~~head/chair/head~~ of the council's vote. If the finding of the Deans Council
2037 differs from those of the department and/or the college dean, written justification
2038 must be provided as to how the candidate's credentials meet or fail to meet the
2039 departmental criteria, standards, and/or guidelines, to the candidate, dean of the
2040 candidate's college, and the department ~~head/chair/head~~.
2041

2042 **C114.2** If the finding of the Deans Council is to not grant tenure, the candidate may
2043 appeal this decision to the provost within a period of fourteen calendar days of
2044 receiving notification. If the provost concurs with the finding of the Deans Council to
2045 not grant tenure, the candidate ~~may then has the option to~~ file a grievance with the
2046 Grievance Chair ([see University Handbook, Appendix G](#)).
2047

2048 **C114.3** If the finding of the Deans Council is to grant tenure, the case is then
2049 reviewed by the provost. If the provost does not concur with the finding of the Deans
2050 Council, then the provost will offer to arrange a meeting with the candidate, the
2051 senior dean, and a tenured faculty moderator mutually acceptable to the provost and
2052 the candidate, within a period of fourteen calendar days of notification of provost's
2053 decision. If no agreement is reached, then the provost will provide the candidate, the
2054 department ~~head/chair/head~~, the dean of the candidate's college, and the ~~Deans~~
2055 ~~C~~council, written reasons for the decision. At that point, the candidate has the option
2056 to file a grievance with the Grievance Chair.
2057

2058 **C114.4** The provost will send his or her recommendation of the cases that are to be
2059 granted tenure to the president. Decisions to deny tenure are not forwarded to the
2060 president. When the provost's recommendation disagrees with that of the Deans
2061 Council, the provost will provide a written explanation of her or his judgment to the
2062 Dean's Council, the dean, the department ~~head/chair/head~~, and the candidate.
2063

2064 **C115** The president has final authority for granting tenure. Candidates are notified of
2065 the university's action when the provost's recommendation to grant tenure are
2066 forwarded to the president.
2067

2068 **C116.1** Interdisciplinary program faculty. Faculty members with appointments in
2069 interdisciplinary programs will be evaluated for tenure in their disciplinary
2070 departments in which the candidate holds majority appointment. The department
2071 ~~head/chair/head~~ also must solicit input from the interdisciplinary program director as
2072 well as the eligible tenured faculty members in the interdisciplinary program.
2073 Departmental, college and university procedures as outlined in C110 to C115 shall be
2074 followed. A copy of the department ~~head's/chair's/head's~~ recommendation shall be
2075 provided to the interdisciplinary program director.
2076

2077 **C116.2** In the rare case when ~~an appropriate disciplinary department cannot be~~
2078 ~~designated it is not possible to designate an appropriate disciplinary department~~ at
2079 the time of appointment, recommendations for tenure may come from the formally
2080 designated eligible tenured faculty members within the interdisciplinary program,
2081 provided that prior to the appointment the eligible tenured faculty of the

2082 interdisciplinary program agree to provide this recommendation, and that the
2083 appointment was approved by the dean(s) of the appropriate college(s) and provost.
2084 The terms of the faculty appointment must be presented in writing and agreed to by
2085 the appointee. Copies of the conditions for the appointment will be filed with the
2086 interdisciplinary program director, respective dean(s) and provost.

2087
2088 **Promotion in Rank**
2089

2090 **C120** Definition. Faculty members may expect to advance through the academic
2091 ranks on the basis of demonstrated individual merit in relation to their association
2092 with the university's mission and with their own disciplines. Each higher rank
2093 demands a higher level of accomplishment.
2094

2095 **C120.1** Promotion is based upon an individual's achievements related to the specific
2096 criteria, standards, and guidelines developed by departmental faculty members in
2097 consultation with the department head and the appropriate dean.
2098

2099 **C120.2** Promotion to assistant professor reflects an acceptable level of achievement
2100 and potential for excellence. Promotion to associate professor rests on substantial
2101 professional contributions that reflect excellence in teaching, research and other
2102 creative endeavor, directed service, or extension. Promotion to professor is based on
2103 attainment of excellence in the assigned responsibilities of the faculty member and
2104 recognition of excellence by all appropriate constituencies.
2105

2106 **General Guidelines for Promotion in Rank**
2107

2108 **C130** Terminal degree requirements. A doctorate or other appropriate terminal
2109 degree is a prerequisite for holding the rank of assistant professor, associate
2110 professor, or professor. The provost maintains a list of appropriate terminal degrees
2111 as recommended by the deans. There may be special cases in which
2112 accomplishments or experience other than the terminal degree will allow promotion
2113 to one of the professorial ranks. Such situations will be considered on an individual
2114 basis.
2115

2116 **C131** Time in rank. ~~Although while there is~~ no explicit time in rank ~~is~~ required for
2117 promotion, the median time for promotion at Kansas State University has been
2118 ~~approximately~~ six years. Promotion may be granted earlier when the faculty
2119 member's cumulative performance at rank clearly meets the standards for
2120 promotion.
2121

2122 **C132** Promotion-related salary increases. Promotion in academic rank is recognition
2123 by the university community of substantial achievement which deserves reward.
2124 Promotion related increases in salary will be awarded at the university level and are
2125 in addition to merit salary increase based on yearly evaluations. Salary increases for
2126 promotion to associate professor and full professor will be a minimum of ~~15% and~~
2127 ~~11%, respectively,~~ of the average salary of all university faculty members for the
2128 year preceding promotion. Funds for these increases are to be from the unclassified
2129 salary adjustment pool for faculty members and academic administrators. In years
2130 when no salary adjustment pool exists, the funds will come from the same segment
2131 of the base budget and will be repaid from the next readjustment pool. ~~(FSM 4-9-~~
2132 ~~91; POD 6-6-91)~~
2133

2134 **Standards for Promotion in Rank**

2135
2136 **C140** General principles. Successful candidates for promotion will demonstrate
2137 superior professional accomplishment and excellence in the performance of their
2138 assigned duties. The assessment of a faculty member's performance upon which a
2139 recommendation regarding promotion will be based must reflect the professional
2140 expectations conveyed during annual evaluations.
2141
2142 **C141** Departments' charge to establish criteria and standards. See C30-38: General
2143 issues of faculty evaluation. Copies of the standards for promotion are available to
2144 faculty members in their department [documents at or unit offices \(http://www.k-](http://www.k-state.edu/provost/deptdocs/)
2145 [state.edu/provost/deptdocs/](http://www.k-state.edu/provost/deptdocs/)).
2146
2147 **Procedures for ~~Promotion~~ Evaluation Related to Promotion in Rank**
2148
2149 **C150** Timing. Recommendations concerning promotion are considered annually.
2150 Department [heads/chairs/heads](#) are expected to notify faculty members regarding
2151 their progress toward or readiness for promotion review.
2152
2153 **C151** Candidate's responsibilities. A faculty member, after consultation with the
2154 department [head/chair/head](#) or appropriate departmental faculty, may request a
2155 review for promotion. The candidate compiles and submits a file that documents his
2156 or her professional accomplishments in accordance with the criteria, standards, and
2157 guidelines established by the department (see C30.44-4).
2158
2159 **C152.1** Departmental procedures. Faculty members of the department who hold a
2160 rank equal to or higher than the rank being sought by the candidate are eligible to
2161 advise the department [head/chair/head](#) regarding the qualifications of the candidate
2162 for promotion. Department [heads/chairs/heads](#) are responsible for making the
2163 candidate's promotion file and the departmental promotion criteria documents
2164 available to the eligible faculty members at least fourteen calendar days prior to the
2165 scheduled meeting date to discuss the candidate's petition. The promotion file shall
2166 in the main provide a compilation of the candidate's professional accomplishments
2167 during tenure in the current rank, and comments from other individuals relevant to
2168 the assessment of the candidate's performance (See C152.2).
2169
2170 **C152.2** When appropriate, comments are solicited from appropriate students and
2171 alumni, and from other faculty members and department [heads/chairs/heads](#) in the
2172 college or University. Outside reviewers (see C36.1) recognized as scholars or
2173 leaders in the candidate's discipline or profession may be asked to advise. When
2174 outside reviewers are used, an equal number are usually selected by the candidate
2175 and the department [head/chair/head](#).
2176
2177 **C152.3** Eligible faculty members individually review the candidate's file, considering
2178 the department's criteria, standards, and guidelines for promotion, and then meet to
2179 discuss the candidate's petition. All recommendations and written comments of
2180 eligible departmental faculty are forwarded to the department [head/chair/head](#).
2181
2182 **C152.4** Any member of the eligible faculty may, prior to the submission of any
2183 recommendations to the department [head/chair/head](#), request that a candidate meet
2184 with the eligible tenured faculty to discuss, for purposes of clarification, the record of
2185 accomplishment submitted by that candidate.
2186

2187 C152.5 The department ~~head/chair/head~~ will forward a written recommendation
2188 letter which includes ~~the rationale for the recommendation to the dean and an~~
2189 ~~explanation of her or his judgment to the dean and the vote of the eligible faculty.~~ All
2190 recommendations and unedited written comments of the department's eligible
2191 faculty members and the candidate's complete file are also forwarded to the dean. A
2192 copy of the department ~~head's/chair's/head's~~ written recommendation ~~letter alone~~ is
2193 forwarded to the candidate.

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

2195 C153.1 College ~~p~~rocedures. Each college will have an advisory committee to advise
2196 the dean on candidates proposed for promotion and/or tenure. The college faculty,
2197 dean, and provost must approve the composition, procedures for selection of college
2198 advisory committee members, and the procedures for the operation of the college
2199 advisory committee (See C153.2). The composition, procedures for selection of the
2200 college advisory committee, and the procedures for operation of the college advisory
2201 committee may be reviewed any year at the request of the faculty, dean or the
2202 provost, and must be reviewed at least once every five years.

2204 C153.2 A copy of the candidate's file and the departmental promotion criteria
2205 documents will be forwarded to the college advisory committee. The committee's
2206 specific charge is to assure that all applicable procedures have been followed and
2207 that the department/unit in arriving at a recommendation did so by fairly applying
2208 established criteria, standards, and guidelines that are specific for promotion to the
2209 appropriate rank (See C30.1-31.4, C32.1- C38, ~~and~~ C141). The committee, in
2210 advising the dean, will base its recommendation exclusively on a comparison of the
2211 candidate's credentials with the criteria, standards, and guidelines of the candidate's
2212 department. The committee will report its findings in writing to the Dean. The
2213 committee's report must specifically contain a statement as to whether or not all
2214 applicable procedures were followed. The report must also explain the rationale
2215 behind the committee's recommendation by providing a detailed evaluation of the
2216 candidate's credentials with regard to how the ~~candidate~~ meets or fails to meet the
2217 specific criteria, standards, and/or guidelines for promotion to the petitioned rank in
2218 the candidate's department/unit. A minority committee report is required when the
2219 committee's recommendation is not unanimous.

2221 C153.3 The dean, after consultation and discussion with the department
2222 ~~head/chair/head~~ and college advisory committee, will submit his or her
2223 recommendation to the Deans Council (subject to C153.4) accompanied by the
2224 recommendations and unedited written comments of the department
2225 ~~head/chair/head~~, the departmental faculty, and the college advisory committee, and
2226 the departmental promotion criteria documents, seven calendar days after
2227 notification to the candidate (See 153.4). The recommendation of the dean and the
2228 recommendation of the college advisory committee will be copied to the department
2229 ~~head/-chair~~ and the candidate.

2231 C153.4 Notification to candidates. Candidates are informed of the college's
2232 recommendations prior to the time the file and recommendations are forwarded to
2233 the Deans Council. Candidates may withdraw from further consideration for
2234 promotion by submitting to the dean a written request for withdrawal. This must be
2235 done within seven calendar days following notification of the college's
2236 recommendation, and in this case the candidate's petition for promotion is not
2237 forwarded to the Deans Council.

2239 **C154.1** University promotion evaluation procedures. The Deans Council meeting will
2240 be chaired by the senior dean (longest serving), and the provost will not be a party
2241 to the discussions. The dean of the candidate's college will abstain from voting when
2242 the Council votes on the candidate, and will notify the candidate and the candidate's
2243 department ~~head/chair/head~~ of the Council's vote. If the finding of the Deans Council
2244 differs from those of the department and/or college dean, written justification must
2245 be provided to the candidate, dean of the candidate's college, and the department
2246 ~~head/chair/head~~.
2247
2248 **C154.2** If the finding of the Deans Council is to not grant promotion, the candidate
2249 may appeal this decision to the provost within a period of fourteen calendar days of
2250 receiving written notification. If the provost concurs with the finding of the Deans
2251 Council to not grant promotion, the candidate then has the option to file a grievance
2252 with the Grievance Chair.
2253
2254 **C154.3** If the finding of the Deans Council is to grant promotion, the case is then
2255 reviewed by the provost. If the provost does not concur with the finding of the Deans
2256 Council, then the provost will offer to hold a meeting with the candidate, the senior
2257 dean (longest serving), and a tenured faculty moderator mutually acceptable to the
2258 provost and the candidate, within a period of fourteen calendar days of notification of
2259 provost's decision. If no agreement is reached, then the provost will provide the
2260 candidate, the department ~~head/chair/head~~, and the dean of the candidate's college,
2261 and the Deans Council, written reasons for the decision. At that point, the candidate
2262 has the option to file a grievance with the Grievance Chair.
2263
2264 **C154.4** The provost will send his or her recommendation of the cases that are to be
2265 granted promotion to the president. Decisions to deny promotion are not forwarded
2266 to the president. When the provost's recommendation disagrees with that of the
2267 Deans Council, the provost will provide a written explanation of her or his judgment
2268 to the Deans Council, the dean, the department ~~head/chair/head~~, and the candidate.
2269
2270 **C155** The president has the final authority for granting promotion. Candidates are to
2271 be notified when the provost's recommendation to grant promotions is ~~approved by~~
2272 ~~forwarded to~~ the president.
2273
2274 **C156.1** Interdisciplinary ~~program~~ faculty. A ~~tenured~~ faculty member with
2275 appointment in an interdisciplinary ~~unit/program~~ will be evaluated for promotion by
2276 the ~~disciplinary unit department~~ in which the candidate is tenured. ~~An untenured~~
2277 ~~faculty member with an appointment in an interdisciplinary unit will be evaluated for~~
2278 ~~tenure and promotion, or in by the unit department~~ in which the candidate holds a
2279 majority appointment ~~if not tenured~~. The department ~~head/chair/head~~ also must
2280 solicit input from the interdisciplinary program director as well as the eligible tenured
2281 faculty members in the interdisciplinary program. Departmental, college, and
2282 university procedures as outlined in C152, C153, and C154 shall be followed. A copy
2283 of the department ~~head's/chair's/head's~~ recommendation shall be provided to the
2284 interdisciplinary program director.
2285
2286 **C156.2** In the rare case when ~~an appropriate disciplinary department cannot be~~
2287 ~~designated# it is not possible to designate an appropriate disciplinary department~~ at
2288 the time of appointment, recommendations for promotion may come from the
2289 formally designated eligible tenured faculty members within the interdisciplinary
2290 program, provided that prior to the appointment the eligible tenured faculty of the
2291 interdisciplinary program agree to provide this recommendation, and that the

2292 appointment was approved by the dean(s) of the appropriate college(s) and provost.
2293 The terms of the faculty appointment must be presented in writing and agreed to by
2294 the appointee. Copies of the conditions for the appointment shall be filed with the
2295 interdisciplinary program director, respective dean(s) and provost.

2296 **C157 Dean's Evaluation Procedures. Five-year comprehensive review**
2297 ~~(FS 11/10/09 revisions)~~

2298 **C157.1** During the fifth year of the dean's tenure, the provost will request that the
2299 dean write a self-assessment of his/her activities for the past five years. In addition,
2300 the provost will write a brief summary of the university administration's expectations
2301 under which the dean has been operating. These expectations will be those agreed
2302 upon by the provost and the dean.

2303 **C157.2** The formal process of the evaluation will be initiated by a letter from the
2304 provost to the faculty and unclassified professionals of the college and other
2305 personnel designated to provide input (e.g., students, classified staff, constituent
2306 groups, etc.). This letter will initiate the formal process of the evaluation, explain the
2307 process, state that an opportunity to provide feedback will be forthcoming, and note
2308 that an advisory committee will be appointed. A summary of the university
2309 administrative expectations under which the dean has been operating will be made
2310 available to respondents.

2311 **C157.3** The provost will select and appoint an advisory committee. The advisory
2312 committee selection process will involve consultation with the dean, elected faculty
2313 senators, and a faculty council if the college has one. The committee will represent
2314 each academic discipline or department, and reflect the gender and race diversity of
2315 the college/unit to the extent practicable. As a general practice, only tenured faculty
2316 and no more than one department head will serve on the advisory committee. With
2317 the approval of the provost, the committee membership may be expanded by the
2318 addition of representatives from non-faculty groups who are served by the college
2319 (including students, unclassified professionals, classified staff, or clients of the
2320 college). The announcement of the composition of the committee will be made after
2321 the survey results have been collected.

2322 **C157.4** The provost will identify five references, external to the college, who have
2323 knowledge of the dean's work in fund raising and alumni/constituent relations. The
2324 references will be contacted by the provost and asked to provide a written summary
2325 of the dean's performance as Dean at Kansas State University. Some of these
2326 references will be in higher education, although others may be in related professional
2327 disciplines. Both the dean and the advisory committee may provide suggested
2328 references to the provost, according to a timeline established by the provost.

2299 **Development and distribution of the survey**

2330 **C157.5** The template for the dean's evaluation survey should be consistent across
2331 the university. The dean and advisory committee may propose relevant questions to
2332 be added to the survey instrument to ~~make it a better fit for~~ the specific dean being
2333 evaluated. The provost will have the final approval of the questions to be included in
2334 the survey instrument that is administered for a specific dean. The survey
2335 instrument, collection of data, and analysis of data will protect the privacy and
2336 confidentiality of respondents. The survey instrument will include a clear statement
2337 that the summary of the numerical data and comments will be shared with the dean.
2338

Commented [RD46]: Section C157 was revised and approved in Spring 2013 by Faculty Senate and the Administration. This version is included here, but has not been highlighted as a Track Changes revision.

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

2339 The provost will empower the Office of Planning and Analysis or other appropriate
2340 unit to distribute the materials for confidential feedback. The method shall provide
2341 opportunity for input on performance relative to established missions and goals, and
2342 focus on the overall effectiveness of and confidence in the dean. The method used to
2343 collect feedback shall be private and confidential, and the feedback shall be
2344 anonymous to the dean being reviewed. However, absolute confidentiality and
2345 anonymity cannot be guaranteed, such as when safety, security or due process
2346 requires disclosure. The Office of Planning and Analysis or the other appropriate unit
2347 will collect the results. Individuals also may choose to use other reasonable methods
2348 to provide confidential feedback to the provost.

2349 **C157.6** Written comments will be compiled, protecting respondent confidentiality.
2350 Prior to being finalized, the provost will review and retain all written comments.
2351 ~~Allegations of an unsubstantiated nature~~ Comments unrelated to the professional
2352 evaluation of the dean will not be included in the results, but will be subject to
2353 inquiry by the provost at his or her discretion. The results will be summarized by the
2354 Office of Planning and Analysis or other appropriate unit.

2355 **Responsibilities of the Advisory Committee**

2356
2357 **C157.7** The provost will charge the advisory committee and provide a timeline for
2358 reviewing the data and preparing the report and recommendations. Each advisory
2359 committee member will receive a copy of the final composite of the results, a copy of
2360 each letter of reference, the summary of the expectations of the university
2361 administration under which the dean has been operating, the self-assessment by the
2362 dean, including goals and objectives provided to the provost in previous years, and
2363 evaluation materials from other relevant groups identified in Section C157.3.

2364 **C157.8** The advisory committee will write a draft report for the provost, which
2365 summarizes strengths, weaknesses, and issues of substance which need to be
2366 addressed. A draft copy of this report will be provided to the dean along with a copy
2367 of the final composite of the results and written comments. Prior to the committee
2368 drafting its final report to the provost, the dean will have an opportunity to respond
2369 to the committee in writing to clarify misconceptions and provide further relevant
2370 information. After due consideration of any responses from the dean, the committee
2371 will produce a final copy of the report for the provost with an overall
2372 recommendation for appointment or non-reappointment to a subsequent five-year
2373 term and will forward any response from the dean to the provost. The final report
2374 shall be signed by all committee members including the chair allowing for special
2375 provisions for missing signatures when a committee member is unavailable to sign.
2376 In the case that a minority report is deemed necessary, the report and its content
2377 should be disclosed to all committee members including the chair. The minority
2378 report shall be submitted at the same time as the final report. A separate letter from
2379 the committee to the provost will contain the number of votes of the advisory
2380 committee members for or against the reappointment of the dean. No identification
2381 of any individual votes will be included. Following the receipt of the report and prior
2382 to the final determination by the provost as to reappointment or non-reappointment,
2383 the advisory committee will have the opportunity to meet with the provost, discuss
2384 the survey results, and the vote of the committee on the recommendation.

2385 **C157.9** Absolute confidentiality is expected from the committee members
2386 concerning all evaluation materials, committee deliberations, and final

2387 recommendations. Confidentiality for committee members is a matter of both ethics
2388 and policy.

2389 **C157.10** The committee's recommendations are advisory in nature. The final
2390 decision resides with the provost subject to the approval of the president. If the
2391 provost's decision as to reappointment is contrary to a recommendation from a
2392 majority of the committee, he or she will meet with the committee members to
2393 explain the reasons for not accepting the committee's recommendations.

2394 **C157.11** The provost will meet with the faculty of the college to announce the
2395 outcome and discuss relevant issues.

2396 **C158-Mid-appointment feedback**

2397 **C158.1** In the second or third year of a dean's initial appointment, the dean may
2398 elect to initiate a feedback mechanism. The Office of Planning and Analysis may
2399 serve as a resource to assist in the process.

2400 **C158.2** The intent of the feedback is to reinforce positive endeavors of the college
2401 and/or dean, to help clarify the mission and direction of the college, to help clarify
2402 the college's role in the university and the relationships with external support or
2403 professional organizations, to help identify areas where the dean may want to focus
2404 more attention, and to assist the dean in self-assessment.

2405 **C158.3** At the option of the dean he or she may choose to share the results of the
2406 feedback with the provost and/or selected faculty members.

2407 **C159-Administrative Reappointments, Assignments, and Five-Year**
2408 **Comprehensive Reviews**
2409 **Unit and Department Heads/Chairs**

2410 **C159.1B-123-1** The term of office of department/unit heads, associate deans, and
2411 assistant deans holding faculty rank, and having supervisory or budgetary authority
2412 (referred to as academic administrators for purposes of clarity) will be specifically
2413 determined at the time of the appointment administrative assignment, but shall not
2414 exceed five years. Individuals in these positions serve at the pleasure of the dean
2415 who determines whether or not annual reappointment is appropriate. These
2416 academic administrators are eligible for reappointment renewal to of the
2417 administrative assignment period-additional terms of up to five years. To be
2418 reappointed continue in the administrative assignment, the administrator should have
2419 the support of the majority of the faculty, unclassified unclassified
2420 professional staffs, and other staff under his/her supervision.

2421 **C159.2B-123-3** The dean shall consider the reappointment of an academic
2422 administrator an administrative assignment with supervisory or budgetary authority
2423 to an additional term only after the establishment of an advisory council and a
2424 review.

2425 **C159.3B-123-4** During the final year of the academic administrator's term-of
2426 appointment, the dean will send a letter to all individuals who work under the
2427 supervision of this academic administrator. This letter will initiate the formal process
2428 of the evaluation, explain the process, state that an opportunity to provide feedback
2429 will be forthcoming, and note that an advisory committee will be appointed. The
2430 dean will provide a summary of the academic administrator's job expectations to

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

Commented [MM50]: BOR policy requires 1 year appointments for these positions. Our practice at K-State is that administrators have 5 year appointments, so this needs to be called "assignment."

2435 those providing input. The dean and the academic administrator will confer and
2436 reach agreement on the job summary. Potential respondents will include faculty with
2437 tenure and on tenure track, regular instructors, unclassified professionals, and all
2438 other staff within the group being served. If requested by the academic
2439 administrator, and agreed to by the dean, evaluation materials can be collected from
2440 other groups (e.g., students, constituent groups, etc.).
2441 The dean of the college will request that the academic administrator write a self-
2442 assessment of his/her activities since initial ~~appointment~~administrative assignment
2443 or last re-appointment.
2444

2445 ~~C159.4B423-6~~ To solicit and document the feedback of the group served, the Office
2446 of Planning and Analysis or another group (e.g., administrative support staff)
2447 empowered by the dean ~~(administrative support staff)~~, shall develop a secure survey
2448 instrument that protects the privacy and confidentiality/anonymity of respondents.
2449 The survey shall provide for narrative comments, ratings of specific performance
2450 areas listed on the self-evaluation, unit-specific performance areas, and a final
2451 question/statement addressing the possibility of reappointment in the administrative
2452 assignment. ~~The administrative support staff will collect feedback for review.~~ The
2453 method used to collect the feedback shall be private and confidential, and the
2454 feedback shall be anonymous to the individual being reviewed~~anonymous~~. However,
2455 absolute confidentiality and anonymity cannot be guaranteed, such as when safety,
2456 security or due process requires disclosure. The Office of Planning and Analysis or
2457 other appropriate group will collect the results. Individuals also may choose to use
2458 other methods for providing confidential feedback to the supervisor of the individual
2459 being reviewed. Electronic mail is neither private nor anonymous, and should not be
2460 used to solicit, provide or report feedback.
2461

2462 ~~C159.5B423-7~~ After the materials have been administered, the dean will request
2463 that the group served recommend a list of faculty, unclassified professionals, and
2464 other staff members to serve on the academic administrator's reappointment
2465 advisory committee. The dean will review the list, then select a representative
2466 committee. Students, alumni, and representatives of other university-related groups
2467 may also be named as members of the reappointment advisory committee.
2468

2469 ~~C159.6B423-8~~ The reappointment advisory committee shall keep the faculty,
2470 unclassified professionals, and other staff of the group being served regularly
2471 informed of the status of the review. The feedback results will be summarized by the
2472 administrative support staff. Written comments will be transcribed and compiled,
2473 protecting respondent confidentiality. The data will be compiled and presented so
2474 that the summary and other statistics will be standard outputs, along with an
2475 anonymous listing of the narrative comments. Comments unrelated to the
2476 professional evaluation of the administrator ~~Unsubstantiated allegations~~ will not be
2477 included in the results, but will be subject to inquiry by the dean at his/her
2478 discretion. A summary of respondents' input will be provided to the committee for its
2479 report to the dean.
2480

2481 ~~C159.7B423-9~~ The reappointment advisory committee will write a report ~~for~~to the
2482 dean, which summarizes strengths, weaknesses, and issues of substance that need
2483 to be addressed. The committee will make a recommendation for appointment or
2484 non-reappointment of the administrative assignment. A draft copy of this report will
2485 be provided to the academic administrator being reviewed. The academic
2486 administrator can, if he or she desires, respond to the committee in writing
2487 concerning the draft report. After due consideration of any responses, the committee

2488 will produce a final copy of the report and an advisory recommendation and will
2489 forward any responses from the academic administrator to the dean.

2490 ~~C159.8B123-10~~ Confidentiality is expected for the committee members concerning
2491 all evaluation materials, committee deliberations, and final recommendations.
2492 Confidentiality for committee members is a matter of both ethics and policy.
2493

2494 ~~C159.9B123-11~~ To be reappointed, the administrator should have the support of
2495 the majority of the faculty, ~~unclassified~~ professional ~~staffs~~, and other staff under
2496 his/her supervision who responded to the request for feedback, as well as the
2497 concurrence of the dean. The dean shall consider the advisory committee's
2498 recommendation before reappointing an administrator ~~or~~ five assignment. If the dean
2499 makes a reappointment decision that is against the wishes of a majority of the
2500 faculty and staff, the dean will schedule a meeting with the group being served and
2501 the next higher-level administrator to give a rationale for the reappointment and an
2502 opportunity to respond to his/her decision.
2503

2504 ~~C159.10B123-12~~ Those departments who elect a chair follow the departmental
2505 internal evaluation procedures.
2506

2507 ~~Five-Year-Other Unclassified-Unclassified Professional Staff Administrators~~ 2508 ~~Evaluation Procedures~~

2509 ~~C159.1141-4 (b)~~ Includes all directors, associate and assistant deans and other
2510 unclassified professional administrative supervisors not specified in C159.1
2511

2512 At least once every five years, the responsible dean, vice provost, vice president,
2513 provost or president, depending upon the department's/unit's reporting structure,
2514 will issue a request for input from individuals regarding the performance of their
2515 department/unit administrator(s). To solicit and document the feedback of the group
2516 served, the Office of Planning and Analysis or another group ~~such as AXIO or~~
2517 ~~(e.g., the administrative support staff) shall~~ develop a survey instrument that
2518 protects the privacy ~~and~~ confidentiality ~~and anonymity~~ of respondents. The survey
2519 shall provide for narrative comments, ratings of specific performance areas listed on
2520 the self-evaluation, unit-specific performance areas, and a final question/statement
2521 addressing the possibility of reappointment. ~~Care should be taken to protect the~~
2522 ~~confidentiality and anonymity of the individuals submitting evaluation materials.~~
2523 Examples of methods that may be used to protect the privacy and confidentiality of
2524 those submitting responses to five-year annual evaluation materials include
2525 ~~anonymous electronic AXIO~~ surveys or surveys ~~being~~ submitted to a third party in
2526 Human Resources ~~relations~~ or the Planning and Analysis/Evaluation Office. The
2527 designated group will collect the results, and the feedback shall be anonymous to the
2528 individual being reviewed. However, absolute confidentiality and anonymity cannot
2529 be guaranteed, such as when safety, security or due process requires disclosure.
2530 Individuals also may choose to use other methods to provide confidential feedback to
2531 the supervisor of the individual being reviewed. Electronic mail is neither private nor
2532 anonymous. Electronic mail is neither private nor anonymous, and should not be
2533 used to solicit, provide or report feedback. These guidelines follow the
2534 unit/department head/dean's/chair's review process outlined in ~~C159.4B123 now~~
2535 ~~moved to Section C.~~ Please use the dean's process as a guide.
2536
2537

2538 Termination of Services

2539 **C160.1** General standards for non-reappointment. The Kansas Board of Regents has
2540 adopted The Standards of Notice of Non-Reappointment set forth by the American
2541 Association of University Professors in the autumn of 1964. (See Appendix A. Also
2542 see AAUP Statement on Academic Freedom and Tenure, Appendix C.)

2543 **C160.2** Non-reappointment in the case of financial exigency should not be
2544 interpreted as a reflection on the quality of the individual faculty member's
2545 performance.

2546 **C160.3** The termination for cause of faculty on continuous appointments and non-
2547 tenured faculty, who have been appointed on contract for a specified term, before
2548 the expiration of that term, shall be reviewed in accordance with the procedure
2549 described in C75. ~~(FSM 3-9-93)~~

2550 **C161.1** Reasons for dismissing faculty and ~~unclassified-unclassified~~ professional ~~ss~~
2551 ~~staff. Any unclassified-employee~~ faculty member or unclassified professional ~~A faculty~~
2552 ~~and/or unclassified professional staff~~ may be recommended for dismissal for:

- 2553 • Professional incompetence
- 2554 • Misconduct or unethical behavior
- 2555 • Persistent violation of university rules and/or policy
- 2556 • Bona fide financial exigency (See C162.4 and Appendix B.)
- 2557 • Program discontinuance (See C162.5 and Appendix K.)

2558 **C161.2** Tenured faculty members who are dismissed for reasons other than
2559 misconduct or unethical behavior, or financial exigency, shall be given written notice
2560 by the university 12 months in advance of their separation. Financial exigency has
2561 been broadly defined by the Kansas Board of Regents (Appendix B) with detailed
2562 procedures to be defined by each of the Regents' institutions.

2563 **C162.1** Dismissing faculty holding tenure. Termination of employment of a tenured
2564 faculty member, other than by voluntary resignation or retirement, is extremely
2565 rare. In such case the university upholds both the letter and the spirit of the tenure
2566 principle of the AAUP (Appendix C).

2567 **C162.2** Faculty members with tenure who are dismissed have a right to a formal
2568 hearing under the procedures stated in the Kansas Board of Regents policy on
2569 tenure. (See C71-78.) In cases of dismissal for cause, the Procedure for Review of
2570 Dismissal of Tenured Faculty in Appendix M will be followed. In cases of dismissal for
2571 reasons of financial exigency the procedures in Appendix B will be followed. In cases
2572 of dismissal for reasons of program discontinuance, the procedures of Appendix
2573 K will be followed.

2574 **C162.3** For faculty members whose services are to be terminated before tenure is
2575 attained, written notice shall be given to them by the dean of their college, according
2576 to the following schedule: A faculty member on a regular appointment who has been
2577 employed less than one year shall be notified by March 1 if services are to be
2578 terminated at the end of that academic year. The intent here is to provide at least a
2579 six-month evaluation period for the faculty member newly appointed at the
2580 beginning of the academic year. Accordingly, persons who are appointed at mid-year
2581 (that is, January or February) must also be notified by March 1 of the following
2582 calendar year if ~~they are not to be~~ reappointed for the next academic year. A faculty
2583 member on a regular appointment employed for more than one year shall be given
2584

2585 the same written notice by December 15 if services are to be terminated at the end
2586 of that academic year. Any time after December 15, a faculty member on a regular
2587 appointment employed one or more years shall be given the same written notice at
2588 least 12 months before the expiration of an appointment. If the faculty member is
2589 not to be continued in service beyond the expiration of the probationary period,
2590 notice shall be given at least one year prior to the expiration of the probationary
2591 period. Appointments designated as term teaching faculty do not require notification
2592 of non-reappointment. For faculty members holding tenure, procedures for any

2593 termination of appointment, including appeals, will be as outlined in Appendix M.
2594
2595 **C162.4** A formal plan to be used in the event financial exigency necessitates the
2596 dismissal of tenured faculty members is contained in Appendix B.

2597
2598 **C162.5** A formal plan to be used in the event program discontinuance necessitates
2599 the dismissal of tenured faculty members is contained in Appendix K.

2600 2601 2602 **Continued Employment for Administrative Appointees**

2603
2604 **C170.1** Individuals may be appointed to regular appointments or to term
2605 appointments. For the purpose of this policy, two types of appointments positions are
2606 identified and defined. A regular appointment position is defined as one in which
2607 made when which the need and the funds for the position are expected to continue
2608 for the foreseeable future. A regular appointment is made to a budgeted position. A
2609 term appointment position is normally typically used defined as one in which when the
2610 need or funding for the position is finite and is for a specified term, usually not
2611 longer than one year. A term appointment carries no expectation of continued
2612 employment beyond the period stated in the contract. Term appointments can be
2613 made to either budgeted or non-budgeted positions.

2614
2615 ~~C170.2~~ Individuals ~~Persons appointed after June 1, 1982, may be appointed to~~
2616 ~~regular appointments positions or to term appointments positions.~~

2617
2618 **C170.3** Persons holding regular or term unclassified professional appointments may
2619 be terminated without cause, provided that notice is given according to the schedule
2620 below. This notice is called notice of non-reappointment.

2621 During the first year of service, the individual must be notified by March 1 if
2622 he/she will not be reappointed for the next fiscal year. During the second
2623 year, notification of the non-reappointment for the next fiscal year must be
2624 made by December 15. Thereafter, the individual must be provided 12
2625 months' notice if he/she will not be reappointed. (The first year of service
2626 ends with the fiscal year in which the individual was first appointed, unless
2627 the date of the appointment was after September 30. For those whose initial
2628 appointment was effective after September 30, the "first year" ends with the
2629 fiscal year after the year of appointment. However, in no case shall more than
2630 12 months' notice be required.)

2631
2632 All appointments to term positions will be temporary appointments ending at
2633 or before the end of the term. Should need or money for the position be
2634 extended, a new term may be established with the approval of the provost. In
2635 such instances, the incumbent may be appointed for the new term or a
2636 portion thereof without the position being declared open for initiation of a
2637 search process.

Commented [MM51]: Stated in section immediately preceding.

Commented [MM52]: The current language allows for some people with less than two years' service to receive well over one year's notice depending on when a person was hired. This addition corrects that.

2638 A. ~~Except for persons covered under B, below, during the first twelve (12)~~
2639 ~~months of unclassified service, the individual must be given 90 days' notice of~~
2640 ~~termination without cause. After more than twelve (12) months of service, an~~
2641 ~~individual on a regular appointment must be given 180 days' notice of termination~~
2642 ~~without cause.~~
2643 ~~All appointments to term appointments positions will be temporary appointments~~
2644 ~~ending at the conclude at the end of the term, or earlier for cause, or with 90 days'~~
2645 ~~notice of termination without cause if notice is given according to the preceding~~
2646 ~~paragraph. Should need or money for the position be extended, a new term may be~~
2647 ~~established with the approval of the provost or appropriate vice president or as~~
2648 ~~delegated to the deans or comparable administrators. In such instances, the~~
2649 ~~incumbent may be appointed for the new term or a portion thereof without the~~
2650 ~~position being declared open for initiation of a search process.~~

2651
2652 B. ~~Persons appointed to regular, unclassified positions prior to June 15, 2010, are~~
2653 ~~subject to notice of non-reappointment pursuant to the following schedule:~~
2654 ~~During the first year of service, the individual must be notified by March 1 if~~
2655 ~~he/she will not be reappointed for the next fiscal year. During the second~~
2656 ~~year, notification of the non-reappointment for the next fiscal year must be~~
2657 ~~made by December 15. Thereafter, the individual must be provided twelve~~
2658 ~~(12) months' notice if he/she will not be reappointed of termination without~~
2659 ~~cause. (Unless the date of the appointment was effective after September 30,~~
2660 ~~the first year of service ends with the fiscal year in which the individual was~~
2661 ~~first appointed. For those whose initial appointment was effective after~~
2662 ~~September 30, the "first year" ends with the fiscal year after the year of~~
2663 ~~appointment. In such cases, during the initial year of appointment prior to the~~
2664 ~~"first year," those individuals must be notified no later than May 1 if they are~~
2665 ~~not to be reappointed.)~~

2666
2667 ~~C174 The non-reappointment of persons holding administrative tenure granted prior~~
2668 ~~to June 1982, as defined in C170.3B, may be reviewed in accordance with the~~
2669 ~~Procedure for Review of Dismissal of Tenured Faculty, as provided in Appendix M,~~
2670 ~~provided that the administrator shall have the choice of:~~
2671 ~~1. A hearing committee of the composition provided in Appendix M;~~
2672 ~~or~~
2673 ~~2. a hearing committee selected from a pool which shall include all persons~~
2674 ~~holding administrative positions as defined above, except that persons holding~~
2675 ~~positions in the administrative unit in which the administrator is appointed shall not~~
2676 ~~be eligible.~~

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

2677
2678
2679 **Bargaining Unit for Unclassified Employees**

2680
2681 **C180** In accordance with the laws of the State of Kansas, the potential bargaining
2682 unit for Kansas State University unclassified employees has been determined by the
2683 Public Employees Relations Board (PERB) on December 20, 1982, to be as follows:
2684 The appropriate bargaining unit for unclassified personnel at Kansas State University
2685 shall include:
2686 1. All unclassified faculty with the academic rank of research assistant, research
2687 associate, assistant instructor, instructor, assistant professor, associate
2688 professor, and professor if they are engaged five-tenths time or more in
2689 teaching, research, or extension;

- 2690 2. Support unit personnel except physicians working in Lafene Health Center,
 2691 and shall exclude:
 2692 A. Unclassified employees as stipulated: academic directors, associate
 2693 directors, assistant directors; department heads; part-time employees
 2694 (less than five-tenths time); temporary, visiting or adjunct employees
 2695 and appointees; all students, including graduate teaching assistants,
 2696 graduate research assistants, and graduate assistants; university
 2697 officials, including the president, assistants to the president,
 2698 administrative assistants to the president, provost, associate provost,
 2699 assistant provost, vice presidents, associate vice presidents, assistant
 2700 vice presidents, assistants to vice presidents, deans, associate deans,
 2701 assistant deans, assistants to deans, controller, associate controller,
 2702 assistant controller, registrar, associate registrar, assistant registrar,
 2703 university attorney, branch station superintendents, area directors of
 2704 extension;
 2705 B. County extension agents;
 2706 C. Physicians working in Lafene Student Health Center.
 2707 (The complete text of the PERB order is on file in Human Capital Services and in the
 2708 Faculty Senate Office.)
 2709

2710 **Administrative Appeals and Grievance Resolution**

2711 **C190** (Deletion, POD 4/27/12)

2713 **Grievance Resolution**

2714 C191 (Deletion, POD 4/27/12)

2715 **Ombudsperson**

2716 **C192** Appointment and Term

2717 On the recommendation of the Faculty Senate President, the Faculty Senate
 2718 Executive Committee shall appoint, three ombudspersons. Candidates for the
 2719 ombudspersons shall have service qualifications that demonstrate knowledge of
 2720 university structure and operations, such as service on Faculty Senate or the General
 2721 Grievance Board. Faculty candidates shall have attained tenure in their respective
 2722 departments. ~~Unclassified professional~~ ~~Professional staff~~ Unclassified professional
 2723 candidates shall be on regular appointments. People in positions of line authority
 2724 (e.g., department heads/chairs, deans, and some directors) shall not be appointed.
 2725 The ombudspersons should not serve in additional roles within the university that
 2726 would compromise their ability to be perceived as unbiased. Any qualified person
 2727 wishing to be considered for an ombudsperson appointment may contact the Faculty
 2728 Senate President.

2729
 2730 Each ombudsperson shall serve a three-year term, which shall begin the first day of
 2731 each fall semester, and shall be listed as ombudsperson in the annual list of all-
 2732 university appointments and the Campus Directory. Reappointment to a second
 2733 consecutive term should take place only in exceptional circumstances, the basis of
 2734 which will be explained by the Faculty Senate President to the Faculty Senate prior to
 2735 the appointment. Terms of the ombudspersons will be staggered. Ombudspersons
 2736 who are unable or unwilling to adhere to **C194** are subject to immediate
 2737 replacement at the discretion of the Faculty Senate Executive Committee. If for any

2738 reason an ombudsperson cannot complete a term, the term of the replacement will
2739 be for the balance of the original term.

2740 **C193 Recognition and Training**

2741 Service as ombudsperson shall be given appropriate consideration as part of the
2742 ombudsperson's responsibility during the term of appointment; the department head
2743 or functional equivalent shall ensure that service as ombudsperson shall be given
2744 consideration in decisions affecting assignments, salary, and promotion. The
2745 ombudsperson shall receive released time or be compensated in some other fashion.
2746 ~~Expectations are~~ ~~It is expected~~ that early in the term of an ombudsperson's
2747 appointment, opportunities will be provided by the university for the ombudsperson
2748 to receive supplemental preparation that may enhance his/her ability to be
2749 successfully in the functions and responsibilities of an ombudsperson. Beyond
2750 conferring with current and former ombudspersons, such preparation shall include
2751 attending seminars, workshops, and meetings. The university will pay for the costs
2752 involved with the ombudsperson belonging to The Ombudsman Association or an
2753 equivalent organization, during the ombudsperson's term.

2754 **C194 Functions and Responsibilities** The ombudsperson's role is to facilitate a
2755 confidential, unbiased, and informal process to resolve concerns and disputes that
2756 arise within the university. The ombudsperson is an information, communication, and
2757 referral resource available to the faculty and unclassified professionals who seek
2758 service on a voluntary basis.

2759 With exception(s) as specified in the University Handbook, the university recognizes
2760 and the ombuds will follow ~~the principles developed by the university and~~
2761 ~~International Ombudsman Association (IOA) as well as~~ the Code of Ethics 1985 ~~and~~
2762 ~~the Standards of Practice 1995~~ of the Ombudsman Association,
2763 <http://www.ombudsassociation.org/>

Commented [MM54]: Because the ombudspersons are not independent positions within the university, the standards of practice were written for that type of position and do not apply.

2764 Ombudspersons are not mediators, arbitrators, or advocates for any person or
2765 position. ~~Ombudspersons~~ ~~They~~ are advocates for fair processes and fair
2766 administration. While individuals are responsible for choosing a particular resolution,
2767 the ombudsperson may help develop options to resolve problems and/or facilitate
2768 discussion designed to identify agreeable options to resolve a dispute.
2769 Ombudspersons will exercise the responsibilities of their position with objectivity and
2770 impartiality, and will consider the concerns of all parties involved in a dispute. All
2771 communications with the ombudsperson(s) are confidential and they will not be
2772 expected to testify in any formal process inside or outside the university.

2773 ~~At the request or permission of the grievant, The~~ ~~an~~ ombudsperson ~~[who] shall have~~
2774 ~~the duties of~~ ~~shall~~ (1) ~~providing~~ ~~provide~~ information about the grievance process ~~at~~
2775 ~~issue~~ and (2) ~~guiding~~ ~~ahelp~~ ~~walk~~ the grievant through the initial stages of the
2776 grievance process. If requested by the grievant, the ombudsperson may also contact
2777 the administrator(s) involved to ~~seek~~ ~~inquire~~ ~~as to the possibility of~~ a resolution of
2778 the matter before a formal grievance hearing begins. The ombudsperson shall have
2779 access to anyone in the university including the president.