

Horticulture and Natural Resources

Department

Agriculture

College

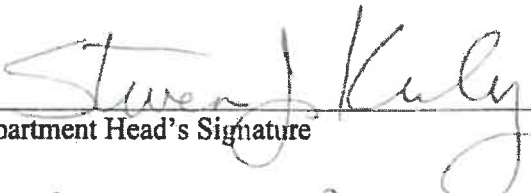
Policy Statement Concerning:

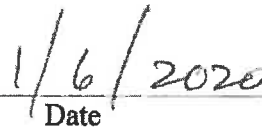
Personnel Review and Evaluation Standards/Procedures

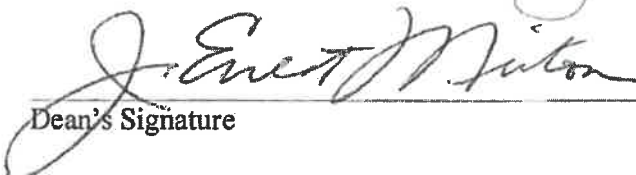
- Performance Evaluation Criteria
- Annual Evaluation
- Reappointment Evaluation for:
 - Annual Reappointment Reviews
 - Mid-Tenure Review
- Tenure
- Promotion
- Professorial Performance Award
- Chronic Low Achievement
- Post-Tenure Review
- Non-Tenure Track Faculty Titles

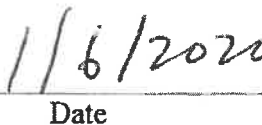
Approved by Faculty Vote on (05/03/2019)

NEXT REVIEW DATE: 05/03/2024

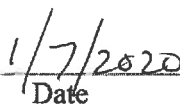

Department Head's Signature


Date


Dean's Signature


Date


Provost's Signature


Date

DEPARTMENT OF HORTICULTURE AND NATURAL RESOURCES

PROMOTION AND TENURE GUIDELINES

(Approved by Faculty Vote on 01/2019)

ANNUAL EVALUATION GUIDELINES

(Approved by Faculty Vote on 05/2019)

REVIEW DATE FOR ANNUAL EVALUATION GUIDELINES *(WHICH INCLUDES THE CHRONIC LOW ACHIEVEMENT STATEMENT AND THE PROFESSORIAL PERFORMANCE AWARD):

REVIEW DATE FOR PROMOTION AND TENURE GUIDELINES*:

Steven Keeley, Interim Department Head

Date signed:

Dean

Date signed:

Provost

Date signed:

**Each academic department is required by University Handbook policy to develop department documents containing criteria, standards, and guidelines for promotion, tenure, reappointment, annual evaluation and merit salary allocation. These documents must be approved by a majority vote of the faculty members in the department, by the department Head or chair, by the dean concerned, and by the provost. In accordance with University Handbook policy, provision must be made to review these documents at least once every five years or more frequently if it is determined to be necessary. Dates of revision (or the vote to continue without revision) must appear on the first page of the document.*

FACULTY EVALUATION: PROCEDURES AND CRITERIA FOR REAPPOINTMENT, MID-TENURE REVIEW, TENURE, PROMOTION, AND POST-TENURE REVIEW
Department of Horticulture and Natural Resources
Kansas State University

1. Introduction

Reappointment, mid-tenure review, tenure, and promotion are based on faculty evaluation as discussed in Section C of the University Handbook (<http://www.ksu.edu/academicpersonnel/fhbook/fhsecc.html>). This process of faculty evaluation is designed to ensure that personnel decisions are both reasonable and defensible. At Kansas State University, each department is responsible for establishing its own document of guidelines, criteria, and standards for reappointment, mid-tenure review, tenure, and promotion. The document must be approved mutually by a majority of faculty members in the department in consultation with the Department Head and Dean and be reviewed at least once every five years. This document represents the current procedures, criteria, and standards for reappointment, mid-tenure review, tenure, and promotion used in the Department of Horticulture and Natural Resources.

The faculty of the Department of Horticulture and Natural Resources consists of academic ranks (tenure-track) and professional ranks (non-tenure track), which are unclassified positions (term appointment and non-tenure track). The promotion of faculty in academic and professional ranks follows similar procedures. Non-tenure track faculty shall have all voting and participatory privileges within the department as tenure-track faculty, with the exception of tenure-track hiring, promotion of tenure-track faculty, and tenure decisions.

The Horticulture and Natural Resources Faculty Committee on Reappointment, Promotion, Tenure and Annual Performance Evaluation (hereafter referred to the Promotion and Tenure Committee) consists of five or more faculty members that are appointed at the discretion of the Department Head. The members of the committee must be tenured faculty and hold the rank of associate professor or professor.

2. Procedures

2.1 Evaluation of Tenure-track Faculty Members on Probationary Appointments

2.1.a Annual Reappointment Evaluation Procedures

During the first year of appointment, the Head appoints 2-3 faculty members as mentors to each new faculty member on probationary appointment. After the candidate becomes acquainted with the tenured departmental faculty, a different mentor or group of mentors may be assigned. The mentors assist and advise the candidate during the promotion and tenure process; provide advice in the preparation of promotion and tenure materials; provide general advice to the candidate about structuring and conducting their professional program; and advise the Head and the tenured faculty of the progress of the candidate in the promotion and tenure process.

New faculty must devote adequate time to the mentoring relationship and make use of the advice and opportunities provided by the mentors. The responsibilities of the mentee also include keeping the mentors aware of their progress, difficulties, and concerns and seek help and support when needed. Mentees submit their "Evaluation Package" each year to their mentors prior to review by the faculty

members tenured in Horticulture and Natural Resources. This gives tenure-track faculty a chance to obtain annual feedback on the packet substance and style and work incrementally on their packet over time.

Faculty members on probationary appointments are evaluated annually to determine whether or not they will be reappointed for another year. These reappointment evaluations also serve to provide feedback to a faculty member on probationary appointment on progress being made towards tenure. The procedures describing reappointment of faculty members on a probationary appointment are in Sections C50.1 - C56 of the University Handbook.

Until the probationary faculty member has been through Mid-Tenure review the form titled 'Guidelines for the Organization and Format of Mid-Tenure Review Documentation' will be filled out to use as the reappointment file. After Mid-Tenure review until a decision is made on granting tenure the probationary faculty member will use the form titled 'Guidelines for the Organization and Format of Tenure and Promotion Document' as the reappointment file. These forms will be supplied by the Head.

The Head makes the reappointment file available to all tenured faculty members in the department at least 14 days prior to the meeting of the tenured faculty. This file includes a cumulative record of written recommendations and accompanying explanations forwarded to the candidate from previous reappointment meetings and any written comments from relevant individuals outside the department. The reappointment file is reviewed by all tenured faculty. Any tenured faculty member may request the candidate to meet with the tenured faculty to discuss, for purposes of clarification, the record of accomplishment submitted by the candidate.

Typically in October, the tenured faculty meet for an annual Promotion and Tenure Meeting to discuss the progress of all non-tenured faculty in the Department. All discussion at the Promotion and Tenure Meeting regarding candidates being considered for reappointment is confidential. Formal written ballots are cast for each individual being considered for reappointment. Written comments on the ballots are encouraged. These ballots are retained for a length of time designated in university policy. Absentee votes are encouraged, provided they are given to the Head prior to the meeting.

Within 30 days of the reappointment vote of the tenured faculty, the Head will meet with the faculty member and review the faculty discussion and vote (with appropriate safeguards for confidentiality) and discuss progress towards tenure and promotion. A statement with the faculty's recommendation regarding reappointment, a summary of the faculty's discussion, and the faculty's written comments are provided by the Head to the candidate and is copied to tenured faculty in the department and will become part of the candidate's reappointment file. The statement will include the results of the faculty vote.

The Head will provide a letter which includes his/her recommendation, the rationale for the recommendation, redacted comments to protect anonymity of the department's tenured faculty members, and number of votes by the tenured faculty in the categories of yes, no, and abstain to the candidate. This letter along with all recommendations and non-redacted written comments of the department's eligible tenured faculty members and the candidate's complete file are also forwarded to the Dean of the College of Agriculture, The Head may also provide to the Dean the number and names of the eligible faculty not voting. If the recommendation of the Head differs from that of the faculty vote, the reasons for the difference will be explained in the Head's statement.

Throughout this process, the goal is to ensure each non-tenured faculty member is aware of the requirements for promotion and tenure and that she or he is informed of perceived progress toward that goal. A faculty member on probationary appointment who will not be reappointed must be informed explicitly in writing of the decision not to renew their appointment in accordance with The Standards of Notice of Non-Reappointment (see Appendix A of the University Handbook).

2.1.b Mid-tenure Review Procedures

As an extension of the annual process of reappointment, a formal mid-tenure review is conducted for faculty members in their third year of a probationary appointment at Kansas State University. The procedures describing the mid-tenure review of faculty members on probationary appointments are in Sections C92.1 - C92.4 of the University Handbook. The purpose of the mid-tenure review is to provide substantive feedback to the candidate from faculty colleagues and administrators regarding his or her accomplishments relative to tenure and promotion criteria. A positive mid-tenure review does not insure that tenure will be granted in the future nor does a negative review mean that tenure will be denied.

The Head makes the mid-tenure review file available to all tenured faculty members in the Department at least 14 calendar days prior to the annual Promotion and Tenure Meeting. This file includes a cumulative record of written recommendations and accompanying explanations forwarded to the candidate from previous reappointment meetings and any written comments from relevant individuals outside the department (comments also may be solicited from students, other relevant faculty members in the college or university, and from outside reviewers at the discretion of the Head).

Non-tenured faculty should submit their "Evaluation Packet" to their mentors prior to review by the tenured faculty members. This same file dually serves the role of both the mid-tenure review document and the reappointment document. The file is evaluated by the tenured faculty at its meeting, and a positive or negative recommendation is made to the Head. Any tenured faculty member may request the candidate to meet with the tenured faculty to discuss, for purposes of clarification, the record of accomplishment submitted by the candidate. All discussion at the Promotion and Tenure meeting regarding candidates being considered for mid-tenure review is confidential. Formal written ballots are cast for each individual being considered for mid-tenure review. A separate vote is required for mid-tenure review and reappointment, even when they occur in the same year. Written comments on the ballots are encouraged. These ballots are retained for a period of time designated by university policy in departmental files. Absentee votes are allowed, provided they are given to the Head prior to the meeting.

Before proceeding further, the Head may discuss the review and assessment of the candidate by the tenured faculty members with the Dean of the College of Agriculture. The Head will provide a letter which includes his/her recommendation, the rationale for the recommendation, redacted comments to protect anonymity of the department's tenured faculty members, and number of votes by the tenured faculty in the categories of yes, no, and abstain to the candidate. This letter along with all recommendations and non-redacted written comments of the department's eligible tenured faculty members and the candidate's complete file are also forwarded to the Dean of the College of Agriculture. If the recommendation of the Head differs from that of the faculty vote, the reasons for the difference will be explained in the Head's statement.

The Head meets with the candidate to discuss the review and assessment. After receiving the assessment, the candidate has the right to submit a written response for the file within 14 calendar days. The Head forwards a written recommendation and accompanying explanations to the Dean, along with

the candidate's complete mid-tenure review file and the number of votes by the tenured faculty in the categories of yes, no, and abstain, as well as the number and name(s) of eligible faculty not voting.

2.1.c Tenure and Promotion Review Procedures

There is no simple list of accomplishments that guarantee a faculty member will obtain tenure. Instead, tenure is recommended based on the assessment of the tenured faculty that a candidate has made outstanding contributions in appropriate academic endeavors commensurate with expected accomplishments considering the position description. In addition, behaviors that adversely affect collegiality or are chronically disruptive will influence tenure decisions. By granting tenure only to such individuals, the continued excellence of the University is ensured. The procedures for the evaluation of tenure are in Sections C70 - C116.2 of the University Handbook. For persons appointed at the rank of Assistant Professor, the maximum probationary period for gaining tenure and promotion to Associate Professor is six regular annual appointments as an Assistant Professor (Section C82.2 of the University Handbook). Tenure is not granted below the rank of Associate Professor, except in special circumstances approved by the Provost (Section C82.2 of the University Handbook). For persons appointed at the rank of Associate Professor or Professor, the maximum probationary period for gaining tenure is five regular annual appointments at Kansas State University at a probationary rank (Section C82.3 of the University Handbook). Faculty members on probationary appointments who have met the criteria and standards for tenure may be granted early tenure.

The procedures for granting promotion for faculty holding academic rank are in Sections C120 - C156.2 of the University Handbook. According to Section C120.2 of the University Handbook, promotion to Associate Professor rests on substantial professional contributions that reflect excellence in teaching, research, extension or directed service. Associate Professors are evaluated typically in October to determine if they will be supported for promotion to Professor. Promotion to Professor is based on attainment of sustained excellence in the assigned responsibilities of the faculty member and recognition of excellence by all appropriate constituencies. Although the median time for promotion at Kansas State University is about six years, promotion can be granted when the faculty member's cumulative performance at rank clearly meets the standards for promotion (Section C131 of the University Handbook).

To ensure continued professional success to promotion to Professor, the Department Head, in consultation with the Associate Professor, will appoint 1 – 2 Professors to serve as mentors to each Associate Professor. The mentors may be the same as those used during the probationary period. The mentor(s) would function as an advocate and promote staying focused on promotion to Professor. The mentor(s) will assist the Associate Professor in developing a promotion plan and in identifying strategies to insure success. The mentees should make use of the advice and opportunities provided by the mentors. The role of the mentors is to supplement, not replace, the assistance provided by the Department Head.

All faculty seeking tenure and/or promotion are required to prepare documentation for consideration. Guidelines for the Organization and Format of Tenure and Promotion Documentation at Kansas State University (<http://www.k-state.edu/provost/resources/dhmanual/promotion/promotio.html>) are used to prepare this documentation. Outside reviewers are used in the evaluation process for tenure and/or promotion in the Department of Horticulture and Natural Resources. The candidate will provide the Department Head the names and contact information of at least five peer faculty at other institutions or equivalent agency/industry representatives to provide an assessment and recommendation for promotion

(the majority of reviewers should have academic appointments). The Head will choose several of those names and may add other external reviewers of their choice. These reviewers must hold a rank that is equal to or higher than that the candidate is being considered for and should not include the candidate's graduate or post-doctoral advisors; graduate school classmates should also be avoided. These individuals should be recognized leaders in the candidate's academic field, but should not have had a strong affiliation with the candidate so that they can provide objective evaluations without conflict of interest. Any affiliation with the candidate should be made clear. These individuals will be requested to provide written evaluation of the candidate's promotion or promotion and tenure dossier.

Although not required, in year five after promotion to Associate Professor, (or possibly earlier or later), mentees have the option to submit their Promotion Packet to their mentors to provide feedback as to progress towards promotion to Professor. After consultation with their mentor(s), the Associate Professor may submit their packet for review and feedback by the tenured Professors, with no formal vote taken. Whenever the Associate Professor decides to submit their packet for promotion to Professor, the packet should first be submitted to their mentor(s) prior to submission to the Department Head. The mentor(s) will lead the discussion during the Promotion and Tenure faculty meeting.

The Head makes the candidate's file for tenure and/or promotion and the department's document listing criteria and standards for tenure and promotion available to the eligible faculty members of the department at least 14 days prior to the annual Promotion and Tenure Meeting. Any eligible faculty member may request that the candidate meet with the eligible faculty to discuss, for purposes of clarification, the record of accomplishment submitted by the candidate.

For tenure and/or promotion decisions, faculty members tenured in Horticulture and Natural Resources holding a rank equal to or higher than the rank being sought by the candidate can participate. Eligible faculty members individually review the materials for each candidate before the meeting and discuss the candidate's file at the meeting. All discussion at the Promotion and Tenure Meeting is confidential. Formal written ballots are cast at the Promotion and Tenure Meeting for each individual being considered for tenure and/or promotion. These ballots are retained for a period of time designated in university policy. Absentee votes are encouraged, provided they are given to the Head prior to the meeting.

The total number of votes in the categories of yes, no, and abstain, and also the number and name(s) of eligible faculty not voting are recorded on the Promotion and/or Tenure document and submitted to the Dean of the College of Agriculture. The Head will provide a letter which includes his/her recommendation, the rationale for the recommendation, redacted comments to protect anonymity of the department's eligible faculty members, and number of votes by the faculty in the categories of yes, no, and abstain to the candidate. This letter along with all recommendations and non-redacted written comments of the department's eligible faculty members and the candidate's complete file are also forwarded to the Dean of the College of Agriculture. If the recommendation of the Head differs from that of the faculty vote, the reasons for the difference will be explained in the Head's statement. Candidates for tenure and/or promotion are informed by the Head of the outcome of the vote by the eligible faculty members following the Promotion and Tenure meeting.

2.2 Evaluation of Non-tenure Track Faculty Members

(Approved by HNR Faculty vote March 30, 2016)

Non-tenure track faculty are classified as:

1. Research Assistant Professor, Research Associate Professor, Research Professor
2. Extension Assistant Professor, Extension Associate Professor, Extension Professor
3. Teaching Assistant Professor, Teaching Associate Professor, Teaching Professor
4. Instructor, Advanced Instructor, Senior Instructor

Non-tenure track faculty shall have all voting and participatory privileges within the department as tenure-track and tenured faculty, with the exception of tenure-track hiring, promotion of tenure-track or tenured faculty, and tenure decisions.

2.2.a Appointment

Non-tenure track faculty members, with primary responsibilities in teaching and advising students (for instructors and teaching professors), research (for research professors) and extension (for extension professors) may be recruited, hired, and appointed into regular or term positions. Non-tenure track faculty are appointed only after the tenure-track, tenured and non-tenure-track faculty at or above the proposed appointment rank have reviewed and voted favorably on the credentials of the prospective appointee. Initial appointment rank and subsequent promotions in rank are based on advanced degree(s) held, experience, performance, and achievements over time within a given rank. Non-tenure track faculty may be elected as members of the KSU Graduate Faculty and direct graduate students if the academic department and Graduate Council approves the nomination.

2.2.b Annual Evaluation and Reappointment Processes and Criteria

Annual evaluation procedures and timing will follow those of tenure-track faculty. The same procedures and criteria for performance evaluation, and process for appealing a negative outcome, will be applied as for tenure-track and tenured faculty. Merit raises will be based on average performance evaluations for the most recent three-year period or shorter, depending on length of time in the position. Merit raises will be awarded only in years when tenure-track faculty receive raises, and only if funds to support a raise are available from the non-tenure track funding source. The dollar amount of the merit raise will be based on the numerical ranking of the non-tenure track faculty member in relation to the tenure-track and tenured faculty, and the amount that the latter would receive for that ranking.

Reappointment evaluations will be conducted each year and will follow the same procedure and timing as outlined for tenure-track faculty. The vote on reappointment will include only tenured faculty and for promotion will be by both tenure-track, tenured and non-tenured track faculty at or above the rank of the person being reviewed.

As a component of the annual evaluation and reappointment process, non-tenure track faculty will receive annual feedback on progress toward promotion.

2.2.c Promotion of Non-tenure Track Faculty

The procedures for promotion will be similar to the processes for promotion of tenure-track and tenured faculty outlined in the University Handbook. To be promoted from Instructor to Advanced Instructor, Advanced Instructor to Senior Instructor, Assistant to Associate Professor or Associate to full Professor within the non-tenure track ranks, the applicant must make a request to the department head and receive

the endorsement of the direct supervisor. The applicant also must meet the same criteria (qualifications and time in rank), and provide the same documentation and follow the same procedures for promotion as tenure-track and tenured faculty at the same rank. Criteria used will be those relevant to the assignment of duties of the position. External review letters will be solicited by the department head, as is the case for tenure-track faculty.

All tenure-track and non-tenure track faculty at or above the rank to which the non-tenure track faculty member is requesting promotion will evaluate and vote on the submitted materials by either ballot or voice, depending on department head discretion. The department head will notify the applicant of the outcome of the departmental decision. If the vote for promotion is favorable, the outcome will be submitted in writing to the applicant, and copied to the Dean and the supervisor of the applicant. In the event of a negative decision, the department head will provide a summary of the faculty's rationale for the decision to the applicant, the faculty who participated in the decision, and the Dean. An appeal of a negative decision may be made in writing to the department head.

If a promotion is recommended, the department head will decide with the candidate and the dean on the length of the new appointment. The options are:

- Regular appointment, one year entitled to Notice of Non-Reappointment,
- Term appointment for a one, two or three year term, with no Notice of Non-Reappointment.

Once the type and length of the appointment is decided, it will need to be communicated in the recommendation to the dean.

Faculty members in professional ranks do not receive the promotion-related salary increases described in Section C132 of the University Handbook. These increases in salary are awarded at the University level and are given only for promotion to Associate Professor or Professor.

2.3 Departmental Seminars

Mid-tenure candidates will present their work in a department seminar in year three of the tenure process.

All candidates for tenure or promotion are expected to present a departmental seminar in his/her discipline or area of scholarly activity during the year prior to submission of the promotion packet.

3. Criteria

According to the University Handbook Section C100.1, *"there can be no simple list of accomplishments, that, when achieved, guarantee that a faculty member will obtain tenure."* Tenure is granted *"based on the assessment of the tenured faculty of the university that a candidate has made outstanding contributions in the appropriate academic endeavors."* Section C100.3 states *"Tenure is not a right accorded to every faculty member. Nor is it granted simply as a result of a candidate's routinely meeting assigned duties with a record free of notable deficiencies."* All requirements for acquiring tenure and promotion in rank as defined in the University Handbook must be followed and met with additional definitions and requirements described in this document.

For the time period preceding the application for tenure, the candidate should be deemed by the tenured faculty to have made outstanding contributions in the appropriate academic endeavors and service, as described in this section. In addition to the teaching, research, extension, and service contributions evaluated annually, outstanding contributions in the appropriate academic endeavors will be evaluated by external reviewers.

Teaching, research, and extension are each recognized as important activities in accordance with the mission statement of Kansas State University. Service and collegiality are also recognized as important activities. Criteria are based on what is expected of any faculty member at a major land-grant university such as Kansas State University with a three-fold mission of instruction (teaching or academic programs), research and Extension (including outreach and service).

The KSU University Handbook and the KSU Handbook for Annual Evaluation of Unclassified Personnel provide general criteria of performance expectations. Criteria are also based on the missions of Kansas State University, the College of Agriculture, and of the Department of Horticulture and Natural Resources:

Mission of Kansas State University

(<http://www.k-state.edu/provost/planning/mission.html>)

The mission of Kansas State University is to foster excellent teaching, research, and service that develop a highly skilled and educated citizenry necessary to advancing the well-being of Kansas, the nation, and the international community. The university embraces diversity, encourages engagement and is committed to the discovery of knowledge, the education of undergraduate and graduate students, and improvement in the quality of life and standard of living of those we serve.

Mission of the College of Agriculture

(<http://www.ag.k-state.edu/about/mission.html>)

The mission of the College of Agriculture is to develop human capital at the undergraduate and graduate levels to support agriculture, agriculturally related industries, natural resources management, education and research. In doing so, the College of Agriculture educates people for productive lives that contribute to agriculture, society and to the economic competitiveness of Kansas.

Mission of the Department of Horticulture and Natural Resources

(<http://hnr.k-state.edu/about/mission-statement.html>)

The Department of Horticulture and Natural Resources is dedicated to improving lives through innovative, diverse education and research.

Most faculty members have a split appointment in the areas of teaching, research, extension, and/or directed service. All faculty members are expected to have accomplishments in the non-directed service area. The criteria and standards in each area for which the faculty member has responsibility in addition to the non-directed service area are considered in decisions concerning promotion and/or tenure. Annual evaluations that meet or exceed *Satisfactory/Meets Expectations* in all general categories on annual evaluation documents is expected.

3.1 Mid-Tenure Criteria

3.1.a Teaching

When teaching is part of the faculty assignment, effectiveness and continued improvement are essential criteria for advancement. Faculty members with teaching responsibilities must demonstrate a command of subject matter, continuous growth in subject field, and an ability to create and maintain instructional environments to promote student learning. To demonstrate teaching effectiveness and continual improvement faculty must provide evidence of items 1-4 below:

1. Developed a teaching portfolio for all courses taught which may contain: syllabi, course materials, exams, student comments or anecdotal feedback, notices of awards or special recognitions, listing of publications, presentations and grants related to instruction, and teaching goals for the next 5 years.
2. Demonstrated teaching excellence or continual improvement as measure by TEVAL scores (or other student input systems as agreed to by the Department).
3. Assumed advising role and responsibilities to assist with advising load and provide advising report.
4. Conducted scholarly activity related to the teaching assignment in consultation with department head and based upon annual performance goals.
5. Service as faculty advisors of Departmental Student Organizations (DSOs) will count towards teaching responsibilities.
6. The department head or other teaching evaluator may observe classroom or lab sessions, to evaluate teaching methods.

3.1.b Research

When research is part of the faculty assignment, research productivity and quality are essential criteria for advancement. Research is demonstrated through original contributions that are appropriate to their chosen area of specialization and that are respected by peers within and outside the university and through an on-going, extramurally-funded, focused, cogent research program reflective of a long-term research strategy. Faculty members with research responsibilities should have:

1. Met or exceeded the required number of published refereed publications. The actual number of publications would be adjusted for the research appointment with 6 publications for a 1.0 research FTE. This would require 3 publications for a faculty member with a 0.50 research appointment.¹
2. Prepared and submitted appropriate number of competitive funding proposals to potential granting agencies. The appropriate number is based on the appointment and the field of research and determined in consultation with the department head and based upon annual performance goals ¹ previous page.
3. Acquired graduate faculty status and become active in our graduate program. Active is defined as serving as an advisor, co-advisor, or on a graduate committee.

3.1.c. Extension

When extension is part of the faculty assignment, effectiveness and continued improvement are essential criteria for advancement. Faculty members with extension responsibilities must have:

1. Developed major program initiative(s) with supporting educational materials introduced into county extension system appropriate for the appointment.
2. Prepared and submitted appropriate number of funding proposals to potential granting agencies.

¹ The candidate may consult with mentors and the department head on trends in publication numbers and grant activity of faculty who have recently gone through the Mid-Tenure process in the department.

The appropriate number is based on the appointment and in consultation with department head.

3. Participated in the appropriate Program Focus Team (PFT).
4. Demonstrated scholarly activity related to their extension appointment in consultation with the department head and based upon annual performance goals.

3.1.d Collegiality

All faculty must have demonstrated an ability to have collegial relationships with other departmental faculty and staff, relate to state agencies and industry groups, respond to industry-related anticipated needs and established a relationship with industry, agency, and field extension faculty/staff as related to the general assigned responsibilities.

3.1.e Service

Faculty members are expected to contribute to the shared governance necessary for the operation of Kansas State University. In addition to departmental, college, and university-level administrative service, candidates are expected to serve their profession by participating in professional societies in various capacities, reviewing manuscripts for journals and grant proposals for funding agencies, participating in grant review panels, program reviews, etc. Such participation benefits the profession, and also reflects on the standing of the candidate in the scientific community. Service contributions are expected to increase as faculty progress in their careers from assistant to associate to full professor.

Directed Service, to include: Administrative assignments such as: graduate program director, undergraduate program coordinator, state extension leader, and research/extension center directors.

Non-directed Service, to include: Supervision of independent student organizations (ISOs) or clubs; membership on committees (departmental, college, university, national or professional); participation in non-appointment activities; international activities; contribution to development of departmental goals and activities; professional association activities including editorial services, reviewing articles, award committees and holding association offices.

Faculty evaluation should recognize contributions made serving as effective mentors. Mentoring activities should be summarized in the evaluation documentation of faculty serving as mentors.

3.2 Tenure Criteria

3.2.a Teaching

When teaching is part of the faculty assignment, effectiveness and continued improvement are essential criteria for advancement. Faculty members with teaching responsibilities must demonstrate a command of subject matter, continuous growth in their subject field, and an ability to create and maintain instructional environments to promote student learning. To demonstrate teaching effectiveness and continual improvement faculty must provide evidence of items 1-6 below:

1. Submitted for review a teaching portfolio for all courses taught which should contain: syllabi, course materials, exams, student comments or anecdotal feedback, notices of awards or special recognitions, listing of publications, presentations and grants related to instruction, and teaching goals for the next 5 years.
2. Demonstrated teaching excellence as measured by TEVAL scores (or other student input system as agreed to by the Department).
3. Assumed advising role and responsibilities to assist with advising load when called upon,

including student ratings of the advising role.

4. Provided assistance in curriculum development when called upon.
5. Contributed to the scholarship of teaching and learning as documented through such means as peer-reviewed publications, textbooks, videos, software, workbooks, lab manuals, invited lectures, and conference papers.
6. Received one extramurally funded grant or other extramural support for teaching scholarship or classroom/lab activities (for those with >0.8 FTE teaching appointment).
7. Documentation of service as faculty advisors of Departmental Student Organizations (DSOs), if appropriate, should be included.

3.2.b Research

When research is part of the faculty assignment, research productivity and quality are essential criteria for advancement. Research is demonstrated through original contributions that are appropriate to their chosen area of specialization and that are respected by peers within and outside the university and through an on-going, extramurally-funded, focused, cogent research program reflective of a long-term research strategy. Faculty members with research responsibilities must have:

1. Met or exceeded the minimum required number of refereed publications, most of which must be based upon K-State work. The minimum is equivalent to 10 publications for a 1.0 research appointment during the tenure process. Consideration may be given to the quality of the outlet and the impact it may have on the profession. The number of publications and the candidate's level of contribution will be considered. Collaborative work is encouraged.²
2. Received funding for at least two submitted competitive research proposals as a principal investigator or Co-PI, and submitted five others to potential granting agencies, and received adequate funding to build and maintain a successful research program. Comparisons of extramural funding based solely on dollars received should be avoided since grant opportunities differ by research specialty area. In-kind contributions also count as received funding. Participation in multidisciplinary grants is considered a valuable component of a successful grant portfolio. Grant documentation will include total dollar amount of grants the faculty member is a PI or Co-PI on, including funds awarded to Kansas State University and the dollar contribution of grants directly supporting the Department.³
3. Submitted for review a research portfolio containing copies of publication cover pages (with those having been peer-reviewed clearly identified), grant proposals funded or pending, notices of recognitions or awards for research activities, invitations to speak, invited review articles and book chapters, and a listing of research goals for the next five years.
4. Faculty with $\geq .25$ research appointments should have mentored at least one grad student through to graduation, plus served on at least one other grad committee.

Assessing the quality, significance, and impact of research is extremely important. The research program should be of sufficient depth to delineate and develop areas of expertise within the guidelines of the faculty member's position. Research productivity needs to be assessed in accordance with individual position descriptions and appointments. Individuals having relatively high percentages of research appointments are expected to exhibit more productive research programs than those having small

² The candidate may consult with mentors and the department head on trends in publication numbers of faculty who have recently gone through the P&T process in the department.

³ The candidate may consult with mentors and the department head on trends in grant activity of faculty who have recently gone through the P&T process in the department.

percentage appointments.

Relevant measures of publication output (in decreasing order of importance) include:

- a) Published refereed journal articles;
- b) Other refereed publications including research based books;
- c) Book chapters;
- d) Proceedings, invited papers, selected papers, published abstracts, posters, etc.;
- e) Non-refereed publications;
- f) Computer software and various forms of electronic communication.

3.2.c Extension

When extension is part of the faculty assignment, effectiveness and continued improvement are essential criteria for advancement. Effectiveness is evident when your extension program is respected by peers within and outside the university by its influence, use, or adoption, and its originality. Faculty members with extension responsibilities must demonstrate a command of subject matter, continuous growth in subject field, and an ability to create and maintain instructional environments to promote clientele/stakeholder learning. Faculty members with extension appointments must have:

1. Developed two major program initiatives with supporting educational materials produced for the county extension system.
2. Received funding for at least two competitive proposals and submitted five others to potential granting agencies, based on a 1.0 Extension appointment.
3. Submitted for review an extension portfolio containing copies of major program initiatives showing breadth of activities that support clearly stated educational objectives, program assessment, outcomes, and documented impact, cooperation in 'team-oriented' extension activities, communications, news releases, and other media support of extension programming, unique and traditional extension delivery systems implemented, grant proposals funded or pending, notices of recognitions or awards for extension activities, and a listing of extension goals for the next five years.
4. Participated in the appropriate Program Focus Team (PFT).
5. Demonstrated scholarly activity related to their extension appointment in consultation with department head and based upon annual performance goals.

3.2.d Collegiality

All faculty must have demonstrated an ability to have collegial relationships with other departmental faculty and staff, relate to state agencies and industry groups, respond to industry-related anticipated needs and established a relationship with industry, agency, and field extension faculty/staff as related to the general assigned responsibilities.

Faculty evaluation should recognize contributions made serving as effective mentors. Mentoring activities should be summarized in the evaluation documentation of faculty serving as mentors.

3.1.e Service

Faculty members are expected to contribute to the shared governance necessary for the operation of Kansas State University. In addition to departmental, college, and university-level administrative service, candidates are expected to serve their profession by participating in professional societies in

various capacities, reviewing manuscripts for journals and grant proposals for funding agencies, participating in grant review panels, program reviews, etc. Such participation benefits the profession, and also reflects on the standing of the candidate in the scientific community. Service contributions are expected to increase as faculty progress in their careers from assistant to associate to full professor.

Directed Service, to include: Administrative assignments such as: graduate program director, undergraduate program coordinator, state extension leader, and research/extension center directors.

Non-directed Service, to include: Supervision of independent student organizations (ISOs) or clubs; membership on committees (departmental, college, university, national or professional); participation in non-appointment activities; international activities; contribution to development of departmental goals and activities; professional association activities including editorial services, reviewing articles, award committees and holding association offices.

4. Promotion

According to the University Handbook Section C120.2, "*Promotion to associate professor rests on substantial professional contributions that reflect excellence in teaching, research, and other creative endeavor, directed service, or extension. Promotion to professor is based on attainment of excellence in the assigned responsibilities of the faculty member and recognition of excellence by all appropriate constituencies.*" The specific criteria are those outlined above for granting of tenure.

Most faculty members have a split appointment in the areas of teaching, research, extension, and/or directed service. All faculty members are expected to have accomplishments in the non-directed service area. The criteria and standards in each area for which the faculty member has responsibility in addition to the non-directed service area are considered in decisions concerning promotion and/or tenure. Annual evaluations that meet or exceed *Satisfactory/Meets Expectations* in all general categories on annual evaluation documents is expected.

4.1 Promotion from Assistant Professor to Associate Professor

Faculty members going up for promotion from assistant professor to associate professor must have:

1. Met requirements for the tenure process as mentioned above including the presentation of the requested portfolios as described above.
2. Developed a regional/national reputation as an outstanding educator, researcher, or specialist as indicated by excellence in all appointment areas and general service. This status can be documented by indications of regional/national influence such as: professional society responsibilities, regional/national recognitions or awards, invited presentations, requested publications, etc.

4.2 Promotion from Associate Professor to Professor

Faculty members going up for promotion from associate professor to professor must have:

1. Demonstrated a sustained and consistent (1) record of productivity in terms of publications and extramural funding, (2) excellence in classroom teaching and graduate student mentoring, (3) excellence in extension activities, and (4) record of service to the department, college, university, and profession.
2. Earned a national reputation as an outstanding educator, researcher, or specialist as indicated by continued excellence in all appointment areas and general service. This status can be documented

by indications of national influence such as: professional society responsibilities, national recognitions or awards, invited presentations at national meetings or conferences, requested publications from professionals around the country and internationally.

3. Demonstrated the ability to provide program leadership for areas related to their assigned responsibilities.

5. Professorial Performance Award: Guidelines

Institutional criteria for the award must, at a minimum, include the following

1. The candidate must be a full-time professor and have been in rank at least six years since the last promotion or professorial performance award.
2. The candidate must show evidence of sustained productivity in at least the last six years before the performance review.
3. The candidate's productivity and performance must be of a quality comparable to that which would merit promotion to professor according to the current approved departmental standards;

5.1 Procedures

1. Any Horticulture and Natural Resources full professor who believes they meet the above criteria will inform the department Head that they request a departmental review. This should be done during the annual evaluation following their sixth year after promotion to full professor, or after receiving a professorial performance award.
2. The candidate will assemble a performance award file including Annual Faculty Evaluation Reports for the past six years, a two page summary of accomplishments, and updated CV.
3. The department's full professors will review the above information packet and
- *4. Vote to approve or disapprove the candidate's application packet.
 - A. If the faculty vote carries a two-thirds majority, the packet goes forward to the Dean with a cover (transmittal) letter from the department Head.
 - B. If the candidate fails to achieve the two-thirds faculty approval vote, the packet fails and is not transmitted. There will be no departmental appeal if the vote fails. However, the candidate may submit for the award in subsequent years.

* The candidate can meet with the reviewing faculty to answer questions about the packet. This is done at the request of the candidate.

6. Post-tenure Review Policy

(Approved by Faculty Vote on 4/11/2014)

The purpose of post-tenure review (PTR) at Kansas State University is to enhance the continued professional development of tenured faculty. The process is intended to encourage intellectual vitality and professional proficiency for all members of the faculty throughout their careers, so they may more effectively fulfill the mission of the University. It is also designed to enhance public trust in the University by ensuring that the faculty community undertakes regular and rigorous efforts to hold all of its members accountable for high professional standards.

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

The department policy on PTR follows the overarching purpose, principles, objectives, and procedures in the university policy on PTR (see University Handbook, Appendix W), which was approved by Faculty Senate on February 11, 2014.”

6.1 Procedures

The following procedure will be utilized for the PTR every six years.

1. All tenured faculty members of the university are required to undergo a performance evaluation annually. Faculty undergoing PTR will submit the six previous annual evaluations.
2. The department head will review the submitted material and give feedback to the faculty member. The specific standards for the review are outlined in the Department of Horticulture and Natural Resources Annual Evaluation Guidelines approved May 2019. The PTR will assess the faculty member's strengths and areas for improvement to determine whether he/she is making appropriate contributions to the university or whether additional plans or activities need to be developed.
3. The determination of whether the faculty is making appropriate contributions to the university will be based on the following:
 - a. If all six annual evaluations meet or exceed expectations then the faculty will be deemed to be making significant contributions to the university
 - b. If any of the six annual evaluations do not meet expectations then in concert with the faculty undergoing PTR and the P&T Committee a plan for professional development will be created. This plan will be utilized in future annual evaluations and PTRs to review progress toward any goals set in the plan.
4. The PTR will be conducted for tenured faculty every six years and shall conform to the timeline associated with the annual evaluation review. The six year PTR clock is defined to mean that PTR

will be conducted for all tenured faculty either every six years, or in the sixth year following promotion. The following events will modify or reset the PTR clock:

- Application for promotion to full professor;
- Application for Professorial Performance Award;
- Receipt of a major college, university, national or international award requiring a multi-year portfolio-like documentation, i.e., University Distinguished Professor, University Distinguished Teaching Scholar, or other national/international awards.

The schedule for PTR could be delayed for one year to accommodate sabbatical leave, health issues, or other compelling reasons, provided that both faculty and department head approve the delay.

Exceptions for PTR: If the faculty member has already been identified as not meeting minimum standards according to the policies and department procedures relating to chronic low achievement, that process will be considered to serve in lieu of PTR. Those who have formally announced their retirement through a written letter to the department/unit head, or have begun phased retirement, are exempt from post-tenure review.

7. Annual Evaluation

Annual evaluation of all faculty is conducted by the department head. Typically in January, each faculty member completes an annual evaluation report using the “Annual Faculty Evaluation Report” guidelines (Appendix B). This process is a means by which to provide feedback to the faculty on their performance, and to determine merit raises, when funds for such raises are available.

7.1 Procedures

Levels of accomplishment in each category are evaluated using a rating scale of 0 = Unacceptable to 4 = Exceptional. Ratings are determined subjectively by the Head based on the standards for each criterion, which are listed in the document. Some of the criteria used for evaluation are not applicable for all individuals. Moreover, some criteria may not be applicable for an individual for a specific year, whereas other criteria could receive more emphasis because of year-to-year needs of the department. The department head rates faculty on each applicable criterion and develops an overall rating relative to the appointment for teaching, research, extension, general responsibilities, and directed service activities, as applicable. To accomplish this, the Head uses the “Annual Faculty Evaluation Form” (Appendix C). Based on the overall rating, the faculty member will be judged to have either “Exceeded Expectations”, “Met Expectations”, “Fell Below Expectations, But Met Minimum Level of Productivity”, or “Fell Below Minimum Level of Productivity” (Numerical values associated with each category are shown in the guidelines in Appendix C). The faculty member is given the opportunity to add their own written comments to the evaluation, which is signed by the faculty member and department head, and kept in the faculty member’s permanent file.

Merit raises will be based on average performance evaluations for the most recent three-year period or shorter, depending on length of time in the position. Merit raises will be awarded only in years when funds are available. The dollar amount of the merit raise will be based on the numerical ranking of the faculty member, as determined by their total weighted average in relation to other faculty; higher-rated faculty will receive larger raises.

8. Chronic Low Achievement: Guidelines

In accordance with Section C31.5 of the University Handbook (Chronic Low Achievement), the Department of Horticulture and Natural Resources is required to establish guidelines describing minimum acceptable levels of productivity for tenured faculty members. In the Department of Horticulture and Natural Resources, any tenured faculty member who receives a performance rating of less than 1.0 (on a zero to 4 point scale) in any area of responsibility (teaching, research, extension, or general responsibilities) fails to achieve the minimal acceptable level of productivity and becomes subject to the procedures and criteria in Section C31.5.

8.1 Procedures

When a tenured faculty member's performance first falls below the departmental standards, the Head shall inform the faculty member in writing that his or her evaluation had fallen below minimum levels of productivity. The Head then consults with the Promotion and Tenure Committee and develops a course of action to improve the performance of the faculty member. The Head informs the faculty member in writing of this suggested course of action.

In subsequent annual evaluations, the faculty member will report to the Head on activities designed to improve performance and any evidence of improvement. The Head will communicate this information to the Promotion and Tenure Committee and will consult with the committee before issuing additional evaluations of failing to meet the minimal acceptable level of productivity. If the faculty member has two successive evaluations below the minimal acceptable level of productivity or a total of three evaluations in any five-year period, then a possible "dismissal for cause" will be considered by secret ballot by tenured faculty members holding a rank equal to or higher than the rank of the faculty member in question. The results of the vote will be sent by the Head to the Dean of the College of Agriculture. Further consideration of "dismissal for cause" is at the discretion of the Dean.

Appendix A

Suggested Portfolio Items for Promotion and Tenure Documents

Portfolio items to document achievements in **teaching**:

- Copies of syllabi materials presented to classes
- Classes taught and student enrollment
- Descriptions of changes in course delivery from previous offerings
- Documentation of course improvement, e.g., new materials, laboratory exercises, teaching methods, etc.
- Copies of exams, quizzes, and assignments showing the level of course materials and innovative teaching
- Effective course administration, e.g., maintaining office hours and punctuality in performing teaching-related paper work, such as turning in textbook orders and reporting grades
- Awards or special recognition for teaching
- Student comments or anecdotal feedback showing the impact of the instructional activities on student progress
- Successful direction of individual student work of high quality, e.g., independent studies or special student projects
- Documentation and outcomes from teaching workshops/seminars
- Listing of dissertations, theses, and other evidence of scholarly achievements by students directed by the candidate
- Listing of grants active during the evaluation period, submitted or pending grant proposals to support instructional scholarly activities
- Listing of publications and presentations related to instructions (including peer-reviewed journal articles, books, etc.)
- Publication of textbooks, laboratory manuals, videos, software, etc.
- Curricular development activities
- Peer evaluations of classroom and additional instructional scholarly activities
- Student evaluations of instructional activities, (e.g., TEVALs, IDEA)
- Membership on special bodies concerned with teaching, e.g., accreditation teams and special commissions
- Accomplishments of students in the profession, e.g., obtaining competitive internships and scholarships, job placement
- Other activities and achievements related to instructions

Portfolio items to document quality **advising**:

- Number of undergraduate and graduate students advised
- Copies of advising syllabi and other advising documents
- Listing of participation in local or national advising conferences and seminars
- Listing of publications and presentations on advising
- Advising student organizations
- Advising awards
- Advising survey results

Portfolio items to document achievements in **research**:

- Peer-reviewed publications, quality and quantity
- Books, reviews, articles, monographs, etc.
- Presentation of research papers
- Citations of research in scholarly publications
- Accomplishments of current and former graduate students
- Listing of grants active during the evaluation period, submitted or pending grant proposals to support research
- Notices of recognition or awards for research activities
- Obtaining patents or copyrights, e.g., for processes or instruments or new cultivars

Portfolio items to document achievements in **extension**:

- Description of program impact and outcomes that have measurable differences
- Materials documenting major program initiatives and cooperation in ‘team-oriented’ extension activities
- Listing of communications, news releases, and other media support of extension programming
- Descriptions of unique and traditional extension delivery systems implemented
- Listing of grants active during the evaluation period, submitted or pending grant proposals to support extension activities
- Notices of recognitions or awards for extension activities
- Clientele/stakeholder feedback
- Invitations to participate in program evaluations and in regional, national, and international workshops, conferences, symposia, and meetings
- Other activities and achievements related to extension

ANNUAL FACULTY EVALUATION REPORT
Horticulture and Natural Resources
Kansas State University.

All standards in the following tables are subjective. Levels of accomplishment are determined subjectively by the Head based on consideration of the standards for each criterion. Ratings are based on a scale of 0 = Unacceptable to 4 = Exceptional. Some of the criteria used for evaluation are not applicable for all individuals. Moreover, some criteria may not be applicable for an individual for a specific year, whereas other criteria could receive more emphasis because of year-to-year needs of the department. The department Head rates faculty on each applicable criterion and develops an overall rating relative to the appointment for teaching, research, extension, general responsibilities, and directed service activities, as applicable.

GENERAL RESPONSIBILITIES

GENERAL RESPONSIBILITIES AND SERVICE. (25%)

All faculty should complete G1 to G4

Criteria	Standards (minimum)
<p>(G1) Professional Development *</p>	<ul style="list-style-type: none"> •Attend one appropriate professional meeting every two years or earn recognized CEUs • In addition to the professional meetings specified above, attend and participate in one professional development activity every year (e.g., on-campus seminars, workshops, webinars, or other training)
<p>(G2) Service to professional societies, commodity groups, or other discipline-related organizations and agencies *</p>	<ul style="list-style-type: none"> •Belong and provide service to appropriate professional society(ies) •Provide service for commodity groups or other discipline related organizations and agencies (extension must go beyond normal assignment)
<p>(G3) University/College Service, University and college committees or other working groups *</p>	<ul style="list-style-type: none"> •Service contributions through college and university committees and working groups •Guest lectures outside the department

<p>(G4) Departmental Relations/Service Leadership, collegiality, cooperation, initiative, and mentoring *</p>	<ul style="list-style-type: none"> • Contribute to positive working atmosphere within department • Submit reports requested by departmental leadership in a timely fashion • Provide committee leadership and service when asked • Nominated a colleague for an award • Participate as a team player and support the department by attending departmental meetings and other activities • Mentor junior faculty members as assigned • Guest lectures <i>within</i> the department
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TEACHING (_____ tenths)

T1 is required by all teaching faculty. T5 is required for all faculty with a 0.5 or greater teaching appointment and T6 is required for all teaching faculty with an undergraduate focus.. A minimum of 4 of the 8 criteria must be addressed.

Criteria	Standards
<p>(T1) Student Evaluations *</p>	<ul style="list-style-type: none"> • Provide <i>three-year summary</i> (or less for a new course) of raw TEVAL scores for Amount Learned and Teacher Effectiveness, and/or other appropriate student input as agreed to by the Head. Scores of less than 3.0 in this category indicates that the teaching of the course does not meet the expectations of the department
<p>(T2) Teaching Scholarship (publications, presentations and other scholarly contributions related to teaching)</p>	<ul style="list-style-type: none"> • Publications and presentations that directly concern teaching; examples include journal publications, textbooks, laboratory manuals, book chapters, presentations (poster or oral) at professional meetings, newsletter articles or essays, new software developed, invited guest lectures or teaching seminars given <i>outside</i> of the department
<p>(T3) Extramural funding for teaching</p>	<ul style="list-style-type: none"> • Level of extramural funding for teaching activities. List all <i>efforts</i> at generating teaching program support, including proposals submitted but not funded and solicitations for donations of equipment or course materials
<p>(T4) Contributions to the curriculum and program development</p>	<ul style="list-style-type: none"> • Contributions to overall curriculum by providing innovative curriculum proposals and/or by working on multi-faculty or departmental curriculum planning or evaluation efforts • Assisting colleagues by helping with the labs, field trips, or giving guest lectures <i>within</i> the department

(T5) Teaching improvement*	<ul style="list-style-type: none"> • Participation in workshops or meetings that improve teaching; participation in peer evaluation of teaching; sabbatical leave used for teaching improvement • Self-improvement activities that can be documented such as reading appropriate books, attending off-campus self-improvement seminars and workshops
(T6) Undergraduate advising*	<ul style="list-style-type: none"> • Quantity determined by serving an appropriate number of undergraduate advisees; quality determined by advisee survey or other assessment of students by the Head • Service as faculty advisor to department clubs and other official student organizations • Assistance to students for securing scholarships
(T7) Graduate advising	<ul style="list-style-type: none"> • Quantity determined by the number of graduate advisees; quality determined by the graduate student progress report or other assessment of students by the Head
(T8) Teaching awards and honors	<ul style="list-style-type: none"> • Teaching awards and honors nominated for or received during the evaluation period at the college, university, or national level, including awards received by TA's you have mentored

* These items in bold must be addressed in the self-evaluation report.

RESEARCH (_____ tenths)

A minimum of 4 of 6 criteria must be addressed with R1 and R3 required for research faculty. The faculty can use a rolling 3 year average for peer reviewed publications since publications are not necessarily consistent across years.

Criteria	Standards
(R1) Peer-Reviewed publications*	<ul style="list-style-type: none"> • Quantity and quality of peer reviewed journal articles, books and book chapters. (minimum standard, 2 refereed publications per year per 1.0 FTE) • Publications with multiple authors where the faculty member is not the senior author are encouraged and count towards the required number of publications • Copies of publication cover pages must be submitted to Dept. Head

<p>(R2) Other publications and presentations</p>	<ul style="list-style-type: none"> • List publications in proceedings or edited publications (cite references and AES number), non-refereed and self-published books • List published abstracts (cite references) • List publications of research related information in technical/industry/popular press • List oral and poster presentations • Digital media applications
<p>(R3) Generation of program support*</p>	<ul style="list-style-type: none"> • Grants and requests for financial support [indicate source, amount, general nature of grant, and status (funded, not funded, in review, continuing)] • Examples of non-monetary (in-kind) program support (indicate products/supplies/services donated, estimated value, and general use areas intended) • Externally funded student scholarships and support (assistantships and fellowships) for research
<p>(R4) Graduate research advising*</p>	<ul style="list-style-type: none"> • Quantity determined by the number of graduate committees as advisor and number of graduate committees as committee member or external chair • Quality determined by the graduate student progress report or other assessment of students by the Head
<p>(R5) Collaborative efforts in accomplishing research</p>	<ul style="list-style-type: none"> • Collaboration with researchers outside the department or within the department • Visiting scientists and post-doctorates • Sabbatical research
<p>(R6) Research awards and honors</p>	<ul style="list-style-type: none"> • Research awards and honors nominated for or received during the evaluation period at the college, university, national, or international level, including awards received by students you advise

* These items in bold must be addressed in the self-evaluation report.

EXTENSION (tenths _____)

A minimum of 6 of the 9 criteria must be addressed with E1, E2, E3, E4, and E6 required for inclusion in this assessment.

Criteria	Standards
(E1) Extension program development, effectiveness and effort*	<ul style="list-style-type: none"> • Focus of extension program relative to position responsibilities and clientele needs, in sufficient detail to describe the breadth of your program • Level of effort in attaining extension goals • Must have individual or group plan of work on a yearly basis that is complete and up-to-date
(E2) Program implementation*	<ul style="list-style-type: none"> • Quantity determined by number of meetings, tours, educational events, demonstrations, etc. • Quality determined by the overall impact of the program as evaluated through visits by the head and assistance provided to stakeholders.
(E3) Extension educational materials*	<ul style="list-style-type: none"> • Quantity and quality of extension educational material prepared (journal articles, website development, bulletins, fact sheets, software, news releases, radio programs, digital and other outreach products • Co-authored materials are considered for each author
(E4) Peer and clientele evaluations*	<ul style="list-style-type: none"> • Departmental evaluation survey sent to agents and other stakeholders (ie. Qualtrics). <p>Specialists should use formal evaluation documentation for meetings, events and programs whenever possible</p>
(E5) Teamwork, clientele relationships	<ul style="list-style-type: none"> • Level of intra- and interdepartmental work • Level of involvement with stakeholders. • Accessibility (prompt response) • Collaboration with industry and other clientele groups related to subject matter responsibilities
(E6) Extramural funding*	<ul style="list-style-type: none"> • Level of extramural funding for extension activities • Proposals submitted but not funded. Includes other means of generating program support including commodity group support, in-kind donations and supplies, educational material support, and other means of revenue generation

<p>(E7) Extension improvement</p>	<ul style="list-style-type: none"> • Participation in retreats, professional meetings, workshops, etc. that enhance professional improvement for extension • Self-improvement activities that can be documented • Sabbatical leave used for extension improvement or development of new educational materials
<p>(E8) Proceedings, abstracts, invited presentations</p>	<ul style="list-style-type: none"> • Quantity and quality of proceedings, abstracts, and/or invited presentations
<p>(E9) Extension awards and honors</p>	<ul style="list-style-type: none"> • Extension awards and honors nominated for or received during the evaluation period at the college, university, or national level, including awards received by students you mentor

* These items in bold must be addressed in the self-evaluation report.

DIRECTED SERVICE (_____ tenths)

Portions of time for annual evaluation assigned by Department Head for specific responsibilities and activities. Examples include: Teaching Program Coordinator, State Extension Leader, Graduate Program Director and others such as chair of Task Force or committee which required more than the typical time commitment.

Criteria	Standards
<p>(D1) Significant Accomplishments</p>	<ul style="list-style-type: none"> • List responsibilities during current year; include comments on achievements and roadblocks to achievements.

CENTER DIRECTOR (_____ tenths)

This category is only for those faculty who have responsibility in overseeing operation of one of the research centers within HNR: John C. Pair Center; Olathe Research and Extension Center; Geyer Forestry Center; Rocky Ford Turfgrass Research Center, and Willow Lake Student Farm.

Criteria	Standards
(CD1) Personnel Management	<ul style="list-style-type: none"> • Number of staff managed • Quality of management (e.g., Are performance evaluations done on time? Are mid-year coaching sessions employed)?
(CD2) Physical Resource Management	<ul style="list-style-type: none"> • Effort in infrastructure maintenance • Effort in infrastructure improvement
(CD3) Public Relations	<ul style="list-style-type: none"> • Field Days and related activities • Other examples of efforts in public relations
(CD4) Funding	<ul style="list-style-type: none"> • Gifts and others forms of financial support pursued and received in support of the Center • Examples of non-monetary (in-kind) program support (indicate products/supplies/services donated, estimated value, and general use areas intended)
(CD5)	<ul style="list-style-type: none"> • Facilitation and involvement in collaborative work with intra- and extra- departmental cooperators

Appendix C

ANNUAL FACULTY EVALUATION FORM
Department of Horticulture and Natural Resources
Kansas State University

Revision: May 2019

FACULTY EVALUATION
DEPARTMENT OF HORTICULTURE AND NATURAL RESOURCES

Year: _____ (January-December)

Name _____ Rank: _____

Appointment¹: _____ Teaching _____ Research _____ Extension _____ Directed Service _____
 (Assigned tenths= 1.0)

GENERAL RESPONSIBILITIES AND SERVICE (25%)
 All criteria must be addressed

1. **Professional development**

2. **Service to professional societies, commodity groups or other discipline-related organization and agencies**

3. **University/College Service, University and college committees or other working groups.**

4. **Departmental Relations/Service: Leadership, collegiality, cooperation, initiative and mentoring**

	4 Exceptional	3 Exceeded Expectations	2 Met Expectations	1 Fell Below Expectations, But Met Minimum level of productivity (needs improvement)	0 Unacceptable	NA Not applicable
1. Professional development						
2. Service to professional societies, commodity groups or other discipline-related organization and agencies						
3. University/College Service, University and college committees or other working groups.						
4. Departmental Relations/Service: Leadership, collegiality, cooperation, initiative and mentoring						

Weighted Average For Category:

TEACHING (_____ Tenths x 75%)
 T1 is required by all teaching faculty. T5 is required for faculty with a .5 or greater teaching appointment. T6 is required for all teaching faculty with an undergraduate focus. A minimum of 4 of the 8 criteria must be addressed.

1. **Student evaluations***
2. Teaching Scholarship (publications, presentations, and other scholarly contributions related to teaching)
3. Extramural funding for teaching
4. Contributions to the curriculum and program development
5. **Teaching improvement***
6. **Undergraduate advising***
7. Graduate advising
8. Teaching awards and honors

	4 Exceptional	3 Exceeded Expectations	2 Met Expectations	1 Fell Below Expectations, But Met Minimum level of productivity (needs improvement)	0 Unacceptable	NA Not applicable

Weighted Average For Category:

RESEARCH (_____ Tenths x 75%)
 A minimum of 4 of 6 criteria must be addressed with R1 and R3 required for research faculty. R4 is required for those faculty associated with the HNR graduate program. The faculty can use a rolling 3 year average for publications since publications are not necessarily consistent across years.

1. **Peer-Reviewed Publications***
2. Other publications & presentations
3. **Generation of program support***
4. Graduate research advising
5. Collaborative efforts in accomplishing research
6. Research awards and honors

	4 Exceptional	3 Exceeded Expectations	2 Met Expectations	1 Fell Below Expectations, But Met Minimum level of productivity (needs improvement)	0 Unacceptable	NA Not applicable

Weighted Average For Category:

EXTENSION (_____ Tenths x 75%) A minimum of 6 of the 9 criteria must be addressed with E1, E2, E3, E4 and E6 required for inclusion in this assessment.	4 Exceptional	3 Exceeded Expectations	2 Met Expectations	1 Fell Below Expectations, But Met Minimum level of productivity (needs improvement)	0 Unacceptable	NA Not applicable
1. Extension program development, effectiveness and effort*						
2. Program implementation*						
3. Extension educational materials*						
4. Peer and clientele evaluations*						
5. Teamwork, clientele relationships						
6. Extramural funding*						
7. Extension improvement						
8. Proceedings, abstracts, invited presentations						
9. Extension awards and honors						

Weighted Average For Category:

DIRECTED SERVICE (_____ Tenths x 75%) Portions of time for annual evaluation assigned by Department Head for specific responsibilities and activities. Examples include: Teaching Program Coordinator, State Extension Leader, Assistant Department head, Graduate Program Director and other such as chair of Task Force or committee which required more than the typical time commitment.	4 Exceptional	3 Exceeded Expectations	2 Met Expectations	1 Fell Below Expectations, But Met Minimum level of productivity (needs improvement)	0 Unacceptable	NA Not applicable
1. Significant Accomplishments						

Weighted Average For Category:

CENTER DIRECTOR

(_____ tenths x 75%)

This category is only for those faculty who have responsibility in overseeing operation of one of the research centers within HNR: John C. Pair Center; Olathe Research Extension Center; Geyer Forestry Center; Rocky Ford Turfgrass Center, and Willow Lake Student Farm.

- 1. Personnel management
- 2. Physical Resources management
- 3. Public Relations
- 4. Funding
- 5. Collaboration and cooperation

4 Exceptional	3 Exceeded Expectations	2 Met Expectations	1 Fell Below Expectations, But Met Minimum level of productivity (needs improvement)	0 Unacceptable	NA Not applicable

TOTAL WEIGHTED AVERAGE

<input type="checkbox"/> Exceeded Expectations, mean ≥ 2.5
<input type="checkbox"/> Met Expectations mean < 2.5 but ≥ 1.5
<input type="checkbox"/> Fell Below Expectations, But Met Minimum Level of Productivity (needs improvement) mean < 1.5 but ≥ 1.0
<input type="checkbox"/> Fell Below Minimum Level of Productivity mean < 1.0

¹Must be agreed upon with supervisor prior to the evaluation period or during the year.
 * = Category must be included in assessment.
 NA = Not Applicable. This should be used when the item is not part of the normal job responsibilities.

A weighted average less than 2 in any category indicates that the faculty member is not meeting satisfactory job performance and needs improvement. A weighted average of less than 1.0 is unacceptable.

Supervisor's Observations on General Strengths of Faculty Member:

Areas that Need Improvement:

Comments by Faculty Member:

This report has been reviewed and discussed:

_____ Faculty Member

_____ Department Head

_____ Date