

Sociology, Anthropology, and Social Work  
**Department**

Arts and Sciences  
**College**

**Policy Statement Concerning:**

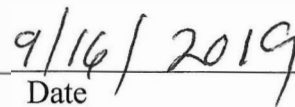
**Personnel Review and Evaluation Standards/Procedures**

- **Performance Evaluation Criteria**
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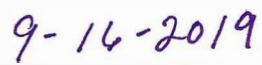
Approved by Faculty Vote on (September 6, 2019)

**NEXT REVIEW DATE: 2024**

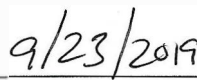
  
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Department Head's Signature

  
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Provost's Signature

  
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**DEPARTMENT OF SOCIOLOGY, ANTHROPOLOGY, AND SOCIAL WORK**

**ANNUAL EVALUATION GUIDELINES**

(Approved by Faculty Vote on 9-6-2019)

**CHRONIC LOW ACHIEVEMENT PROCEDURES**

(Approved by Faculty Vote 9-6-2019 )

**PROMOTION AND TENURE GUIDELINES**

(Approved by Faculty Vote on 9-6-2019)

REVIEW DATE FOR ANNUAL EVALUATION GUIDELINES \*(WHICH INCLUDES THE CHRONIC LOW ACHIEVEMENT STATEMENT): September 2024

REVIEW DATE FOR PROMOTION AND TENURE GUIDELINES\*: September 2024

Don L Kurtz, Department Head

Date signed: 9-9-2019

Amit Chakrabarti, Dean

Date signed:

Charles Taber, 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.

## **INTRODUCTION**

The mission of the Department of Sociology, Anthropology, and Social Work is to provide instruction, research, and service in the fields of sociology, anthropology and social work. The department should facilitate and encourage all faculty members (including tenured, tenure-track and non-tenure track faculty) to participate in a broad spectrum of professional activities in accordance with this mission. Faculty members in the department are expected to provide effective teaching, maintain an “active” research and creative activities agenda, realize significant achievement in research and creative activities, and provide competent service to their respective program, college, university and profession (these terms are defined below in Section II.C.2).

In addition to these standards and in accordance with the University Handbook Section C 46.1, “reviews of faculty and other unclassified employees will include consideration of overall contribution or detriment to the department/unit, which includes citizenship and other personal conduct affecting the workplace. Faculty and other unclassified employees are expected to have cooperative interactions with colleagues, show civility and respect to others with whom they work and interact, show respect for the opinions of others in the exchange of ideas, and demonstrate a willingness to follow appropriate directives from supervisors.”

This document outlines the policies and procedures of the department for the annual evaluation of faculty performance, salary adjustments based on merit, decisions concerning faculty reappointment, mid-probationary review, tenure and promotion, post tenure review, the Professorial Performance Award, and decisions concerning chronic low achievement. This document serves as a supplement to the policies and procedures stated in the *Kansas State University Handbook* (Sections C and D; Appendices A, C, and Q; and other related sections).

### **I. ANNUAL EVALUATIONS**

(Includes Professorial Performance Award and Chronic Low Achievement)

#### **I.A. Evaluations for Annual Performance and Merit Increases**

##### **1. Procedures/Guidelines**

The following procedures adhere to the provisions in Sections C40 – C48.3 of the *University Handbook*.

(1) During the fall semester, faculty members with a formal assignment of five-tenths or more will provide the Department Head with an activity report summarizing their professional responsibilities and accomplishments during the prior academic year (fall, spring, and summer). Specifically, these activity reports should include documentation of the faculty members' performance in the categories of teaching, research, and service during the evaluation period. For non-tenure track instructors, evaluations will be based primarily on the teaching category (or other categories specified in the individual's contract).

Faculty members may attach relevant supporting material to the report, including such things as article reprints, acceptance letters, teaching materials and evaluations, professional development activities, and other documentation of their activities and accomplishments.

(2) As a part of the activity report (see Appendix 1) each faculty member should also identify his or her expected activities and goals for the coming year. These goals should include the specific weights that the faculty member wishes to assign to each performance area. The goals are included to be performance targets for the coming year and should not be confused with performance expectations. The goal-setting process is designed to provide the Department Head with information about expected activities of the faculty member in the upcoming year.

(3) These activity reports and supporting materials will be reviewed by a committee of the faculty selected by the Department Head. The committee will be made up of tenured and tenure-track faculty distributed as follows: 2 from Social Work, 2 from Anthropology, and 3 from Sociology. This committee will make a recommendation to the Department Head as to the performance rating of each tenured or tenure track department faculty member in the areas of teaching, research, and service.

(4) Taking into account the recommended performance rating, the Department Head will prepare a preliminary written evaluation of each faculty member. The preliminary evaluation will describe the overall performance of the faculty member and will note specific strengths or weaknesses within each category of evaluation.

(5) The Department Head will schedule a meeting with each faculty member to discuss his or her evaluation of the individual's performance. At this meeting, the faculty members will have the opportunity to provide his or her input regarding the preliminary performance evaluation. At this meeting, the Department Head should also discuss the faculty member's goals for the upcoming year. This discussion should focus on how the individual's goals fit within the needs and requirements of the department, how the goals compare to department performance expectations, and what the department can do to help the faculty member accomplish his or her goals.

(6) The Department Head will write a final performance evaluation of each faculty member taking into account the faculty member's input. The faculty member and Department Head will each sign the final evaluation, which will then be forwarded to the Dean of the College of Arts & Sciences as the basis for any merit salary increase. If the faculty member disagrees with the evaluation he or she receives, the faculty member may request a meeting with the Dean to resolve the disagreement.

## **2. Criteria and Standards**

### **(1) Assignment of Weights to Each Performance Category**

In the activity report, each faculty member shall outline goals and assign weights to each performance category for the upcoming year. The most common assignment allocations for each discipline are as follows:

<b>Discipline</b>	<b>Teaching</b>	<b>Research</b>	<b>Service</b>
Sociology	45	45	10
Anthropology	50	40	10
Social Work	50	30	20

While uncommon, faculty members do have the opportunity to request different allocations, typically effective from the next academic year. This process acknowledges that the roles and responsibilities of faculty members in the department may be different, and such differences should be reflected in the

evaluation process. In particular, there may be differences based upon the faculty member's rank. The sum of weights for each faculty member must add up to 100%.

For faculty teaching a nonstandard load (as determined by the program within the department), the teaching percentage is 10-15% per course (e.g., 20-30% for someone teaching a two-course per year load). In such instances, there will be a corresponding increase in the research and/or service percentage, and a higher level of performance is expected for that category. In such instances, the goals established early in the year will be an important vehicle for reaching an agreement with the Department Head on how standards (percentages) will be adjusted for these unique cases.

These percentages are formally established during the annual evaluation process. If circumstances change later in the year (e.g. significant unforeseen service, course development, etc.), then it is necessary for the faculty member to communicate these changed circumstances to the Department Head. If the Department Head agrees, then the initial percentages may be adjusted by mutual agreement at the time the opportunity arises.

It is understood that the primary activity of non-tenure track instructors is teaching. As such, the weights for each full-time instructor should be negotiated with the Department Head. In addition, the Department Head should acknowledge instructors' performance of service or research activities. Specifically, for meritorious contributions in service or research, the Department Head has the discretion to increase the performance appraisal of the instructor.

**(2) Numerical Rating Scale and Merit Salary Adjustments**

The Department will use a numerical scale for assessing performance within the categories of teaching, research, and service. In each category, the faculty member will be evaluated on a 0 to 3 scale. The numerical value assigned will indicate the following general levels of performance:

3 = Exceeds expectations

2 = Meets expectations

1 = Fails to meet expectations (i.e., needs improvement)

0 = Fails to meet expectations by a significant degree (i.e., unsatisfactory)

Performance "expectations" are independent of individual faculty member's goals. Performance expectations are based on the criteria presented in the promotion section of this document.

The following table may be used for summary purposes:

	Rating	Weight	Rating × Weight
Teaching			
Research			
Service			
Weighted Average Performance Score:			

The merit increase recommendation from the Department Head will be based on the weighted average performance score (from the above table), averaged over a 5 year period. Faculty who have not yet

reached 5 years of service will have their performance averaged over their entire length of service. If no merit raises are given for longer than 5 years, an average may be taken for a longer period.

Merit increases for first-year appointees follow special rules indicated in C43 of the University Handbook.

## **II. DECISIONS CONCERNING REAPPOINTMENT, MID-PROBATIONARY REVIEW, PROMOTION, TENURE, PROFESSORIAL PERFORMANCE AWARDS & CHRONIC LOW ACHIEVEMENT**

General university-wide guidelines for the promotion and tenure process are provided in Sections C70-C158.3 of the *University Handbook*. This section provides additional guidelines and criteria to facilitate these procedures within the department. This section also provides guidelines for decisions regarding mid-probationary review and reappointment.

### **II.A. Reappointment**

Reappointment is the process of extending a tenure-track (but untenured) faculty member's contract. It involves an evaluation process carried out by the Department Head and tenured faculty. See Sections C50.1-C56 and Section C162.3 of the *University Handbook* for the specific procedures related to reappointment. (See Sections C60-C66 of the *University Handbook* for procedures related to non-tenure track instructors.) The criteria for reappointment of untenured faculty members and non-tenure track instructors should be consistent with the criteria associated with annual evaluation. This is an important opportunity for senior faculty to become familiar with the feedback provided to junior faculty candidates by the Department Head concerning their progress. Differences of opinion can be discussed and, hopefully, resolved at this point rather than coming up for the first time in promotion and tenure meetings.

### **II.B. Mid-Probationary Review**

#### **1. Procedures/Guidelines**

The following procedures adhere to the provisions of Sections C92.1-C92.4 of the *University Handbook*.

(1) Unless otherwise stated in the candidate's contract, the mid-probationary review is to occur during the third year of appointment. The department will conduct the mid-probationary review as an aspect of its reappointment decision for that year. In accordance with the *University Handbook*, the mid-probationary review is intended to provide the faculty member with substantive feedback regarding his or her accomplishments relative to the department's tenure criteria. A positive mid-probationary review does not ensure that tenure will be granted in the future. Likewise, a negative review does not necessarily mean that tenure will be denied.

(2) The Department Head will notify the candidate for reappointment of the date by which he or she should submit documentation of his or her professional achievements during the evaluation period. The documentation provided should be similar to that provided for tenure and/or promotion decisions.

(3) The Department Head will make the candidate's file available to all tenured faculty members for review. Prior to the vote any member of the tenured faculty may request that the candidate meet with the tenured faculty to discuss, for purposes of clarification, the evidence of achievement submitted by the candidate.

(4) The Department Head will call a meeting of tenured faculty for the purpose of discussing and voting on whether the candidate has made acceptable progress towards tenure. The vote on any candidate shall be taken by secret ballot. Faculty unable to attend may request an absentee ballot or assign a proxy. In either case, faculty must notify the Department Head of their absence.

(5) The Department Head will report the vote of the tenured faculty to the candidate and explain in general terms both the major points under discussion and any matters the faculty want forwarded to the candidate.

(6) On or before the date specified by the Dean of the College of Arts & Sciences, the Department Head will present to the Dean the standard materials that accompany a reappointment decision, plus the substantive input of tenured faculty as regards the candidate's promise for tenure. The candidate's mid-probationary review file and the department's criteria standards will be forwarded to the college advisory committee. Once the college advisory committee has made its recommendation, the Dean will provide a letter of assessment to the candidate. In cases where the mid-probationary review is unfavorable and a decision not to reappoint the candidate is made, the faculty member must be informed in writing of a decision not to renew his or her appointment in accordance with the "Standards of Notice of Non-Reappointment," Appendix A in the *University Handbook*.

## **2. Criteria/ Standards**

The criteria for evaluation in the mid-probationary review are the same as those assessed in tenure and/or promotion decisions. Taking all relevant factors into consideration, an assessment should be made as to whether the candidate has made acceptable progress towards tenure and the likelihood that the candidate will be able to accomplish enough to secure tenure within the timeframe specified in his or her contract. In addition to published works, candidates are encouraged to report all relevant efforts including work-in-process and currently unfunded grant proposals.

## **II.C Promotion from Assistant Professor to Associate Professor with Tenure**

### **1. Procedures/Guidelines**

(1) Following an appropriate probationary period (as discussed in Section C73 of the *University Handbook*), and post mid-tenure review, an assistant professor who has met or exceeded departmental expectation for tenure, and whose annual evaluations in the areas of teaching, research, and service meet or exceed department expectations, may be invited by the Department Head or may choose to submit a portfolio providing evidence of appropriate contribution to merit tenure and promotion. The Department Head will make this invitation and provide a due date for the portfolio. The candidate will be notified of the time table for this process by the Department Head.

(2) On or before the specified date, the candidate will provide a portfolio consisting of the standard documentation required for the promotion and tenure decision. The candidate should also consult tenured faculty and the Department Head to determine what to include in the portfolio. A candidate should be encouraged to review previous tenure portfolios on file.

(3) The candidate's materials will be made available to all tenured faculty members for review by a date specified by the Department Head. A specific completion date for this activity will be provided by the

Department Head. If desired, any member of the tenured faculty may request a meeting with the candidate to clarify the evidence of achievement submitted by the candidate.

(4) Consistent with Sections C36.1 and C112.2 of the *University Handbook*, outside reviewers will be asked to evaluate the candidate's package. An equal number of outside reviewers will be selected by the candidate and the Department Head. These reviewers must be tenured and may not be co-authors, major professor or graduate school classmates of the candidate, and are otherwise expected to render an objective assessment of the candidate's preparation for accession to tenure. A minimum of three outside reviews will be included in the candidate's packet.

(5) The Department Head will schedule a meeting of tenured faculty members to discuss and vote on the candidate's application for promotion and tenure. The vote on any candidate shall be taken by secret ballot. Tenured faculty members who are unable to attend may request an absentee ballot.

(6) The Department Head will forward a written recommendation to the Dean, accompanied by an explanation of her or his judgment. All recommendations and unedited written comments of the department's tenured faculty members and the candidate's complete file will also be forwarded to the Dean. A copy of the Department Head's written recommendation alone will be forwarded to the candidate.

(7) The remaining steps in the tenure process occur outside the Department of SASW and are discussed in Sections C113-C115 of the *University Handbook*.

## **2. Criteria/Standards**

### **(1) Teaching**

The component of the portfolio dealing with teaching should provide evidence that the candidate has attained a sufficient level of teaching proficiency within the area of his or her appointment. Evidence of this proficiency may be obtained from student evaluations, written student comments, correspondence from graduated students, peer evaluations, course syllabi, instructional material developed by the individual, and other items intended to increase students' understanding of present discipline related practice.

Student evaluations (TEVAL) or other reliable instrument agreed upon by the faculty should be submitted with student comments for each course that has been taught. In general, faculty are expected to achieve an average TEVAL score in the medium category or above for all classes taught during the period of evaluation as part of their regular teaching assignment. However, as noted in the *University Handbook* C34.2, student ratings should never be the only source of information about teaching effectiveness.

In accordance with *University Handbook* C34.2, faculty should submit course materials such as syllabi, reading lists, assignments, examinations, and/or any other relevant materials that may be presented and evaluated as a portfolio. They may also invite a suitable peer to evaluate their entire range of teaching activities and submit a letter to the evaluation committee summarizing their findings. This evaluation may include class visits, a review of syllabi and assignments, examination of course evaluations, a focus group with students, and/or a review of student work.



Effectiveness can also be demonstrated by receipt of a university teaching award during the period under review. Realizing the limitations of TEVAL scores and differences between classes, the department will also consider a TEVAL average below the medium category as meeting expectations if the candidates can effectively demonstrate one or more of the following: their teaching assignments includes classes with low levels of student interest and/or effort; unusual circumstances in one or more classes taught during the period of evaluation; they have developed course methods and assignments in an effort to increase student engagement and learning in those classes.

Sociology faculty members are expected to work with graduate students. Advising and service on graduate student committees in this and other departments will be considered as part of their teaching load. The department must consider this when evaluating teaching effectiveness.

Faculty in anthropology and social work are expected to work with students outside of class; advising is regarded as part of their teaching assignment. Student advising evaluations should be gathered and submitted for consideration by the evaluation committee.

## **(2) Research and Creative Activities**

The component of the portfolio dealing with research activities should provide solid evidence that the candidate has the potential of acquiring national relevance within an area related to his or her field of appointment. The primary evidence for this potential should be reflected in a well-defined research and creative activities path, high-quality publications, and other creative activities showing progress along this path. The candidate needs to show evidence that he or she is able to independently lead a research and creative activities effort (e.g., produce single-authored or first-authored works). Both quantity and quality will be assessed. The Department Head and tenured faculty members should hold regular discussions with junior faculty members to explain and clarify research and creative activities expectations. Quality of research and creative activities may be evaluated using national ranking reports, national recognition of scholarship, citation counts, research awards, tenured faculty opinions of research significance, impact on public discourse, adoption and use of ideas and innovations, and other criteria. Research and creative activity conducted prior to the individual's appointment at K-State may be considered.

### Program Research and Creative Activities Standards

1. Social Work. Faculty in social work are expected to emphasize teaching and preparing students for professional practice, and have less time assigned to research. Significant achievement in research can be demonstrated by publishing a minimum of four articles in quality refereed journals, OR the equivalent (4 articles = 1 book = 2 edited collections), or comparable accomplishments as determined by the department.

2. Anthropology. Significant achievement in research can be demonstrated by publishing a minimum of five articles in quality refereed journals OR the equivalent (4 articles = 1 book = 2 edited collections), OR comparable accomplishments as determined by the department. As an undergraduate program with the mission of serving students and the public, the anthropology program values contributions to anthropology education and public discourse.

3. Sociology. Faculty in sociology are expected to do more research and less teaching than anthropology and social work. Significant achievement in research can be demonstrated by publishing a minimum of

six articles in quality refereed journals OR the equivalent (4 articles = 1 book = 2 edited collections), OR comparable accomplishments as determined by the department. At least 2 articles need to be single-authored or first-authored works.

Competitive, peer-reviewed grants from private foundations or government funding sources may also be used to demonstrate significant achievement. Although the department must consider research proposals and funded research as evidence of achievement, the department will consider the candidate's role in preparing the grant application and in conducting the research project, the amount awarded, the duration of the grant, and the funding source (external or internal). As one example, the award of a substantial, competitive, peer-reviewed grant from an extramural funding source (government agency or program-relevant foundation) that lists the candidate as a principal investigator or project director, may be considered equivalent to one peer-reviewed journal article. The equivalency of other grants and contracts will be determined by the Department Head and the Evaluation Committee.

Scholarship of teaching and learning such as peer-reviewed published articles, published course materials, and other contributions will also be considered as evidence of scholarly research and creativity.

Candidates who have less than the minimum number of publications or equivalent may still be considered as having demonstrated "significant achievement" if they can demonstrate their work makes a "serious, significant, and important" contribution to their field or on behalf of their field. (For example, publishing work in the premier journals or university presses would be considered as evidence of such a contribution.)

The candidate may apply to have other materials—trade books, technical or government reports, grant proposals, or scholarly research presented in other formats (book chapters, encyclopedia entries, films, works of fiction, videos, museum exhibitions, institutional programs, websites, and other electronic publications) considered as evidence of scholarly research and creative activity. Some forms of community outreach may also count as research if adequately justified as such. Whether or not such materials should be considered as equivalent to a peer-reviewed article or book, etc. is not to be judged simply on difficulty of publishing but also on the effort involved and the importance and impact of the contribution as it relates to the mission and vision of the particular program. The decision as to whether work presented in other venues provides evidence of significant achievement and, if so, at what level, is left to the Department Head in consultation with tenured faculty who may discuss the matter during reappointment proceedings. Information relevant to evaluating non-standard products should be provided by the faculty member being considered for promotion.

*Research Collaboration.* Scholarship depends on collaboration with contemporaries and intellectual engagement with predecessors in the field. The department therefore encourages collaborative research and co-authored publication. While the department values collaboration, it also wants to see evidence of scholarly independence—of sole authorship or senior (first) author or principal investigator—in at least some of the candidate's portfolio. The amount and effort and involvement in co-authored works will be considered by the Department Head and the Evaluation Committee when evaluating the value of collaborative works. For example, joint authorship involving 50 percent of the candidate's contribution or more will be given the same weight as a single-authored publication. The weight of joint projects with more than two authors will be determined by the Department Head and

the Evaluation Committee. Candidates will provide accounts of their contribution to joint projects in their application for promotion.

*Active Research Agenda.* The department is not obligated to promote any tenure candidates who show little or no promise of future scholarly production. In addition to meeting the standards set for research, teaching, service, and peer recognition, the candidate must also provide evidence of ongoing research activity. An active research agenda can be demonstrated by submitting grants to fund future research, securing contracts to conduct research or write books, collecting data, or conducting field work. Evidence of these and of manuscripts in production should reveal a researcher's "pipeline" towards future production. The candidate may submit other material to demonstrate an active research agenda to the department to be considered as part of the annual review or promotion and tenure process.

### **(3) Service**

Service refers to all other activities (outside of teaching and research) that contribute to the mission of the department, college, university, profession, and community. The component of the portfolio dealing with service and professional activity should provide evidence that the candidate is a conscientious member of department and/or college committees. In addition, the candidate should have demonstrated that he or she has the potential to provide university-wide and national service within an area related to his or her appointment.

Competent service to the university and the profession can be demonstrated by active and ongoing service on and contribution to a program's administration, department and university committees, non-profit and other public organizations, government agencies, and professional organizations in the candidate's field. The candidate may submit other materials to the department to consider as evidence of competent service.

### **(4) Early Promotion to Tenure**

In accordance with the University Handbook Section C82.4, "Faculty members on probationary appointments who have met the criteria and standards for tenure prior to the above maximum times may be granted early tenure." Candidates may fulfill the requirements for early tenure and promotion by including scholarship produced *prior* to their tenure-track appointment in the department. The overall body of work must demonstrate significant achievement in independent scholarship through high quality single- or first-authored works. Therefore, publications prior to receiving the doctoral degree that may have been highly influenced by a major professor might not be considered. The time frame of prior work that may be applied toward meeting tenure and promotion requirements is limited by the number of years under the tenure clock that a candidate completes during the probationary period at Kansas State University. For example, if a candidate wants to apply for early tenure and promotion in the fourth year of the probationary period, then prior work may be applied toward tenure only if it was produced during the two years immediately prior to the candidate's tenure track appointment in the department. Thus, only consecutive years of prior scholarship may be applied toward early tenure and promotion. Further, the number of consecutive years of prior scholarship that may be applied toward early tenure and promotion is equal to six years minus the number of years completed under the tenure clock at Kansas State University.

Candidates must discuss their intentions for early tenure with the Department Head during their annual evaluation meeting (see Section I.A.1 (5) prior to the year when they wish to be considered for tenure. Candidates will then follow the normal procedure for applying for tenure and promotion as specified in Section II.C or II.D of this document.

## **II.D Promotion from Associate Professor to Full Professor**

### **1. Procedures/Guidelines**

(1) Consistent with Section C140, associate professors who have demonstrated superior professional accomplishment and excellence in the performance of their assigned duties. (See *University Handbook* Sections C150, C151, and C152.2.)

(2) On or before the specified date, the candidate will provide a portfolio of materials providing evidence to support his or her promotion from associate professor to full professor. The information provided should include the standard forms used for promotion decisions and other material as specified in the *University Handbook*.

(3) The candidate's materials will be made available to all tenured full professors in the department. A specific completion date for this activity will be provided by the Department Head. If desired, any tenured full professor may request a meeting with the candidate to clarify the evidence of achievement submitted by the candidate.

(4) Those seeking promotions to full professor must have their research reviewed by no less than three external reviewers. The candidate must submit a research portfolio that will be used for external review.

(5) During the fall semester, the Department Head will schedule a meeting of all tenured full professors to discuss and vote on the candidate's application for promotion. The vote on any candidate shall be taken by secret ballot. Tenured full professors who are unable to attend may request an absentee ballot from the Department Head. In the event that there are no full professors on the department faculty in the candidate's discipline or fewer than three full professors on the department's faculty, the committee membership may be supplemented by tenured full professors from the department's list of affiliated faculty members, or from the list of tenured full professors in the university in related disciplines. Such *ex officio* members of the review committee are selected by the Department Head.

(6) The Department Head will forward a written recommendation to the Dean, accompanied by an explanation of her or his judgment. All recommendations and unedited written comments of the department's tenured full professors and the candidate's complete file will also be forwarded to the Dean. A copy of the Department Head's written recommendation alone will be forwarded to the candidate.

(7) The remaining steps in the promotion process occur outside the Department of SASW and are discussed in Sections C153.1-155 of the *University Handbook*.

### **(1) Teaching**

The component of the portfolio dealing with teaching should provide evidence of continued teaching excellence and development. This level will be reflected in teaching evaluations, course syllabi and other

instructional materials, teaching awards and other recognition of teaching excellence, and other instructional activity.

## **(2) Research and Creative Activities**

The component of the portfolio dealing with research and creative activities should demonstrate that the candidate has achieved national or international relevance within an area related to his or her field of appointment and that the candidate has assumed a leadership role in significant research activities.

National or international relevance in research and creative activities may be demonstrated by published articles in peer-reviewed journals and their equivalents (see section II.C.2.(2), paragraph 8), securing competitive grants from private foundations or government agencies and/or producing reports, posters, data, and other products of grant-funded research. National or international relevance may also be achieved, in part, by engaging in significant scholarly activities in diverse formats and settings. In addition, invited articles, research awards at the national or international level, professional recognition of scholarship, fellowships awarded from external entities, invitations to reprint articles, citation lists, and other scholarly activity may be considered as evidence of national or international relevance in research and creative activities.

In general, single-authored or first-authored works are strong evidence of the ability to lead research efforts, however, evidence of expanding into new research areas through collaboration with experts in other fields and areas will also serve as strong evidence of the ability to expand and grow research potential.

The primary consideration shall be evidence of activity since the most recent promotion. The candidate must demonstrate a pattern of productivity (both quantity and quality) that is at a minimum consistent with the department's expectations imposed for the associate professor promotion over 6 of the previous 7 years prior to the application. In accordance with the University Handbook Section C131, there is no explicit time in rank required for promotion. Promotion may be granted earlier when the faculty member's cumulative performance at rank clearly meets the standards for promotion.

Those seeking promotions to full professor must have their research reviewed by at least three external reviewers. The Department Head will inform the candidate when submission is required of a research portfolio that will be used for external evaluation. Additionally, the candidate is required to identify at least two external reviewers who are in a position to assess the impact of his or her research. The Department Head is required to use at least one of these referees in the external review process. The Department Head must also independently identify and solicit feedback from at least one additional external referee. At a minimum, external reviews will be requested from three reviewers that are in a position to evaluate the candidate's research record of accomplishment. Three of these reviewers must be tenured full professors and may not be co-authors, major professor, or graduate school classmates of the candidate. Candidates may choose to invite additional qualified reviewers.

## **(3) Service**

The component of the portfolio dealing with service and professional activity should provide evidence that the candidate has a consistent record of providing service and leadership on department, college, and university committees, and service to external professional entities. The need for shared governance and continuous improvement in our collective teaching and research efforts depends

heavily on senior faculty. Candidates for full professor need to demonstrate that they will continue to contribute to requisite institution-building efforts. The mentoring of and effective interaction with junior faculty members will also be considered.

Tenured faculty who assume administrative responsibilities for department programs, grant administration, and university programs may increase their assigned time to reflect this service and, correspondingly, elect to reduce the time assigned to teaching or research. The reduction in time shall result in an equal reduction in the expectations of that component. Candidates who undertake administrative duties must demonstrate positive assessments of their work during the review period.

## **II.E. Professorial Performance Award**

The following section refers to the department procedures and criteria regarding the Professorial Performance Awards. This award is intended to recognize excellent and sustained performance by full professors.

In order to qualify for this award, the candidate must be a full-time full professor and have been in rank at K-State at least six years since the last promotion or Professorial Performance Award. The candidate must show evidence of sustained productivity in at least the last six years, according to the criteria shown below. The general guidelines and procedures for this award follow sections C49.1 to C49.14 in the *University Handbook*. The department procedures are shown below, as well as the criteria developed by the department.

### **1. Procedures/Guidelines**

The general procedures follow those for annual evaluation more closely than those for promotions, in that the nomination process is a self-nominated process. The Department Head will notify faculty of deadlines for submission of materials. Full professors who are eligible for the award will compile and submit a file that documents their professional accomplishments for the previous six years in accordance with the criteria and standards established by the department. This file is submitted to the Department Head. The Department Head will prepare a written evaluation of the candidate's materials in terms of the criteria, standards, and guidelines established, along with a recommendation for or against the award.

Each candidate for the award will have the opportunity to discuss the written evaluation and recommendation with the Department Head, and each candidate will sign a statement acknowledging the opportunity to review the evaluation. Within seven working days after the review and discussion, each candidate has the opportunity to submit written statements of unresolved differences regarding his or her evaluation to the Department Head and to the Dean. A copy of the Department Head's written recommendation will be forwarded to the candidate.

The Department Head must submit the following items to the appropriate dean:

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

## **2. Criteria/Standards**

The general criteria and standards are similar to those developed for eligibility for promotion to full professor. Candidates for the Professorial Performance Award are not eligible until six years have passed since their most recent promotion to full professor or their last Professorial Performance Award, whereas the promotion to full professor is not based on a specific time frame. Furthermore, only years in the Sociology, Anthropology, and Social Work Department at Kansas State University will be used in determining eligibility and evaluating a candidate for the Professorial Performance Award.

### **(1) Teaching**

The component of the portfolio dealing with teaching should provide evidence of continued teaching excellence and development. This level will be reflected in teaching evaluations, course syllabi and other instructional materials, teaching awards and other recognition of teaching excellence, and other instructional activity.

### **(2) Research**

The component of the portfolio dealing with research activities should provide solid evidence that the candidate has enhanced his or her national or international relevance within an area related to his or her field of appointment and that the candidate has assumed a leadership role in significant research activities. In general, single-authored or first-authored works are strong evidence of the ability to lead research efforts. In addition, invited articles, research awards at the national or international level, professional recognition of scholarship, fellowships awarded from external entities, invitations to reprint articles, citation lists, and other scholarly activity will be considered as evidence of national or international relevance. The candidate must demonstrate a pattern of productivity (both quantity and quality) that is consistent with the department's expectations imposed for the promotion to full professor. Submitting proposals and gaining external funds that contribute to meeting the goals of the department and College of Arts & Sciences will be positively weighted.

### **(3) Service**

The component of the portfolio dealing with service and professional activity should provide evidence that the candidate has a consistent record of providing service and leadership on department, college, and university committees, and service to external professional entities. The need for shared governance and continuous improvement in our collective teaching and research efforts depends heavily on senior faculty. Candidates for the Professorial Performance Award need to demonstrate that they will continue to contribute to requisite institution-building efforts. Effective interaction with and mentoring of junior faculty will also be considered part of the service component.

## **II.F. Chronic Low Achievement**

The following procedures and guidelines adhere to the provisions of Section C31.5 - C31.8 of the *University Handbook* regarding chronic low achievement standards as well as the procedures for enforcing these requirements.

### **1. Procedures/Guidelines**

(1) Section C31.5 of the *University Handbook* will be invoked if a tenured faculty member is rated "unsatisfactory" in any one of the three areas under annual evaluation (research, teaching, and service) in one evaluation period. It should be noted that there may be special or extenuating circumstances for such performance deficiencies (e.g., illness, leave of absence, special assignment). These should be fully examined and discussed prior to invoking the chronic low achievement policy.

(2) The Department Head will provide written notification to the tenured faculty member at this time.

(3) The Department Head and the faculty member will jointly develop a corrective action plan designed to improve the alleged deficiencies. The plan must include specific expectations that are to be met and indicate what assistance (if any) will be offered in order to help remedy performance problems. The purpose of the corrective action plan is to identify the means by which the faculty member will be able to exceed the minimum level of acceptable performance.

(4) In cases where disagreements arise as to the magnitude of the performance deficiency or the appropriate course of action that needs to be taken to improve performance, the tenured faculty of the department will determine the appropriate resolution and finalize the corrective action plan.

(5) In the subsequent evaluation period (unless the faculty member under evaluation specifically requests otherwise), the Department Head will call a meeting of the tenured faculty for the purpose of assessing the faculty member's progress towards an acceptable level of performance in each category. Based on the results of this meeting, the Department Head shall prepare a written report that provides an assessment of the faculty member's success in meeting minimum acceptable standards of performance. At the Department Head's discretion, the report may note acceptable progress towards meeting minimum standards even if those standards have not yet been achieved.

(6) The Department Head will provide a copy of the assessment to the faculty member and will explain any further actions suggested by the tenured faculty.

(7) If the faculty member has two successive evaluations or a total of three evaluations in a 5-year period in which the minimum standards are not met, then dismissal for cause will be considered at the discretion of the Dean. The Department Head will notify the Dean of the faculty member's performance relative to minimum standards each year.

## **2. Minimum Acceptable Productivity Standards**

The following represent the department's chronic low achievement standards for productivity in each of three areas: teaching, research, and service.

### **(1) Teaching**

As stated in the *University Handbook* Section C34.1 - 34.2, student ratings of teaching are but one indicator of teaching effectiveness, and should never be used as the only source of information about classroom teaching. We believe, however, that when a faculty member consistently receives student ratings that indicate "dissatisfaction" with learning and classroom facilitation, there may be problems that are not being addressed. TEVAL ratings below a 2.5 would indicate a strong level of dissatisfaction among students. Thus, as one indicator of low achievement, the department faculty believes that the minimum acceptable adjusted TEVAL score should be 2.5. This score is calculated by averaging the scores obtained for "overall teacher effectiveness" and "amount learned" across all the courses taught by the faculty member in a given year.

There may be other sources of information that suggest evidence of student learning or teaching effectiveness. In the event that the minimum acceptable TEVAL average is not obtained, the Department Head and the tenured faculty members shall examine other indicators of learning and effectiveness, as well as non-TEVAL indicators to determine whether they might have negatively affected this average. These indicators include:



- (a) Class characteristics such as size of class and type of class (lecture versus case oriented; required versus elective; etc.)
- (b) New course preparation for the faculty member
- (c) Grade distributions
- (d) Overall quality of course materials: syllabi, exams, course notes, etc.
- (e) Others issues such as participation in curriculum development, non-TEVAL student feedback, and if deemed necessary, peer evaluation of the faculty member's instructional quality.

## **(2) Research**

Within a five-year window, including the current evaluation year, the faculty member should have at least two counts from any of the following (based on 50% research and creative activities time allocation):

- (a) Refereed journal articles
- (b) Submission of extramural research funding
- (c) Refereed conference presentations or proceedings
- (d) Scholarly books
- (e) Book chapters, cases, or pedagogical materials included in a published book
- (f) Other research and creative activities as discussed in section II.B.2.(2), paragraph 8.

## **(3) Service**

The faculty member should serve on at least one committee per year, with satisfactory performance to be determined by the committee chair.

## **II.G. Post-tenure Review**

The purpose of post-tenure review 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 post tenure review follows the overarching purpose, principles, objectives, and procedures in the university policy on post tenure review (see University Handbook, Appendix W), which was approved by Faculty Senate on February 11, 2014.

Every six years, or in the sixth year following promotion or awarding of a major university performance award, and conforming to the annual review process timeline, the tenured faculty member's previous six annual performance evaluations will be reviewed by the department head to determine whether he/she is making appropriate contribution to the University. Faculty may be said to be "making appropriate contribution to the University" if all six annual evaluations meet or exceed expectations. If the determination of the review suggests that a plan for additional professional development should be identified, a face-to-face meeting to discuss options and develop a plan is required. The development

plan should be utilized in future annual evaluations and post-tenure reviews to review progress toward any goals set in the plan.

### **III.A. General Considerations (Section A1 of the Graduate Handbook)**

The purpose of the Graduate Faculty is to conduct the graduate degree programs of the University. The nomination of members must be initiated by the candidate's Department Head and recommended by two-thirds of all eligible Graduate Faculty in the program, who are responsible for identifying qualified candidates whose service is needed in the graduate program. In Interdisciplinary Graduate Programs, nominations must be initiated by the candidate's program chairperson and recommended by more than half of all eligible Graduate Faculty of the program.

### **III. B. Procedures for Tenured Faculty and Faculty in the Probationary Period for a Tenured Position**

The Graduate Faculty assumes that the University's procedures for awarding tenure to faculty members and appointing new faculty members to tenure-earning positions are sufficient to identify qualified members of the Graduate Faculty. In the case of an already-tenured faculty member holding the terminal degree, or a faculty member in the probationary period for a tenured faculty position who holds the terminal degree, nominations are sent to the Dean of the Graduate School by the head of the nominee's department or the chairperson of the nominee's program. In every case, the Graduate Faculty of the department or program must submit a written evaluation of the candidate, including the number of faculty at the nominating session, the number eligible to vote, the number of votes in favor, the number opposed, and the role in the graduate program to be pursued by the nominee. A copy of the nominee's curriculum vita should accompany the nomination. The Dean of the Graduate School will appoint the candidate to the Graduate Faculty.

Within the Department of Sociology, Anthropology, and Social Work members of the graduate faculty may serve as a member of a thesis or dissertation committee, or chair an MA thesis committee. In order to direct doctoral committees within the department, the following pre-requisites must be met:

- a. The faculty member must be in a tenure track position and be a member of the graduate faculty.
- b. The faculty member must produce within a six year period a minimum of three publication of which two must be refereed and one must be sole or senior authored.
- c. The faculty member must engage in and accomplish a minimum of six other activities demonstrating scholarly/professional achievement and service, including involvement in external grants and contracts.

**III. C. Procedures for the nomination of others to the graduate faculty, not included above, are found in the Graduate Handbook, Chapter Five.**

## **APPENDIX 1: Forms for Presenting Summaries of Activities for Annual Evaluation and Goals/Plans for the Upcoming Year**

### **Instructions for the SASW Annual Activity Report**

**Regular faculty must submit the following materials each December in electronic form according to instructions provided by the Department Head.**

\_\_\_\_\_ **Summary Narrative**

\_\_\_\_\_ **Activity Report**

\_\_\_\_\_ **Summary Teaching Evaluation reports (e.g., TEVAL or IDEA form summary)**

\_\_\_\_\_ **Current Vitae**

#### **Summary Narrative**

Each faculty member will summarize their achievements for the evaluation year, along with a brief list of goals for the next year in a one-page narrative submitted as a separate electronic file. This narrative should briefly highlight their major accomplishments and special circumstances, if any that applied over the evaluation year. This summary must be single-spaced and follow the following format:

Paragraph 1: Outline percent distribution of effort in each of the major areas of activity.

Paragraph 2: Identify classes taught and graduate committees and/or advising efforts. Highlight instructional accomplishments such as teaching awards, summary course evaluations, and other instructional activities (e.g., formal mentoring relationships). Include summary of advising report.

Paragraph 3: Summarize research activities including publications, grants awarded, and other scholarly activities. Tenure-track faculty should also very briefly identify scholarly works in progress.

Paragraph 4: Summarize service activities including service-related awards; international, national, and regional professional and University, department, and program appointments and activities, as well as public service or outreach.

Bullet-point list of two or three goals in teaching, research, and service for the following evaluation year.

#### **Activity Report**

Use the revised (2013) SASW Activity Report and follow instructions carefully to facilitate annual review. This form allows individuals to list and otherwise identify instructional, scholarly, and service efforts and accomplishments over the evaluation year. Separate instructional activities, research, and service sections of this report by page breaks and delete instructions on the form after you have completed the appropriate sections. (This helps the Evaluation Committee identify your accomplishments easily.) List 'NA' or leave blank any sections not applicable to you. Do not intersperse supporting materials in the body of the Activity Report itself.

### Instructional Activity report:

Briefly explain the reason for any course reductions or extenuating circumstance, if applicable.

TEVAL or other evaluation scores do not need to be listed on the Activity report. Instead copies of official summary reports must be attached. These can be obtained online.

Construct a simple table of the Graduate Committees on which you served during the year. Indicate the graduate student name, whether they are pursuing an M.A. or Ph.D., your role on the committee (chair, member, outside chair), and indicate whether/when they completed their degree during the evaluation year.

Undergraduate advising is considered by our department to be part of instructional activities, not service. List the number of undergraduate students you formally advise each semester. Include a copy of your advising report.

Highlight any teaching awards received.

Faculty who in the previous year's review were evaluated as having less than Satisfactory teaching are required to develop and submit a "teaching portfolio" to accompany the Activity Report.

Research and Scholarly Activity:

**Full citations** must be listed for all publications or other scholarly works, including the names of all authors, date of publication (or anticipated date of publication for accepted articles), full title; journal, publisher, or other producing entity; and length or pages (if appropriate).

All co-authored scholarly activities (publications and grants) must indicate percent involvement and briefly note your role.

Refereed books, book chapters, and reviews should be listed the year they are actually published (released in printed form). Refereed journal articles, on the other hand, should be listed the year they are formally accepted for publication. (Identify the estimated date of publication.) Other refereed and non-refereed products should be listed the year they are formally disseminated.

Extramural funding such as grants and contracts should be listed in full in the appropriate category (received, submitted, and not funded). Record the title, awarding organization, amount, co-authors and their affiliations if outside SASW, and explanation of your role and percent effort in the proposal preparation.

Only tenure-building faculty should complete 'Works in Progress' to identify scholarly work they are pursuing and hope to complete during the following year.

### **Summary Teaching Evaluation Reports**

TEVAL, IDEA, or other evaluation scores will no longer be reported on the Activity Report. Official summary reports of these evaluation tools must be submitted as part of the Annual Activity Report.

### **Other Course Materials (required)**

All faculty should submit course materials such as syllabi, reading lists, assignments, activities, and/or examinations that may be used to evaluate teaching effectiveness. Typically, just a syllabus will suffice for annual evaluation.

## SASW

### Activity Report

Name: \_\_\_\_\_ Academic Year: \_\_\_\_\_

#### A. Instructional Activity (% distribution of effort in this area: \_\_\_\_\_)

##### 1) COURSES TAUGHT

###### a. Regular Teaching Load:

Fall (course number, course name, credit hours, enrollment)

Spring (course number, course name, credit hours, enrollment)

###### b. Additional courses (overload)

(semester, course #, course name, credit hours, enrollment, distance ed or not)

##### 2) SIGNIFICANT MODIFICATIONS made to instructional activities

##### 3) COMMENTS ON STUDENT COURSE EVALUATIONS (Don not list TEVAL or other evaluation scores. Official summary evaluation reports must be submitted separately.)

##### 4) GRADUATE COMMITTEES on which you **formally** served during the evaluation year.

##### 5) UNDERGRADUATE ADVISING ACTIVITY

(List the number of students for whom you served as a formal academic advisor for each term.)

Spring)

##### 6) OTHER INSTRUCTIONAL ACTIVITIES

##### 7) TEACHING AWARDS

#### B. Research and Other Scholarly Activity (% distribution of effort in this area: \_\_\_\_\_)

##### 1) REFEREED/PEER-REVIEWED SCHOLARSHIP

###### a. Refereed **BOOKS published:**

###### b. **Book chapters published:**

###### c. Refereed **journal articles published or accepted for publication:**

###### d. **Other refereed products disseminated**

###### e. Products **submitted** for review

##### 2) BOOK & VIDEO REVIEWS

###### a. Reviews **published** during the year

###### b. Reviews **submitted** for consideration

##### 3) NON-REFEREED PUBLICATIONS

###### a. Non-refereed **products printed or disseminated**

##### 4) PRESENTATIONS

###### a. Refereed presentations

###### b. Other presentations of a scholarly nature

5) EXTRAMURAL FUNDING

- a. Extramural funding received
- b. Extramural funding applications submitted during the year that are under review.
- c. Extramural funding applications submitted but not funded

6) OTHER SCHOLARSHIP ACTIVITIES

7) WORKS IN PROGRESS (Tenure-building faculty ONLY)

**C. Service and Administrative Activities** (% distribution of effort in this area: \_\_\_\_)

1) INSTITUTIONAL SERVICE

- a. University and College
- b. Department
- c. Program

2) PROFESSIONAL ACTIVITIES AND SERVICE TO THE PROFESSION

- a. Professional Service to a Professional Organization:
  - 1. National
  - 2. Regional/State
  - 3. Local
- b. Participation in Professional Associations and Meetings
  - 1. National or International Meeting of Discipline
  - 2. All Other Meetings
- c. Refereeing Articles, Reports, or other products of peers
- d. Reviewer of Grant or Contract Proposals
- e. Other Professional Activities or Service

PUBLIC SERVICE IN A PROFESSIONAL CAPACITY

- a. Board Memberships (national, state, local)
- b. Presentation of Lectures or Workshops
- c. Unpaid Consulting
- d. Other public service in a professional capacity

4) FEE FOR SERVICE ACTIVITIES

By adding my electronic signature below, I attest that the above information is accurate to the best of my knowledge.

Signature \_\_\_\_\_ Date \_\_\_\_\_