

**DEPARTMENT OF MANAGEMENT
COLLEGE OF BUSINESS ADMINISTRATION**

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 Dec 20, 2018

NEXT REVIEW DATE: Dec 2023



Department Head's Signature



Date



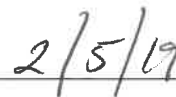
Dean's Signature



Date



Provost's Signature



Date

INTRODUCTION

The mission of the Department of Management is to provide instruction, research, and service in the areas of entrepreneurship, business ethics, human resource management, management information systems, operations and supply chain management, and strategic management. 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. This document outlines the policies and procedures of the Department for evaluations regarding annual performance and salary adjustments, including chronic low achievement, the Professorial Performance Award, and decisions concerning promotion, tenure, mid-probationary review, post tenure review and reappointment. This document serves as a supplement to the policies and procedures stated in the *University Handbook* (Sections C and D; Appendices A, C, and Q; and other related sections).

I. ANNUAL EVALUATIONS

1. Procedures/Guidelines

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

- (1) At the end of each calendar year, 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. For tenure-track faculty, these activity reports should include documentation of the faculty member's performance in the categories of teaching, research, and service during the evaluation period. For non-tenure-track instructors, these activity reports should include documentation related to teaching, service, and professional development (and/or other categories specified in the individual's contract).

Faculty members may attach relevant supporting material to the report, including such items as article reprints, acceptance letters, teaching materials and evaluations, evidence of professional development activities, and other documentation of their activities and accomplishments. Because research is evaluated on a three-year moving average basis, three years of material may be submitted for such documentation. For research, the evaluation will focus on research published during the rolling three-year window, but information on submissions and acceptances should also be provided. (Appendix 1 contains the required format, which faculty members must follow in preparing their annual activity reports. Appendix 2 provides a list of examples of various activities that can be included in this report. Appendix 3 presents a suggested timetable for this process.)

- (2) As a part of the activity report, each faculty member should also identify his or her expected activities and goals for the upcoming year. These goals should include the specific weights that the faculty member wishes to assign to each performance area. The final weights assigned to each performance category should be negotiated between the faculty member and the Department Head. The goals are intended to be performance targets for the upcoming year. 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) Faculty members shall submit their activity reports to the Department Head by the end of the first week of the spring semester.

- (4) 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) If there are any questions or concerns related to the preliminary evaluation, the Department Head will meet with the faculty member to discuss his or her evaluation of the individual's performance. Either the Department Head or the faculty member may request such a meeting. At this meeting, the faculty member will have the opportunity to provide his or her input regarding the performance appraisal, which may lead to a revision of the written evaluation. The Department Head should also discuss the faculty member's goals for the upcoming year at this time. This discussion should focus on how the individual's goals fit within the needs and requirements of the Department, how the goals compare to departmental performance expectations, and what the Department can do to help the faculty member accomplish his or her goals. Alternatively, the faculty member may provide written feedback related to the preliminary evaluation. If necessary, the Department Head can then request a meeting with the faculty member further discuss the issues raised.
- (6) The Department Head will prepare a final evaluation of each individual, either after receiving input from the faculty member or being notified that the faculty member does not wish to provide input. The faculty member and Department Head will each sign the final evaluation, which will then be forwarded to the Dean as the basis for any merit salary increase. If the faculty member disagrees with the evaluation he or she receives, the faculty member may submit a written statement to accompany the evaluation as it is forwarded to the Dean.

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. 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. For example, the typical weights assigned to each performance category for tenure-track faculty would likely be different from those for tenured associate or full professors. In general, the weights for tenure-track and tenured professors should fall within the following ranges: All weights must add up to 100%.

	<i>Minimum</i>	<i>Maximum</i>
<i>Teaching</i>	30%	60%
<i>Research</i>	20%	60%
<i>Service</i>	5%	20%

Notes:

- 1. For tenure-track faculty, the minimum research percentage is 40%.
- 2. For tenured faculty, the minimum service percentage is 10%.

3. In determining the weight allocated to teaching, faculty will typically assign 10-15% weight per course. For faculty teaching a nonstandard load (other than 2-2 for tenured and tenure-track faculty), there will typically be a corresponding increase or decrease in the research and/or service percentage, which may push those numbers beyond the noted maximums or minimums. For faculty where the agreed percentage in a given category exceeds the noted maximums, 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 regarding how standards (percentages) will be adjusted for these unique cases.
4. These percentages are formally established during the annual evaluation process. If circumstances change later in the year (e.g. additions or reductions in 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 and faculty member mutually agree, then the initial percentages may be adjusted at the time the opportunity arises.

For non-tenure track instructors, performance category weights should be negotiated with the Department Head. It is generally understood that the primary activity of instructors is teaching, which should be reflected in the weight assigned to the teaching category. All instructors are expected to participate in service activities and approximately 10-20% weight should be assigned to the service category. Although research and professional development might not be included as explicit performance categories, the Department Head should acknowledge instructor's participation and performance in research activities and professional development.

According to AACSB guidelines, professionally qualified faculty will also have to average 20 hours of professional development per year in order to maintain their professional qualifications. Descriptions of the activities associated with these hours and the related requirements are listed in the College's Standards for Faculty Classification for AACSB Accreditation Purposes document.

Note on Collegiality

Collegiality may also be explicitly addressed in any type of evaluative decision (including, but not limited to, annual evaluations; tenure, promotion, and reappointment decisions; mid-probationary period reviews; professorial performance awards; judgments regarding chronic low achievement; and post-tenure reviews). Minor interpersonal style issues that do not affect mission-related contributions will not be considered. Indeed, the department values and highly desires a wide range of professional and philosophical perspectives, vigorous debate on issues facing the department, and the free expression of independent thoughts in a professional manner. Relevant collegiality factors include interpersonal integrity, adherence to professional ethics, effective management of disagreement and conflict, cooperation with others, generosity with intellectual resources, and the demonstration of mutual respect. Collegiality is fundamentally important to shared governance and faculty members are expected to demonstrate collegial behavior so that the Department of Management and the College of Business Administration can accomplish their respective missions in an effective manner.

(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 4 scale. The numerical value, in half-point increments, will be assigned to indicate the following general levels of performance:

- 4 = Significantly exceeds expectations
- 3 = Exceeds expectations
- 2 = Meets expectations
- 1 = Needs improvement, but meets minimally acceptable levels of performance
- 0 = Fails to meet minimally acceptable levels of performance (i.e., unsatisfactory)

Performance “expectations” are independent of individual faculty member’s goals. Expectations should be left to the discretion of the Department Head. It is the responsibility of the Department Head to clarify expectations in each performance category when discussing goals with faculty.

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). The weighted average score will be normalized for the Department and that figure will be used to determine the faculty member’s share of the Department’s merit increase pool. For example, if one has a 3.0 weighted average and the Department’s collective average is 3.0 and the salary pool increase for merit raises for the Department is 3.5%, then that faculty member would get a 3.5% ($3.0/3.0 \times 3.5$) merit increase recommendation from the Department Head. If the weighted average performance score had been 3.3, then the percentage merit increase recommendation would be 3.85% ($3.3/3.0 \times 3.5$).

II. DECISIONS CONCERNING PROMOTION, TENURE, MID-PROBATIONARY REVIEW AND REAPPOINTMENT

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. Promotion and Tenure Decisions

1. Procedures/Guidelines

Promotion from Assistant Professor to Associate Professor with Tenure

- (1) Following an appropriate probationary period (as discussed in Section C73 of the *University Handbook*), during which time annual evaluations in the areas of teaching, research, and service meet or exceed departmental expectations, an assistant professor may be invited by the Department Head or may choose to submit a portfolio providing evidence of appropriate contribution to merit tenure and promotion. Recommendations for tenure are considered annually. Faculty members in the final year of probation will be automatically reviewed for tenure unless the faculty member resigns. A faculty member may request an early tenure review. Ordinarily, this is done after consultation with the Department Head and the tenured faculty members in the

department. This decision/invitation to apply for tenure will be made during the first week of the fall semester, and the candidate's portfolio will be due in early October. The timetable for this process is presented in Appendix 3.

- (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. (See Tables A-C in Appendix 2 for examples of appropriate material.) The candidate should also consult tenured faculty and the Department Head to determine what to include in the portfolio.
- (3) In mid-October, the candidate's materials will be made available to all tenured faculty members for review. A specific completion date for reviewing the materials 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 may be asked to evaluate the candidate's research portfolio. This is optional for the review of promotion from Assistant Professor to Associate Professor. If the candidate selects to have outside reviewers, he or she should make such a request in the first week of fall semester. If this request is made, the names of two external reviewers who are in a position to assess the quantity, quality, and impact of the individual's research should be provided by the candidate. The Department Head will then solicit feedback from at least one of these reviewers in the external review process. The Department Head must also independently identify and solicit feedback from at least one additional external reviewer. All external reviewers must be tenured professors and may not be co-authors, graduate school classmates or the major professor of the candidate.
- (5) During the last week of October, the Department Head will schedule a meeting of tenured faculty 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 who are unable to attend may request an absentee ballot. Votes made by absentee ballot will be confidential, but will not be anonymous to 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 from 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 Management and are discussed in Sections C113-C115 of the *University Handbook*.

Promotion from Associate Professor to Full Professor

- (1) Consistent with Section C140, associate professors who have demonstrated superior professional accomplishment and excellence in the performance of their assigned duties may be invited by the Department Head or may choose to submit a portfolio providing evidence of continued contribution to department, college, university, and the profession within their area of appointment. (See *University Handbook* Sections C150, C151, and C152.2.) This decision/invitation will be made in the first week of the fall semester, and the candidate's portfolio will be due in early October.

- (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*. (See Tables A-C in Appendix 2 for examples of appropriate material.)
- (3) In mid-October, the candidate's materials will be made available to all tenured full professors in the Department. A specific completion date for the review of materials 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 external experts. During the first week of the fall semester the candidate must submit 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 quantity, quality and impact of his or her research. The Department Head is required to solicit feedback from at least one of these reviewers in the external review process. The Department Head must also independently identify and solicit feedback from at least one additional external reviewer. At a minimum, external reviews will be requested from two experts who are in a position to evaluate the candidate's accomplishments in research. All external reviewers must be tenured full professors and may not be co-authors, graduate school classmates or the major professor of the candidate.
- (5) During the last week of October, the Department Head will schedule a meeting of 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. Votes made by absentee ballot will be confidential, but will not be anonymous to 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 Management and are discussed in Sections C153.1-155 of the *University Handbook*.

Instructors Seeking Promotion (from Instructor to Advanced Instructor or Advanced Instructor to Senior Instructor)

- (1) The time-in-rank interval for instructors seeking promotion is expected to be at least five years, although shorter intervals are possible in unique circumstances. In general, if overall annual evaluations exceed or significantly exceed departmental expectations (represented by overall performance ratings of 3 or above) in at least 4 out of the past 5 years, then an instructor may be invited by the Department Head or may choose to submit a portfolio providing evidence of appropriate contribution to merit promotion. This decision/invitation will be made in the first week of the fall semester, and the candidate's portfolio will be due in early October. The timetable for this process is presented in Appendix 3.
- (2) On or before the specified date, the candidate will provide a portfolio consisting of the standard documentation required for the promotion decision. (See Tables A-C in Appendix 2 for examples

of appropriate material.) The candidate should also consult tenured faculty, regular non-tenure-track faculty of higher rank, and the Department Head to determine what to include in the portfolio.

- (3) In mid-October, the candidate's materials will be made available to all tenured faculty members and non-tenure-track faculty of higher rank for review. A specific completion date for the review of materials will be provided by the Department Head. If desired, any member of the tenured faculty and regular non-tenure-track faculty of higher rank may request a meeting with the candidate to clarify the evidence of achievement submitted by the candidate.
- (4) During the last week of October, the Department Head will schedule a meeting of tenured faculty and regular non-tenure-track faculty of higher rank to discuss and vote on the candidate's application for promotion. The vote on any candidate shall be taken by secret ballot. Tenured faculty and regular non-tenure-track faculty of higher rank who are unable to attend may request an absentee ballot. Votes made by absentee ballot will be confidential, but will be anonymous to the Department Head.
- (5) The Department Head will forward a written recommendation to the Dean, accompanied by an explanation of his or her judgment. All recommendations and unedited written comments of the Department's tenured faculty members and regular non-tenure-track faculty of higher rank 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.
- (6) The remaining steps in the promotion process occur outside the Department of Management and are discussed in Sections C153.1-155 of the *University Handbook*.

2. Criteria/Standards

Promotion from Assistant Professor to Associate Professor with Tenure

(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, course syllabi, instructional material developed by the individual, and other items that increase students' understanding of present industry practice. (See more examples provided in Appendix 2, Table A.)

(2) Research

The component of the portfolio dealing with research activities should provide solid evidence that the candidate has made meaningful contributions to research and has the potential of acquiring a national reputation within an area related to his or her field of appointment. The primary evidence for this potential should be reflected in high-quality research publications, a well-defined research path, and other items (as described in Appendix 2, Table B) showing progress along this path. Extramural research funding is increasingly important to the Department and efforts on this front, while not required, will be positively weighted in the evaluation process. The candidate needs to show evidence that he or she is able to lead a research effort (e.g., single-authored or first-authored works). Both research quantity and quality will be assessed. Quality of research may be evaluated using national ranking reports, the *Department of Management High Quality Journal*

List (available from the Department), national recognition of scholarship, citation counts, research awards, tenured faculty opinions of research significance, and other criteria. Research activity conducted prior to the individual's appointment at K-State will be considered. The Department Head and tenured faculty members should hold regular discussions with junior faculty members to explain and clarify research expectations.

(3) Service

Service refers to all other activities (outside of teaching and research) that contribute to the mission of the department, college, or university. The component of the portfolio dealing with service and professional activity should provide evidence that the candidate is a conscientious member of departmental and/or college committees. In addition, the candidate should have demonstrated that he or she has the potential to provide university-wide and/or national service within an area related to his or her appointment. Specific examples of ways to fulfill service expectations are described in Appendix 2, Table C.

Promotion from Associate Professor to Full Professor

(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. (See more examples provided in Appendix 2, Table A.)

(2) Research

The component of the portfolio dealing with research activities should provide solid evidence that the candidate has acquired a national or international reputation within an area related to his or her field of appointment and that the candidate has assumed a leadership role in significant research activities. The primary evidence of this productivity should be reflected in high-quality research publications. In particular, a pattern of consistent productivity in research will be expected with an emphasis on the last six years or the time since the last promotion, whichever is shorter. In general, single-authored or first-authored works provide 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 counts, and other scholarly activity will be considered as evidence of national or international reputation. While not explicitly required, submitting proposals and gaining external funds that contribute to the goals of the Department and the College of Business Administration provide further evidence of contribution. (See more examples provided in Appendix 2, Table B.) In terms of the evaluation, emphasis will be placed on activity since the most recent promotion. For the period under review, the candidate must demonstrate a pattern of productivity (both quantity and quality) that meets or exceeds the Department's expectations imposed for the associate professor promotion.

(3) Service

The component of the portfolio dealing with service and professional activity should include evidence that the candidate has a consistent record of providing service and leadership on departmental, 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. In addition, it is also important that senior faculty interact effectively with and provide mentoring as needed to junior faculty members. (See more examples provided in Appendix 2, Table C.)

Instructors Seeking Promotion (from Instructor to Advanced Instructor or Advanced Instructor to Senior Instructor)

Instructors seeking a promotion (from instructor to advanced instructor or advanced instructor to senior instructor) shall submit a portfolio for the period in current rank that demonstrates proficiency in teaching, professionalism, and service consistent with the areas of responsibility identified in the goals set during the annual review process for the individual. To be promoted to advanced instructor, the candidate's portfolio will need to provide evidence of superior performance in teaching and active involvement in service activities within the department, college and/or university. To be promoted to senior instructor, the candidate's portfolio will need to provide evidence of superior performance in teaching and a consistent record of providing service and leadership at the departmental, college and/or university level. The need for continuous improvement in our collective efforts depends on the inputs of our more experienced instructors. Candidates for senior instructor need to demonstrate that they have and will continue to contribute to these efforts. All regular or term non-tenure-track faculty must also maintain their academic or professional qualifications for accreditation purposes, consistent with the requirements of their contract.

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 tenure-track 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 tenure-track 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) In the first week of the fall semester, 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 a meeting with the candidate 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. Tenured faculty unable to attend may request an absentee ballot. Votes made by absentee ballot will be confidential, but will not be anonymous to the Department Head.
- (5) The Department Head will report the vote of the tenured faculty to the candidate and explain in general terms 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, the Department Head will present to the Dean the standard materials that accompany a reappointment decision, plus the substantive input of tenured faculty with regards to the candidate's potential 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-progress and currently unfunded grant proposals.

II.C. Reappointment

Reappointment is the process of extending the contract of a tenure-track (but untenured) faculty member or of a regular, non-tenure-track instructor. 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 members 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.

Reappointment decisions for tenure-track (but untenured) faculty members will be carried out by the Department Head and the tenured faculty. Reappointment decisions for non-tenure-track faculty will be carried out by the Department Head, tenured faculty and regular non-tenure-track faculty of higher rank.

III. PROFESSORIAL PERFORMANCE AWARD

The following section refers to the departmental procedures and criteria regarding the Professorial Performance Awards, approved by the university in 2006. This award is intended to recognize excellent and sustained performance of 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 during the period under review, 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

The general procedures follow those for annual evaluation more closely than those for promotions, in that the process calls for self-nominations (in consultation with the Department Head) and will have a deadline in January rather than the fall semester.

Full professors who are eligible for the award and who wish to apply should 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 in January, at the time of annual evaluations. The Department Head should consult with full professors in the same area who have previously been awarded a Professorial Performance Award in order to solicit their input on the candidate's performance. 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 from the faculty member regarding 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 Management Department at K-State 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. (See more examples provided in Appendix 2, Table A.)

(2) Research

The component of the portfolio dealing with research activities should provide solid evidence that the candidate has maintained or enhanced his or her national or international reputation within an area related to his or her field of appointment and that the candidate has assumed a leadership role in significant research activities. The primary evidence of this productivity should be reflected in high-quality research publications. In general, single-authored or first-authored works provide 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 counts, and other scholarly activity will be considered as evidence of national or international reputation. While not explicitly required, submitting proposals and gaining external funds that contribute to the goals of the Department and the College of Business Administration provides further evidence of contribution.

(See more examples provided in Appendix 2, Table B.) 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.

(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 departmental, 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 have contributed and will continue to contribute to requisite institution-building efforts. The mentoring of junior faculty will also be considered part of the service component. (See more examples provided in Appendix 2, Table C.)

IV. 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* may 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 teaching performance. 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. Consistent TEVAL ratings below a 3.0 would indicate a strong level of dissatisfaction among students. Thus, as one indicator of low achievement, the Department believes that the minimum acceptable adjusted TEVAL score should be 3.0. 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.

As noted above, student ratings are but one indicator of teaching performance. Even if the faculty member receives an average TEVAL score of 3.0 or higher, other factors could result in a rating of unsatisfactory performance in teaching.

In contrast, even if the faculty member does not receive an average TEVAL score of 3.0, the faculty member may be evaluated as performing at a minimally acceptable level depending on the circumstances that led to those evaluations. 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

In cases where the Department Head and tenured faculty members believe that extraneous or particularly challenging circumstances led to the low TEVAL scores, then the faculty member may be still be evaluated as meeting minimally acceptable levels of performance.

(2) Research

Within a five-year window, including the current evaluation year, the faculty member should generally have at least two counts from any of the following:

- (a) Refereed journal articles
- (b) Scholarly books reflecting the faculty member's original work

While two counts from the above items are generally expected within a rolling five-year window, other items (examples below) can also provide evidence of research productivity and should be considered when evaluating chronic low achievement.

- (a) Non-refereed journal articles
- (b) Book chapters, cases, or pedagogical materials included in a published book
- (c) Refereed conference presentations or proceedings
- (d) Edited scholarly books where the faculty member served as an editor
- (e) Submission of extramural research funding
- (f) Other scholarly works as denoted in Appendix 2 Table B.

(3) Service

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

V. POST-TENURE REVIEW

The purpose of post-tenure review at Kansas State University is to facilitate 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. The remainder of the section on Post Tenure Review will describe the guidelines, procedures, and criteria to be used by the department.

V.A. Guidelines

1. Post-tenure review shall be conducted for tenured faculty every six years and shall conform to the timeline associated with the annual evaluation review as outlined in the University Handbook. The six-year post-tenure review clock is defined as the sixth year following promotion or awarding of a major university performance award. More specifically, the review shall take place in the spring semester following 6 full years of tenured service subject to the clock reset modifications below. The following events shall modify and reset the post-tenure review clock:
 - application for promotion to full professor;
 - application for the Professorial Performance Award (University Handbook C49);
 - receipt of a substantial college, university, national or international award requiring multi-year portfolio-like documentation, such as University Distinguished Professor, University Distinguished Teaching Scholar, an endowed chair or other national/international awards (see list of Faculty Awards <http://www.k-state.edu/provost/resources/natlawards.html>).
 - returning to a faculty position after serving a year or more in an administrative position (e.g., department head, assistant/associate dean).
2. The schedule for post-tenure review could also be delayed for one year to accommodate sabbatical leave, a major health issue, or another compelling reason, provided that both the faculty member and Department Head approve the delay.
3. Exceptions for Post-Tenure Review: 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 post-tenure review. Those who have formally announced their retirement through a written letter to the Department Head, or have begun phased retirement, are exempt from post-tenure review. The successful application to an administrative position (e.g., Department Head, Assistant/Associate Dean) and each subsequent 5-year review will serve as the post-tenure review for faculty in these types of administrative positions.

V.B. Procedures and Standards

1. The Department Head will notify tenured faculty for which a post-tenure review is required that a review will be completed. An email notification will be sent to the faculty with the six prior annual evaluations attached and a statement that they have the option of submitting a response in support of their post-tenure performance. The Department Head may request additional relevant material that demonstrates the tenured faculty's contributions to the department/college/university.
2. The Department Head reviews the annual reviews, optional responses, and any additional material to determine whether the tenured faculty has made "appropriate contributions to the department/college/university." As part of this review, the Department Head may consult with the area coordinator or other tenured faculty in the same discipline to assess the tenured faculty member's strengths and needs for improvement, to determine whether he/she is making appropriate contributions or whether additional activities need to be undertaken or additional plans need to be developed. At a minimum, the tenured faculty must have all six annual evaluations "meet" expectations (based on a weighted score of research, teaching, and service categories for each annual evaluation). In cases where the tenured faculty does not meet this minimum standard, but is not qualified for Chronic Low Achievement, the Department Head must review and assess the need for developing an improvement plan to ensure the tenured faculty's contribution.
3. The Department Head will prepare a written report. The faculty member shall be given a copy of the review. A face-to-face meeting between the faculty member and the Department Head is encouraged. If 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.
4. The Department Head will forward a written recommendation to the Dean, accompanied by an explanation of her or his judgment.

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

This report should cover your completed activities for the calendar year 2XXX and goals/plans for the upcoming year. Activities currently in progress may be reported as well. Please disregard those categories that do not apply to you.

I. TEACHING

I.A. Accomplishments

- (a) Provide a summary of all courses taught (by title and semester) and a summary of the students' evaluation of your teaching effectiveness for each course taught. Specifically, provide adjusted TEVAL scores related to the items of "Teacher Effectiveness" and "Amount Learned" for each course taught. Also include the class enrollment and number of students receiving each letter grade for each course taught. Include a copy of the TEVAL summary sheet with this report. For consistency, electronic (online) TEVALS (e-TEVALS) are to be used. They are located at <https://teval.ksu.edu/Teval/>. TEVAL information should be collected with careful adherence to *University Handbook* policy C34.1 and the procedure suggested by the Center for the Advancement of Teaching and Learning (currently <http://www.k-state.edu/catl/ratings/teval/tevrat.htm>). Following the same policies in the *University Handbook*, the IDEA form may be used in addition to the TEVAL. In this case, both the IDEA form and the TEVAL would be provided for use in evaluating teaching performance.

The Department Head should use TEVAL information as only one component when assessing instructional performance and should be aware that TEVAL ratings are sometimes influenced by the level or nature of the course or other factors outside the instructor's control.

- (b) Faculty members should submit students' written comments from the evaluation forms as well. All (not selected) comments should be provided.
- (c) Teaching awards and/or any other special recognition.
- (d) Any professional development activities relevant to teaching responsibilities.
- (e) Teaching portfolio that includes course syllabi at the minimum, and other information such as assignments, exams, and samples of graded student work, etc. as necessary to evaluate the course.
- (f) Teaching-related proposals submitted for extramural funding (with information on whether the proposal was funded).
- (g) Other sources as described in Appendix 2, Table A.

I.B. Goals/Plans for the Upcoming Year

- (a) Weight
- (b) Goals and plans

II. RESEARCH

II.A. Accomplishments

- (a) Published refereed articles or books. Enclose a cover page of the article or title page of the book (or an acceptance letter for the paper/book). The Department Head may request a copy of the full article or book for review.
- (b) Refereed conference presentations and proceedings.
- (c) Proposals for extramural research funding and funding received. List title and amount of funding. Identify source, performance period, and your role in the project.
- (d) Research awards and/or any scholarly recognition.
- (e) List of manuscripts that have been submitted to refereed journals.
- (f) Other scholarly activities as described in Appendix 2, Table B.

II.B. Goals/Plans for the Upcoming Year

- (a) Weight
- (b) Goals and plans

III. SERVICE

III.A. Accomplishments

University, College, and Department

Membership on departmental, college, and university committees. Evidence of leadership, which could be demonstrated by chairing a committee, work performed, impact made, and significance of the committee, will be assessed.

Outside of University

Service provided to professional organizations, journals, communities and the like. Other sources as described in Appendix 2, Table C.

III.B. Goals/Plans for the Upcoming Year

- (a) Weight
- (b) Goals and plans

APPENDIX 2. Areas of Teaching, Research, and Service

(The following list of teaching, research, and service activities should not be considered exhaustive. Other types of activities included in these categories may be found in the University Handbook.)

Table A: Evidence of Teaching Excellence

Items for Consideration	Evidence of Merit
Student Evaluations*	High TEVAL scores (> 4.2); unsolicited student or alumni opinions
Published Instructional Material (distance learning course development; instructor manuals; video recordings; cases; test banks; online curriculum support material)	Textbooks; national recognition for contributions
Unpublished Instructional Material (documentation of classroom activity; syllabi; course materials)	Adoption of material by other instructors; national or regional recognition
Instructional Technology Use (Internet-based teaching, computer software use)	Adoption of material at other institutions; national or regional recognition
Curriculum Development (New course development; curriculum enhancements)	Adoption of material at other institutions; national or regional recognition
Pedagogical Research and/or Extramural Funding	Pedagogical articles published; funded pedagogical studies; funded proposals for curriculum development/enhancement
Continual Improvement (course revisions, participation in workshops/teaching seminars)	Certifications for training received

- * Various factors (e.g. class size, new course preparation, grade distribution, etc.) shall be examined to determine whether they might have affected the TEVAL scores.

Table B: Evidence of Research Productivity

Items for Consideration	Evidence of Merit
Refereed Journal Publications (field centered or interdisciplinary research)	Publications in highly-ranked journals; citation counts; invited articles; lead author on articles; single-authored articles
Refereed Conference Proceedings	Best paper proceedings; invited presentations
Extramural Funding (submitted proposals)	Funded proposals (prestige of granting institution, magnitude of grant, benefits to the Department)
Other Intellectual Products (research books, book chapters, book reviews, practitioner articles, non-refereed articles,, computer software)	Awards and recognitions for intellectual contributions; inventions/patents; commercialized products/ software
Presentations (academic presentations, industry workshops, poster sessions, interviews)	Awards and recognitions; special invitations and acknowledgements
Current Research (papers under revision/review)	

Table C: Evidence of Service and Professional Activity

Items for Consideration	Evidence of Merit
Committee Assignments (service on departmental, college, and university committees; service on dissertation committees; leadership of student organizations (during the period under consideration)	Special recognition by the college or university; Significant leadership roles; important accomplishments
Service to the Profession (service at regional or national conferences; article reviews; community involvement related to profession)	Editorships; editorial board memberships; recognition by peers outside K-State; academic conference leadership; positions on boards of directors
Leadership, Cooperation, Initiative, Enthusiasm in Departmental Activities (mentoring; supporting departmental activities; supporting visiting organizations)	Chairing committees; leadership in departmental activities or professional organizations; gaining extramural support that aids others' teaching and research efforts
International Activities (promoting scholarly and teaching collaborations with international universities)	Arranging student/faculty exchanges; participating in study abroad programs

APPENDIX 3. Timetables

(The exact dates are determined subject to the university and college calendars)

A. Annual Evaluations

Date for Completion	Action
First week of Spring Semester	Faculty members provide activity reports to the Department Head
No later than the third week of February	Department Head (1) reports the results of the review to the faculty member and (2) consults and discusses individual faculty's goals and plans for the upcoming year

B. Promotion and Tenure Decisions

Date for Completion	Action
First week of Fall Semester*	Department Head invites candidates who are in the final year of the probationary period of their appointment to apply for tenure; Department Head informs candidates who are in the third year of their probationary appointment of the date when they should submit mid-probationary review documentation; assistant professor informs Department Head of decision to apply for tenure and promotion (or is invited by Department Head); associate professor informs Department Head of decision to apply for full professorship (or is invited by Department Head); non-tenure-track faculty inform Department Head of decision to apply for promotion (or is invited by Department Head)
Early October	Candidate submits material in support of promotion/tenure or mid-probationary review
Mid October	Candidate materials made available to eligible faculty
Last week in October	Eligible faculty members meet to discuss candidate. Eligible faculty vote on promotion candidate's application. Tenured faculty vote on tenure candidate's application
Second week in November	Department Head sends materials and summary sheet for candidate to Dean and reports department recommendation to candidate; mid-probationary reviews are presented to candidates
Second week in December	Dean sends material and summary sheet for each tenure candidate to the Dean's Council for review
January	Review of tenure candidate by Council of Academic Deans
First week of Spring Semester	Annual evaluation and goals submitted to Department Head
Third week in February	Dean forwards tenure recommendations to the Provost
March	Dean sends letter to inform tenure candidate of decision
March	Submission to the Regents

* Candidates requesting external reviewers should supply the required nominations to the Department Head by the first week of fall semester. The package for external review should be ready by early to mid-September.

APPENDIX 4: Definitions of Non-Tenure-Track Faculty

The department includes the following positions and ranks for non-tenure-track faculty (see Section C10-C12 in the University Handbook).

- Instructor (3 ranks) – Instructor, Advanced Instructor, Senior Instructor

Non-tenure-track faculty members with primary responsibilities in teaching, service, and working with students may be recruited, hired, and appointed into regular or term positions. Initial appointment rank and subsequent promotions in rank are based on advanced degrees held, experience, performance, and achievement over time within a given rank.

In general, all graduate courses (600-level and above) will be taught by members of the graduate faculty. However, in rare cases, it may be necessary to appoint a non-graduate faculty member to teach a 600-level or above course. In such cases, the minimum threshold to establish equivalent experience include all of the following:

- Graduation from an accredited master's program in an area that is related to the course being taught
- Completion of a specific master's level course that is equivalent in nature to the course being taught or completion of a graduate certificate in a field substantially related to the course being taught
- A minimum of two years of post-graduate work experience in a field substantially related to the course being taught

All non-tenure-track faculty members holding regular or term positions will be evaluated annually for merit raises. Regular non-tenure-track faculty will also be evaluated for reappointment purposes. Both the annual evaluation and reappointment processes will follow those outlined in Section 1 of this document.

The procedures for promotion in the non-tenure-track instructor ranks are similar to the processes for promotion of tenure-track/tenured faculty in the University Handbook (see sections C110-C116.2 and C150-C156.2). Specific instructions and criteria for promotion are outlined in Section 2 of this document. If a promotion is recommended, the Department Head in conjunction with the candidate and the Dean of the College will determine the length of the new appointment. The options are a regular one-year appointment entitled to Notice of Non-Reappointment or a term appointment for a one, two or three year term with no Notice of Non-Reappointment.

