

MARKETING DEPARTMENT
COLLEGE OF BUSINESS ADMINISTRATION




Policy Statement Concern:

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**

Approved by Faculty Vote on September 26, 2022

NEXT REVIEW DATE September 2028

 _____ Department Head's Signature	10/7/2022 _____ Date
 _____ Dean's Signature	3-22-23 _____ Date
 _____ Provost's Signature	5/5/2023 _____ Date

DEPARTMENT OF MARKETING

ANNUAL EVALUATION GUIDELINES

(Approved by Faculty Vote on 5/10/16)

PROMOTION AND TENURE GUIDELINES

(Approved by Faculty Vote on 5/10/16)

REVIEW DATE FOR ANNUAL EVALUATION GUIDELINES *(WHICH INCLUDES THE CHRONIC LOW ACHIEVEMENT STATEMENT AND THE PROFESSORIAL PERFORMANCE AWARD): **May 2022**

REVIEW DATE FOR PROMOTION AND TENURE GUIDELINES*: **May 2022**

Esther Swilley, Department Head

Date signed:

Kevin Gwinner, Dean

Date signed:

Charles Tabor, Provost and Senior Vice President

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.*

SECTION 1: INTRODUCTION

The department's policy for faculty evaluation encourages and rewards a broad spectrum of professional activities, with each faculty member's evaluation based on some combination of teaching, research, professional service, and professional development. These four criteria are described in detail in the following sections. Teaching, research, professional service, and professional development are each recognized as important activities in accordance with the mission statements of Kansas State University and the College of Business Administration. Criteria are based on what is expected of a faculty member at a major land-grant university such as K-State.

These categories are not intended to be rigid. A specific activity might be listed in one category for one person and in a different category for another depending on the precise nature of the activity, the needs of the department, and the career goals for a particular faculty member. Teaching and research are given the most weight in the evaluation process.

To maintain continual progress toward excellence in these four areas, the department must periodically assess the performance of its members and use those assessments as the basis for decisions regarding salary adjustments, reappointments, promotion, and tenure. The purpose of this policy statement is to supplement the *University Handbook* guidelines for evaluating faculty members for salary adjustments, reappointment, promotion, and tenure in the Department of Marketing.

This policy statement reflects the policies and procedures developed for the university by the Faculty Senate and outlined in the *University Handbook*. Each faculty member is provided with the URL for the *University Handbook* and is expected to become familiar with it. All materials related to tenure and promotion, annual reappointment, as well as annual merit evaluations will be due to the Department Head consistent with the dates specified in the Department Head's Manual, Office of Academic Personnel (<http://www.k-state.edu/dh/>).

Evaluation of performance compares accomplishments to responsibilities, resources, and department standards. The evaluation of teaching, research, professional service, and professional development activities is based upon valid supporting material supplied by the faculty. Standards of performance in personnel evaluations are expectations. The establishment of standards and the measurement of performance should be as objective as possible. Nevertheless, evaluation involves numerous subjective judgments because all responsibilities, resources, objectives, and accomplishments are not easily quantifiable. Therefore, flexibility should be permitted in defining comparable expectations and measuring performance. When subjective evaluation is needed, the Department Head must use good, professional judgment to communicate expectations fairly and clearly and to evaluate performance based on these expectations.

The purpose behind presenting criteria is to clarify as much as possible evaluation philosophy and expectations. The evaluator for the annual evaluation is the Department Head. The Department Head and tenured marketing faculty are evaluators for the annual reappointment and promotion of untenured and regular non-tenure-track faculty.

In conjunction with the *University Handbook*, C10, the Marketing Department recognizes the tenure and tenure-track faculty ranks of professor, associate professor, assistant professor, and non-tenure track faculty ranks a) instructor, advanced instructor, and senior instructor, C12.0, b) research professor, research associate professor, research assistant professor, C12.1, c) senior professor of practice, professor of practice, C12.3, and d) teaching professor, teaching associate professor, teaching assistant professor, C12.4. For convenience, the term “faculty” refers to all positions and ranks and where applicable, this document refers to specific positions or ranks.

Primary responsibilities and qualifications for non-tenure-track faculty are as follows.

- The Instructor positions are responsible primarily for teaching, with the qualification of a master’s degree in business or related discipline. The instructor positions may be appointed on a term appointment contract or a regular appointment contract.
- The Teaching Professors are responsible primarily for teaching, with the qualification of a doctoral degree in business or related discipline. The Teaching Professors positions may be appointed on a term appointment contract or a regular appointment contract.
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- The Professor of Practice ranks are responsible primarily for teaching, and the qualifications require a master’s degree in business or related discipline and minimum of five years of related professional business experience. The Professor of Practice ranks are term positions.
- The Research Professor rank’s primary responsibilities are a combination of research and teaching contingent upon departmental needs. Qualifications require a PhD in business or related field. The Research Professors’ positions may be appointed on a term appointment contract or a regular appointment contract.

SECTION II: AREAS OF PERFORMANCE

Marketing department faculty may have job responsibilities in the areas of teaching, research, service, and professional development. Additionally, faculty are expected to interact with each other in a collegial manner. This section describes and provides guidance for the type of activities that can be evaluated in each area. These areas of performance apply to evaluation of annual performance, promotion and tenure, mid-probationary review, annual reappointment, and the professorial performance award.

Teaching

Teaching includes communicating knowledge to students and developing the intellectual foundation necessary to prepare students to continue self-learning. Teaching also involves preparing students for entry into professional and scholarly positions and continued intellectual growth. Faculty should be able to arouse curiosity; and develop, organize, and present instructional materials in a timely manner that enhances the academic and professional reputation of the department and its programs. Academic advising pertaining to marketing and career mentoring is an essential instructional activity and is expected of all faculty.

During the faculty member's appointment, teaching performance must be measured, and it should demonstrate both effectiveness and continued improvement. Quality of teaching is, admittedly, difficult to evaluate; however, this difficulty does not eliminate the need for measurement. Accordingly, both internal and external sources of information should be included in the evaluation.

Consideration must be given to how well the teaching assignment corresponds to the individual's teaching program. If there is not a good fit between instructor and course, but the department must maintain the assignment, this should be taken into consideration during the evaluation procedures.

The department provides a comprehensive, flexible yet rigorous portfolio approach to teaching evaluation that includes several types of evidence that can be collected, presented, and evaluated as a portfolio. The following list is organized into broad categories considered appropriate for assessing teaching effectiveness. This list should not be considered exhaustive; further forms of evidence may be provided by the faculty member.

A. Instructional evaluations:

Faculty will administer a TEVAL for each course taught and annually submit the forms to the Department Head.

In addition to the TEVAL reports, materials documenting course content, such as syllabi, reading lists, case studies, term papers, exams, guest speakers, student competitions, innovative experiential learning components such as field trips, or other course learning enhancements should be provided by faculty. The summary teaching portfolio for each class may be accompanied by documentation supplied by the faculty member that states circumstances which he or she thinks may have influenced the course evaluations. Circumstances may include, but are not limited to, level of course, number of students, level of difficulty, computer assignments, grading standards, course composition (e.g., K-State 8 course), popularity of topics, teaching method issues, changes in methods, experimentation, and so forth. Additional methods of evaluation include:

1. Graduating senior and MBA student exit interviews.
2. Alumni evaluations concerning quality of instruction.
3. Peer evaluation which includes a comprehensive, critical review by knowledgeable colleagues of each faculty member's entire range of teaching activities. Recordings of class presentations might be viewed by peers or the Department Head to evaluate the presentation of material.
4. Competitive awards or recognition for outstanding teaching.
5. Documented student feedback to the Dean or Department Head.
6. Company surveys of former students who are now employed by a particular firm.
7. Curriculum alignment and/or integration with programs of study, such as certificates, majors, and minors.

B. Curricular management, development, and innovations, among which may be:

1. Curricular changes and development of new, innovative courses including distance learning. Faculty should note when alterations and/or innovations are made to the course. The majority of course development effort falls into the semester when the course is first taught, with some spillover into the second time a course is taught. In addition to development of a new course, there will be semesters when maintenance and substantial updating of material occurs. That some courses require more frequent updating than others should be recognized.
2. Activities involving teaching abroad and development/implementation/facilitation of study abroad opportunities for K-State students.
3. Innovations in existing courses with respect to subject content, instructional techniques, assessment approaches, or course materials. Faculty should periodically review the latest information related to their courses and make every effort to incorporate significant new information, so that students will have the latest knowledge available.
4. Development and preparation of courses using alternative methods of instruction, including multimedia presentations, computer facilitation, and so forth, that teach the students applications of course materials.
5. Coordination of multi-section courses.
6. Team teaching or interdisciplinary teaching.
7. Pedagogical research resulting in publication in peer-reviewed outlet and/or presentations at conferences
8. The availability of faculty members to students.
9. Whether the course goals and objectives as stated in the syllabus were met.
10. Major programmatic curricular changes.

C. Scholastic and/or professional growth that contributes to teaching effectiveness, among which may be:

1. Supervision of independent study and student internships, practicum course management, participation on MBA and MACC program of study committees, and serving on thesis or dissertation committees.
2. Writing textbooks and text-related materials such as guides, case books, instructor's manuals, games, simulations, and test banks, or reviewing such materials.
3. Presentation or attendance at workshops and seminars relative to teaching methods and techniques.
4. Consulting services in which one applies his or her area of expertise. This must be conducted within the limits of the University policies. See *University Handbook*, Appendix S.
5. Designing, conducting, or teaching local, regional, or state executive development programs.
6. Involving students in faculty research projects and consulting activities.
7. Pedagogical research.

D. Individual student counseling and mentoring activities, and faculty advisor work with student clubs, competitions, organizations, and companies.

Research

Research includes a broad spectrum of scholarship and other creative activities that require critical examination and investigation of marketing phenomena. These endeavors are directed toward discovering new ideas, developing new interpretations of existing ideas, or participating in the application and dissemination of these ideas. The results of research, scholarship, and/or creative activity should be shared with others through recognized channels appropriate to the discipline. The department strives to create a scholastic environment that will attract and retain high quality faculty and help fulfill its responsibility to the marketing profession and the State of Kansas.

Evaluating research productivity and quality involves a myriad of accomplishments to be considered. Research often results in numerous intermediate steps which ultimately end in finished products. Evidence of a productive research program is essential, and attempts should be made to assess the quality of the research program.

Research productivity needs to be assessed in accordance with individual position appointments. Individuals having a relatively higher percentage of research in their appointments are expected to exhibit proportionally more productive research programs than those having smaller percentages of research in their appointments.

A. Publications:

1. In the evaluation of journal articles, book chapters, conference proceedings, and cases, the primary consideration is the quality of the outlet and the impact that these publications have on the profession and business practice. The following classifications, ranked in order of importance, serve as guidelines for evaluating publications.
 - a. Published refereed articles in marketing journals and journals from related disciplines of national and/or international significance. This includes journals listed on the COBA journal list and the marketing department journal list.
 - b. Refereed book chapters.
 - c. Refereed national and/or international conference abstracts, proceedings, and presentations.
 - d. Refereed regional conference abstracts, proceedings, and presentations.
 - e. Refereed cases.

Recognition of scholarly research contributions in the form of internal and/or external research awards, impact on business practice or academic practices, number of citations, number of publications on the departmental and/or college publication lists, and reprints of articles in books shall be considered. Additional consideration is given to the rigor of the review process to which papers are subjected and the stature of the journals. The number of publications must be considered jointly with the number and order of authors. Sole authorship will receive most credit, followed by

senior authorship, and so forth. Collaborative and cross-disciplinary work are also encouraged. Further, other types of publications shall also be included in the review.

2. Student textbooks.
 3. Invited review articles which represent professional recognition.
 4. Published book reviews of scholarly or practitioner books in the field.
 5. Scholarly books and non-refereed chapters in scholarly books.
- B. The development and acceptance of research grant proposals or other external funding is considered a valued activity. Grants received from sources external to K-State or other forms of external funding are viewed as especially significant. For all grants and other forms of external funding, the dollar amount of the monetary award and the importance of the project to the stakeholders will be indicators to assess the significance of the grant writing or fundraising activity.
- C. Other scholarly research activities:
1. Publication of articles in trade journals, coverage of research in the mass media (print or digital) or other practitioner-related events that enhance the standing of the university.
 2. Papers presented at other marketing symposia, such as symposia at other universities and research institutions or business training.
 3. Invited presentations of papers or projects.
 4. Attendance at refereed academic or professional conferences without program participation.

Professional Service

Service activities provide opportunities for faculty to apply professional expertise, to participate in the governance and mission of the university, and to voice positions unique to the department. Excellence in service entails the faculty member's contribution toward results which reflect favorably on the individual's academic status and/or the department, college, or university. Faculty should document achievements that result from their service activity. The evaluation process will place more weight on contribution toward results and much less on mere attendance at committee meetings. Attendance at committee, department, and college faculty meetings is expected.

Service responsibilities may be fulfilled in a number of ways, many of which are listed below. Faculty members are not expected to be active in all or even most of these activities. Indeed, some faculty may elect to be involved minimally in service activities. The following list is indicative of the variety of services that may be performed for evaluation. Other areas of service are listed in the *University Handbook* (see Section C6).

- A. Within the university:
1. Service to the university and college includes, but is not limited to:

- a. Chairing of, or active membership on, college or university-wide committees.
 - b. Organizing, sponsoring, or participating in student professional societies and clubs.
 - c. Directing or participating in activities associated with college or university centers or institutes.
 - d. Organizing events, guest lecturers, field trips, student conferences, company site visits, study abroad programs, and student competitions.
2. Service to the department includes, but is not limited to:
- a. Chairing of, or active membership on, departmental standing or ad hoc committees.
 - b. Assuming administrative opportunities and/or responsibilities.
 - c. Participating in and supporting department activities and goals.
 - d. Serving as a mentor for students and new faculty members.
 - e. Participating, serving, or organizing departmental activities, trips, scholar or business visits or student competitions or events.
- B. Outside the university.
1. Service to the profession includes, but is not limited to:
- a. Serving as an officer of national or international professional marketing organizations.
 - b. Chairing of, or active membership on national or international professional marketing committees.
 - c. Serving as a conference chair or track chair at national or international marketing conferences.
 - d. Serving on editorial boards of book publishers, professional journals, or conference publications.
 - e. Serving as a panelist, chair, discussant, or moderator at professional conferences and seminars.
 - f. Serving as a reviewer for refereed marketing journals or conference papers.
 - g. Serving as an editor for a special edition of an academic journal
2. Service to the community directly related to professional and scholarly marketing activities includes, but is not limited to:
- a. Serving on evaluation teams for business and civic organizations.
 - b. Active membership on business or civic boards and committees.
 - c. Speeches to groups as a representative of the department, college, or university, especially to recruit new students or educate members of a business or civic organization about the discipline.

- d. Solicited presentations in the mass media including news websites, television shows, radio interviews, and newspaper articles that pertain to faculty expertise in marketing.
- e. Presenting to community organizations, businesses, and individuals.

Professional development activities are efforts an individual undertakes to become capable of better teaching, research, and professional service. It is not necessarily synonymous with current teaching, research, or service performance, because professional development activities may improve future performance. All faculty should be engaged in activities that help maintain or enhance their intellectual capital.

This area encompasses a wide scope of activities, and the following list is indicative of the variety of those activities:

1. Participation at academic or professional development meetings, including the College of Business Administration Research Seminar and company visits.
2. Attendance and/or participation in industry conferences that align with marketing curriculum, research interests or departmental or college level initiatives.
3. Attendance and/or participation in online or in-person training, including research methods, marketing skills, and other certifications.
4. Enrollment in university classes.
5. Development of research, teaching, and student mentoring and advising skills through attending workshops, study leaves, and academic conference sessions.
6. Faculty residencies, scholarly exchange programs, or a visiting appointment at another institution.
7. Self-study toward specific academic or professional marketing objectives. For example, professional certification, learning about new research tools, and increased specialization in particular areas of expertise are seen as appropriate activities.
8. Consulting with businesses, institutions, or organizations.
9. Academic sabbaticals for professional development.
10. Participation in webinars, podcasts, or other online learning opportunities that enhance faculty performance.

For faculty with additional administrative or service responsibilities an additional time allocation may be made for this activity, with corresponding reductions in required teaching load or research load. The time allocation, and expectations related to the time spent, should be documented during the goalsetting process.

Faculty Collegiality

Collegiality, while a less crucial issue relative to teaching and research, will be explicitly addressed in the annual evaluation and in tenure and promotion decisions. Minor interpersonal style issues that do not affect mission-related contributions will not be considered, nor will professional or philosophical differences. Indeed, the department values and highly desires a

wide range of professional and philosophical perspectives, vigorous debate on issues facing the department, and independent thoughts and free expression of those thoughts in a professional manner. Relevant collegiality factors include interpersonal integrity, adherence to professional ethics, effective management of disagreement and conflict, cooperation, generosity with intellectual resources, and mutual respect. Faculty members are expected to maintain collegial conduct and behavior such that the Department of Marketing, the College of Business Administration, and K-State University can accomplish their respective missions in an effective manner.

SECTION III: ANNUAL PERFORMANCE EVALUATION

At the start of each calendar year, faculty in the Department of Marketing with a regular assignment of five tenths or greater are requested to submit documentation for their Annual Performance Evaluation Summary using the department's annual planning and evaluation guidelines. This document includes an Annual Faculty Progress Report, a set of goals for the coming calendar year as stated in the department's Annual Performance Goals and Plans document (Appendix A), and a mutually agreed upon (with the Department Head) tenths assignment for the areas of teaching, research, professional service, and professional development.

The Annual Faculty Progress Report is composed of specific information relative to faculty activities in teaching, research, professional service, and professional development. Activities for each faculty member are reviewed and summarized by the Department Head, and an individual, written Annual Performance Evaluation Summary is arranged and conducted at the beginning of the calendar year. It is the responsibility of the faculty member to gather and organize the documentation for the Department Head. Requests by the Department Head for activity reports will be made at a reasonable time prior to their due date so that faculty members can be complete and clear in their reports.

Throughout January and February, the Department Head shall evaluate faculty member performance in each of the four performance areas of teaching, research, service, and professional development for the preceding year in which that faculty member was assigned responsibilities. Performance in each area shall be categorized and quantified by the Department Head as follows:

- 5 = Significantly exceeded expectations
- 4 = Exceeded expectations
- 3 = Met expectations
- 2 = Failed to meet expectations but has met minimum-acceptable levels of productivity
- 1 = Failed to meet expectations and fallen below minimum-acceptable levels of productivity

The Department Head is responsible for the evaluation of faculty member activity reports for purposes of recommending merit salary adjustments. A summary narrative is prepared by the Department Head, describing overall performance, strengths, and deficiencies in each area of assignment. The Annual Performance Evaluation Summary is presented in draft form to the

faculty member for examination. Faculty members meet individually with the Department Head to discuss their performance relative to their overall assignment and determine if impediments exist that have prevented them from obtaining their goals. Each faculty member is encouraged to discuss questions about, or corrections to, his or her Annual Performance Evaluation Summary during these meetings. The faculty member and Department Head sign the final document, which is forwarded to the Dean. The faculty member's signature indicates the document has been read but does not indicate agreement or disagreement with the content.

In case of a disagreement the faculty member shall have an opportunity to discuss the evaluation with the Department Head within a reasonable period of time prior to formal presentation of the evaluation to the Dean. If a disagreement persists after discussions with the Department Head, then within seven working days after the review and discussion with the Department Head, the faculty member will have the option of providing a letter to the Department Head, which details the nature of the disagreement. The Department Head will sign the letter of dissent and deliver it unedited to the Dean, along with the faculty member's evaluation documentation. The Department Head's signature indicates the document has been read but does not indicate agreement or disagreement with the content. The faculty member may request a meeting with the Dean for the purpose of attempting to resolve the disagreement. Such a meeting will be convened after the faculty member's meeting with the Department Head.

In evaluating a faculty member's annual performance, it is important to avoid distortions caused by arbitrary time periods. Furthermore, faculty activities may extend over many evaluation periods. If credit for the activity is given in only a single period, faculty may be discouraged from engaging in long-term projects. Generally, annual performance evaluations with respect to elite journal publications, major grants, major curricular innovations, or other highly valuable, activities are based upon a moving average concept that considers activities over a multi-year period with the greatest weight being placed on the current period. Specifically, an elite publication (i.e., Journal of Marketing, Journal of Consumer Research, Journal of Marketing Research or Marketing Science) and/or an elite publication on the College of Business Administration list will carry a weight of exceeded expectations for a three-year period in research.

Similarly, obtaining a major grant, which has the effect of bringing in substantial monies for use by the department, or a major curricular innovation, will carry a weight of exceeded expectations for a two-year period in the respective area.

Further, a series of publications (specifically five publications over a two-year period) with each publication on the marketing department's top-tier list will carry a weight of exceeded expectations for a two-year period in research.

Departmental resources such as summer school courses, travel money, Graduate Assistants, and administrative staff support are allocated on the basis of fulfilling the department mission as determined by the Department Head in consultation with the faculty. Effort will be expended to give all faculty support for their teaching, research, professional service, and professional development activities to help fulfill the department's mission.

Each faculty member, using the department's Annual Performance Goals and Plans document (Appendix A), shall outline goals for the four areas of performance for the coming year. These shall be discussed with the Department Head, resulting in goals that are mutually agreed upon. A copy of these goals will be sent to the Dean's Office within a month of their discussion.

These goals shall include the specific weights that the faculty member and Department Head have agreed upon for each performance area. The specific combination of weights assigned to the performance areas may vary depending on the different roles, as well as the faculty member's rank. For example, the recommended combinations for tenure-track assistant professors may be different from those combinations for tenured associate professors. These, in turn may vary from those of tenured full professors. Service weights of 20% or higher for associate and full professors are typically discouraged and would only be possible after appropriate negotiation with the Department Head. In general, the weights for tenure-track and tenured professors should fall within the following ranges, unless negotiated with the Department Head in conjunction with the specific duties of that particular faculty member.

	Minimum	Maximum
Teaching	40%	80%
Research	20%	60%
Service	5%	30%
Professional Development	5%	10%

There are no recommended weights for non-tenure-track faculty. Weights for each full-time non-tenure-track faculty will be negotiated with the Department Head and be based upon the needs of the department. Each faculty member is expected on an annual basis to display a minimum level of competence and activity in areas specific to their title.

For tenure-track assistant professors, the minimum teaching and research allocation is 40% each, and the maximum service allocation is 15%. Continual professional development is expected of all faculty members. The Annual Performance Goals and Plans can be found in Appendix A.

The process and timetable for evaluation of the regular or term non-tenure-track faculty is identical to those for tenure and tenure-track faculty. As well, the criteria for evaluations of regular or term, non-tenure-track faculty in teaching, research, professional service, and professional development are identical to those for tenured and tenure-track faculty.

Faculty must meet the AACSB guidelines for engagement identified in the College's *Standards for Faculty Qualifications and Engagement*, adopted April 17, 2018.

Faculty merit raises are based upon the percentage of time allocated to position responsibilities of teaching, research, professional service, and professional development, and the faculty member's annual evaluation rating for each of these categories. Merit raises are distributed equally across faculty using an average faculty rating derived from that year's annual evaluation.

If an annual merit increase is not available for budgetary reasons, merit increases should consider the prior annual evaluations not previously recognized.

The Department Head will determine the faculty’s merit raise from the portion of the Department’s merit pool using the following procedures. First, for each faculty member, an overall evaluation rating is computed by multiplying the Department Head’s evaluation ratings (e.g., 4.0 = exceeded expectations) by the time allocation weight assigned per category (e.g., 45% for research) and summing the ratings.

	Evaluation Rating	Time Allocation Weight	Rating x Weight
Teaching			
Research			
Professional Service			
Professional Development			
Overall Evaluation Rating (sum of evaluation ratings x weight)			

Next, an average faculty rating is calculated by dividing the summed overall evaluation rating for each faculty member by the number of faculty members, as illustrated in the following example.

Name	Overall Evaluation Rating	
Professor A	3.80	
Professor B	3.00	
Professor C	4.00	
	10.80	Sum of ratings
	÷ 3	Number of faculty
	3.60	Average faculty rating

The Average Faculty Rating is then divided by each faculty member’s Overall Evaluation Rating to arrive at a Final Rating (e.g., Professor A’s overall rating 3.8 / 3.6 Average Faculty Rating = 1.05). To calculate the faculty member’s merit increase, the Final Rating (e.g., 1.05) is multiplied by the departmental merit increase pool amount (e.g., 1.05 x 2.0% merit increase pool amount = 2.1% increase).

SECTION IV: TENURED FACULTY CHRONIC LOW ACHIEVEMENT STANDARDS

In accordance with the *University Handbook* (C31.5), the faculty of the Department of Marketing have established minimum-acceptable levels of productivity for each of the four performance areas for tenured faculty. This policy is concerned with revocation of tenure and should not in any way be confused with criteria for the initial awarding of tenure. As such, these criteria are exclusively for tenured faculty in a regular nine-month faculty position. Chronic failure to meet the minimum-acceptable levels constitutes evidence of professional incompetence.

The Department of Marketing as an academic unit strives to maintain a roughly equal and major emphasis on teaching and research. Within this broader context, professional service and professional development also represent essential tasks for the professorate, which are important to the overall functioning of the Department and cannot be ignored. Below minimum-acceptable performance in these categories, when the deficient area(s) represent 50% or more of the faculty member's annual responsibilities, is cause for evoking the process envisioned in the *University Handbook* C31.5. The Department Head will indicate in writing to the tenured faculty member when his or her overall performance falls below the minimum-acceptable level as indicated by the annual evaluation.

The Department Head will also indicate, in writing, a suggested course of action to improve the performance of the faculty member with key benchmarks and time schedules. If either the Department Head or the faculty member deems it appropriate, a peer review group with membership determined by the Department Head will be created to assist the Department Head in monitoring and evaluating the faculty member's performance. In subsequent annual evaluations, the tenured faculty member will inform the Department Head about activities designed to improve performance and submit evidence of improvement.

Exceeding minimum-acceptable standards and avoiding the process outlined in the *University Handbook* C31.5 (and potential revocation of tenure) requires that a faculty member under the special review process outlined above satisfy each of the standards set forth below. The Dean of the College of Business Administration will be notified by the Department Head about the names of tenured faculty members who fail again to meet the minimum-acceptable levels for the second year after the Department Head's suggested course of action has been completed. The Dean has the discretion to recommend dismissal of a tenured faculty member who receives two successive evaluations below minimum-acceptable standards, or three evaluations below minimum-acceptable standards in any five-year period.

The faculty in the Department of Marketing consider tenure essential for promoting an environment of free inquiry and scholarship. No single individual has the right to determine the revocation of tenure without input from the department faculty. Prior to consideration of dismissal for cause and therefore determining a tenured faculty member is a chronic low achiever, the Department Head must take action to help the faculty member improve his or her performance and make sure that duties have been assigned equitably. The Department Head and the faculty member may agree to reallocate the faculty member's time to avoid duties in the area of deficient performance and reassign the person to areas of better performance, see *University Handbook* C31.7. For example, a tenured faculty member may be assigned a greater role in either teaching or research. This reassignment must be possible in terms of the Department of Marketing's mission and needs.

The following represents minimum departmental standards for productivity.

1. All tenured faculty are expected to satisfactorily design and manage their courses to promote student learning about the discipline. Tenured faculty must achieve a minimum TEV AL rating of 2.0 (averaged over a two-year period) for all courses. The average is

based upon a summation of teacher effectiveness (#1) and amount learned (#14) divided by two as listed on the TEVAL rating form for each course. The average for each course is then summed and divided by the number of courses.

2. All tenured faculty are expected to make scholarly contributions to the discipline. Tenured faculty are expected to publish either a book, monograph, or a refereed journal article every four years.
3. All tenured faculty are expected to satisfactorily contribute to the department, college, University, and/or discipline through professional service. Tenured faculty must serve on at least one committee every two years.
4. All tenured faculty are expected to engage in at least one professional development activity every two years.

The chronic low achiever determination may be reached when a tenured faculty member fails to meet any of the above listed performance standards.

SECTION V: MID-PROBATIONARY REVIEW

A formal review of a tenure-track faculty member is conducted midway through the probationary period. Criteria for mid-probationary review are stated in the *University Handbook*, Sections C92.1 - C92.4. Procedures for the mid-probationary review are similar to procedures for the tenure review. At the mid-tenure review stage, the candidate will be expected to show evidence of accepted publications, journal submissions, as well as a research map that points to a high probability of reaching tenure standards when the candidate is expected to go up for tenure.

Unless otherwise stated in the candidate's contract, the mid-probationary review shall take place during the third year of appointment. This review provides the faculty member with substantive feedback from faculty colleagues and administrators regarding his or her accomplishments relative to departmental tenure criteria. A positive mid-probationary review does not ensure that tenure will be granted in the future nor does a negative review mean that tenure will be denied.

SECTION VI: REAPPOINTMENT OF NON-TENURE AND TENURE-TRACK FACULTY

Regular non-tenure and tenure-track faculty are evaluated annually for reappointment. This review will take place in November. Faculty are responsible for submitting their reappointment file to the department head. At a minimum, this file should contain the candidate's current C.V. and teaching evaluations (TEVAL forms) from the prior year. The Department Head will make the candidate's reappointment file available for review by faculty.

All regular non-tenure track and tenure-track/tenured faculty above the rank of the individual being considered for reappointment will make recommendations to the Department Head regarding the candidate's reappointment, except that only tenured faculty will make recommendations for faculty in tenure-track positions. The Department Head will write a recommendation with explanations and make it available to the candidate. The Department Head's recommendation and accompanying documents will then be forwarded to the Dean for the Dean's recommendation regarding reappointment. The Dean will notify the candidate in writing of the

College's recommendation prior to forwarding the file to the Provost for recommendation for final reappointment determination. See the *University Handbook* for the specific procedures related to reappointment

The criteria for reappointment of untenured and non-tenure track faculty members are the same as 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.

SECTION VII: PROMOTION

General guidelines and criteria for promotion and tenure are stated in the *University Handbook* (Sections C70-C158.3). The non-tenure track faculty will follow similar procedures for promotion and along the same timeline.

A. Assistant to Associate Professor

Consistent with the responsibilities of a faculty member's role, the criteria for promotion and tenure from assistant to associate professor fall into the areas of teaching, research, service, and professional development include:

1. Research. A portfolio of scholarly research activities, as described in Section II of this document, shall be considered in the evaluation for promotion and tenure. However, refereed journal articles shall be considered the major indicator of research for this decision. Further, journal quality shall play a significant role in the evaluation of a candidate's research. We explicitly recognize that individual faculty may select unique research paths that reflect excellence in scholarship. Each assistant professor should be a major contributor to and/or a principal author of a majority of his or her articles. Assistant professors are required to demonstrate that they are capable of establishing and independently conducting a research program that leads to published refereed articles in marketing journals.
2. Teaching. A teaching portfolio approach will be used in the assessment of quality 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. Teaching activities as described in Section II of this document shall be considered in the evaluation for promotion and tenure. TEVAL scores for all courses taught by faculty member since attaining prior rank may be considered in the evaluation, along with teaching awards won, if any.
3. Service and Professional Development. Although teaching and research are the most important criteria in the granting of tenure and in the promotion from assistant to associate professor, services and professional development contributions are considered valuable activities. A portfolio approach demonstrating accomplishments in the areas of service and professional development (as outlined in Section II of this document) shall be used in the evaluation for promotion and tenure. 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 national service within an area related to his or her appointment.

4. Receiving, as a minimum, a rating of "met expectations" on the candidate's annual evaluations in the areas of teaching, research, service, and professional development during the probationary period.
5. Assistant professors in a tenure-track role must have attained membership on the Graduate Faculty prior to their mid-probationary review.

B. Associate to Full Professor

The requirements to be eligible for consideration for promotion from associate to full professor include:

1. Achieving national/international recognition for contributions to the profession.
2. Continued excellence in teaching, research, and service activities, as described in Section II of this document. The quality and quantity of publications since attaining Associate Professor rank will be given predominant weight in evaluation. Research excellence will be measured using criteria such as type of journals (e.g., elite and/or top tier journals as noted on the COBA and Marketing Department journal lists). Research impact (measured via criteria such as citation counts may be considered.). We recognize that individual faculty scholarship activities in these areas will change as faculty advance in rank. Professional development activities are also highly valued and will be used in the evaluation of promotion to full professor.
3. Candidates for full professor must demonstrate leadership in professional service by serving on university, college, and departmental committees. Candidates must demonstrate an active role in advancing the mission of the department and college.

C. Procedure for Promotion from Assistant Professor to Associate Professor

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, service, and professional development meet or exceed departmental expectations, an assistant professor may choose to submit a portfolio providing evidence of appropriate contribution to merit tenure and promotion.

Before the third week in October, the candidate will provide a portfolio consisting of the standard documentation required for the promotion and tenure decision. The candidate should consult tenured faculty and the Department Head to determine what to include in the portfolio. Candidates are encouraged to review previous tenure portfolios on file.

In the third week of October, the candidate's materials will be made available to all tenured faculty members for review. 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.

At a date no earlier than 14 calendar days after the candidate's materials are made available to the tenured faculty members, the Department Head will schedule a meeting of tenured faculty to discuss and vote on the candidate's application for promotion and tenure. Tenured faculty who are unable to attend may request an absentee ballot.

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.

The remaining steps in the tenure process occur outside the Department of Marketing and are discussed in Sections C113-C151 of the *University Handbook*.

The promotion process for a non-tenure track faculty member will include a review of the portfolio documentation and recommendation for promotion by a committee of qualified faculty. Tenure-track faculty will be evaluated by tenured faculty only at or above the associate professor rank. Non-tenure track faculty will be evaluated by both tenured and non-tenured track faculty above the assistant rank.

D. Procedure for Promotion from Associate Professor to Full Professor

Consistent with Section C140, associate professors who have demonstrated superior professional accomplishment and excellence in the performance of their assigned duties may choose to submit a portfolio providing evidence of continued contribution to department, college, and university within their area of appointment (See *University Handbook* Sections C150 and C151).

The process will follow the exact same timeline and process as that described above for assistant professors, except that only tenured full professors in the department will take part in the evaluation. Evaluation for promotion for non-tenured faculty to full professor will consist of both full tenured and full non-tenured professors.

SECTION VIII: PROFESSORIAL PERFORMANCE AWARD CRITERIA

The intent of Professorial Performance Award is to recognize excellent and sustained high quality performance of faculty at the rank of full professor. To be eligible, the faculty member must be a full-time faculty member and have been at the full professor rank at K-State for at least six years since the last promotion or Professorial Performance Award.

The criteria for this award are comparable with the quality and breadth of requirements needed to be considered for promotion from associate professor to full professor in the Department of

Marketing. Specifically, the following requirements, which parallel the requirements used in considering candidates for promotion from associate to full professor, will be used as the evaluative criteria for the Professorial Performance Award.

1. Continued national/international recognition for contributions to the profession.
2. Continued excellence in teaching, research, and service activities, as described in Section II of this document. Professional development activities are also highly valued and will be used in the evaluation of the Professorial Performance Award.
3. A portfolio of scholarly teaching and research activities, as described in Section II of this document, shall be considered in the evaluation for the Professorial Performance Award.
4. Candidates for the Professorial Performance Award must demonstrate leadership in professional service by serving on University, College, and Departmental committees. Candidates must demonstrate an active role in advancing the mission of the Department and College.

The procedures for determining awardees will follow a timeline consistent with the activities associated with the annual evaluation review process and the procedures described in the *University Handbook* (Section C49.5-49.14). The criteria for the Professorial Performance Award will be reevaluated every five years or earlier if the department's Policy Statement for Evaluation Decisions Concerning Annual Evaluations, Reappointment, Promotion, and Tenure is changed.

SECTION IX: 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." The remainder of the section on Post Tenure Review will describe the guidelines, procedures, and criteria to be used by the department.

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/provostlresources/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/unit 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/unit 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.

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 areas for improvement, to determine whether he/she is making

appropriate contribution or whether additional plans or activities 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 reviewer(s) 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.

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APPENDIX A

ANNUAL PERFORMANCE GOALS AND PLANS

The following format is used to specify annual performance goals and plans for the calendar year. This section is completed by the faculty member and presented to the Department Head in January with the Annual Performance Evaluation Summary.

Performance Summary

Full Name:

Title/Rank

Performance Period: Annual Year (**List Year**)

Overview

Teaching: **Teaching Performance Weighting: _____%**
Provide the classes taught a specific semester during the evaluation period. Outline key milestone events and time frames. Discuss and changes to the class or any teaching related activities, committees, etc.

If appropriate, summarize noteworthy developmental plans for a particular course and new pedagogical thrusts in your teaching. Also, note related key milestone events and time frame. This is intended to (1) help you organize your teaching enrichment efforts, and (2) let the Department Head know the highlights and general directions of your changes.

Research: **Research Performance Weighting: _____%**

Describe your current number of publications during the evaluation period. In addition, provide information regarding research outcomes such as article submissions, conference presentations, textbooks, and other pedagogical writings, etc., for the evaluation period. A title and two-sentence description per outcome will generally be adequate.

For research that is ongoing, please briefly describes an action plan that identifies key milestone events. This may include areas such as data collection completion, analysis completion, submission, etc., and associated completion dates. **In addition, please describe any impact of your research, whether it is recognition by journals, trade publications, awards, or other areas.**

Professional Service Activities: **Service Performance Weighting: _____%**

In the space below identify your professional service activities for the department, college, university, or professional marketing organizations. Please understand that all service demands cannot be completely anticipated and that your service responsibilities may evolve in the face of changing demands. The Department Head will always discuss changes in service demands with you.

Professional Development:

Professional Development Weighting: _____%

Please describe any additional enhancements to your professional skills or knowledge areas that you increased, expanded, and developed.? This could include improving or expanding existing skills or knowledge areas. T\

For faculty with additional administrative or service responsibilities, please describe projects in which you have completed and outcomes. For projects that are ongoing, briefly describe an action plan that identifies key milestones.

Goals

Goals for (Upcoming Academic Year)

Full Name:

Title/Rank

This portion should include the following three elements:

- Research
- Teaching

Service/Outreach/Professional Development and Administration

Under each respective section, please describe the goals for the upcoming evaluation period.

The foregoing plans and goals are agreed upon by the Department Head and the faculty member as reasonable performance objectives for the upcoming evaluation period. Both parties agree that circumstances beyond the control of either may cause actual performance results to differ from those anticipated. The faculty member will consult with the Department Head prior to undertaking major activities which would cause significant deviation from the plan. If such deviations occur, the annual goals specified by the faculty member in January may be modified by September 1 of a given year with approval from the Department Head. An updated version of the Annual Performance Goals and Plans form will be submitted to document the agreed upon change.

January, _____ (List Year)
Date

Department Head Signature

Faculty Signature

APPENDIX B

PROFESSIONAL QUALIFICATIONS MAINTENANCE EXAMPLES

Faculty roles defined by AACSB as Practice Academics (PA), or Instructional Practitioners (IP) must maintain professional qualifications. The following is an excerpt from College's *Standards for Faculty Qualifications and Engagement*, adopted September 17, 2014, identifying possible professional activities.

“The following, non-exhaustive list, represents examples of other activities that might be used to maintain professional qualifications. The individual submitting these activities should demonstrate the relevance of these activities to business education. Typically, an individual participating in undergraduate instruction at the introductory level will participate in at least two of these types of activities within a 5-year period and will complete an average of 20 hours’ worth of activities in these areas per year, including time spent preparing and participating, in order to maintain professional qualification. These activities do not need to be conducted evenly over a 5-year period. External awards and recognition can also be considered as forms of validity verification.

1. Performing consulting activities (either paid or unpaid).
2. Faculty internships.
3. Obtaining documented professional certifications in the area of teaching.
4. Documented continuing professional education experiences.
5. Publishing and/or presenting intellectual contributions, with an emphasis on items such as applied or teaching-orientated journal articles and/or cases, popular press books on business subjects, textbooks, chapters in textbooks, instructor’s manuals, solutions manuals, and other similar pedagogical materials; or reviewing textbooks.
6. Serving on boards of directors or in public office.
7. Serving as a volunteer in areas related to their professional expertise and teaching areas in non-profit organizations.
8. Serving as an expert witness.
9. Participation in professional events that focus on the practice of business, management, and related issues.
10. Participation in other activities that place faculty in direct contact with business and other organizational leaders.
11. Active involvement in business professional associations and societies or academic organizations.
12. Developing and/or presenting and/or attending continuing professional education workshops, executive education seminars, or professional/trade conferences. These may include activities focused on professional practice and/or teaching pedagogy. These may be conducted face-to-face, online or through structured self-study.
13. Operating or owning a business with substantial annual revenues.
14. Obtaining, or working toward obtaining, new (and relevant) professional certification.
15. Service activities that are a typical part of an individual’s role in achieving the mission of the College (e.g., curriculum development, advising and faculty governance) normally will not be included as fulfilling the requirements for

maintaining PA or IP qualifications. However, service activities that draw upon expertise specifically related to the area of teaching represent an exception to this.

16. Both application for and completion of external grants that lead to activities similar to those described in the above bullets as part of the grant completion.

The types of contributions required to maintain PA or IP qualification for a particular faculty member should be consistent with their role in the instructional mission of the College and Department. Consequently, these activities should be planned as part of the process used for developing expectations during the annual evaluation process and should be fully documented by the faculty member through this process. Further, reasonable financial support for activities, as agreed upon during this process, should be provided by the College or Department as available.”