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**B. Document Revision Team**

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**Policy Statement Concerning:**

**Personnel Review and Evaluation Standards/Procedures**

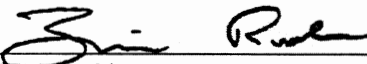
- Performance Evaluation Criteria
- Annual Evaluation
- Reappointment Evaluation for:
  - Annual Reappointment Reviews
  - Mid-Tenure Review
- Tenure
- Promotion
- Professorial Performance Award
- Chronic Low Achievement
- Post-Tenure Review
- Non-Tenure Track Faculty Titles

Approved by Faculty Vote on ( 10/09/2019 )


**NEXT REVIEW DATE: 01/01/2022**

  
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Department Head's Signature

11-15-2019  
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Date

  
\_\_\_\_\_  
Dean's Signature

11/15/19  
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Date

  
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Provost's Signature

11/21/2019  
\_\_\_\_\_  
Date

## C. Introduction

This document describes the faculty identity, criteria for appointment and reappointment, mid-probationary review, tenure review, and post-tenure review to be used for the Department of Diagnostic Medicine/Pathobiology faculty. The system functions within the procedures and constraints of university policy and conforms to applicable sections of the University Handbook. Components of this document have been drawn from the University Handbook; Section C: Faculty Identity, Employment and Tenure; Section F: Instruction—Academic Procedures; Section G: Research; and Section H: Extension, Global Campus, and International Programs.

## D. Faculty Identity

**Assistant Professor, Associate Professor and Professor (probationary or tenured):** The primary responsibility of persons on these appointments is instruction, teaching, research, or clinical service. Individuals appointed to these positions should have credentials mandated in the promotion and tenure documents. These individuals will qualify for principal investigator status on proposals to external agencies. (University Handbook Section C10).

**Clinical Assistant Professor, Clinical Associate Professor and Clinical Professor:** The primary responsibility for persons on these appointments is teaching and clinical service. A component of the clinical appointment may include opportunity for scholarly achievement. Clinical-track faculty are classified by the university and Board of Regents as regular or term appointments (University Handbook Section C12.2). Persons appointed to these positions should have credentials appropriate to the discipline. Clinical faculty are not eligible for tenure and service in these positions is not credited toward tenure.

**Research Assistant Professor, Research Associate Professor and Research Professor:** The primary responsibility for persons on these appointments is research. Individuals appointed to these positions should have research credentials consistent with those mandated for the comparable tenure-track rank in their disciplines. These individuals will normally qualify for principal investigator status on proposals to external agencies if approved by their department head or chair and the dean of the college. Individuals on these appointments are not eligible for tenure and are not eligible to vote on matters of tenure or promotion for tenure-track faculty. Service in these positions is not credited toward tenure. (University Handbook Section C12.1).

**Instructor, Advanced Instructor and Senior Instructor:** The primary responsibility for persons on these appointments is instruction. Individuals in these positions are not required to hold a terminal degree appropriate to the discipline. Individuals on these appointments are not eligible for tenure and are not eligible to vote on matters of tenure or promotion for tenure-track faculty. Service in these positions is not credited toward tenure. (University Handbook Section C12.0).

**Teaching Assistant Professor, Teaching Associate Professor and Teaching Professor:** The primary responsibility for persons on these appointments is instruction, although the entire set of expectations must be clearly defined in the offer letter. A component of the teaching appointment may include opportunity for scholarly achievement and service. Persons appointed

to these positions will hold a terminal degree appropriate to the discipline. Individuals on these appointments are not eligible for tenure and are not eligible to vote on matters of tenure or promotion for tenure-track faculty. Service in these positions is not credited toward tenure (University Handbook Section C12.4).

## **E. Faculty Appointment/Reappointment Criteria**

### **Appointments**

Faculty appointments are based on a candidate's commitment to excellence in a chosen field, a desire to be scholarly and creative, and a commitment to the academic goals of the college and university and those of the broader national community of scholars. Professional integrity and good academic citizenship are essential personal qualifications.

Specific requirements for the appointment of faculty are described in Section C20-C27.4 of the University Handbook. A letter of expectation is written by the department head to each prospective appointee to describe the general responsibilities of the position and the percentage of faculty effort allocated to the major missions of the department and college. Because the department's and college's needs may change, later modifications in assignments may be necessary. Changes in individual responsibilities are negotiated annually by the faculty member, department head and dean during annual evaluation meetings and are documented in annual evaluations. If a change in faculty responsibility is necessary during the course of the year, the change must be agreed upon between the faculty member, department head, and dean, followed by written documentation.

Recommendations for appointment of clinical-track faculty are made by the department head, with input from the director of the Diagnostic laboratory, according to the guidelines and procedures described in the University Handbook (Section C20-25). Faculty appointed to regular clinical-track positions should have credentials appropriate to the discipline. Board certification in an appropriate specialty is expected for some appointments. Clinical-track faculty rank is determined as defined by the Diagnostic Medicine/Pathobiology Criteria for the Appointment, Reappointment, Promotion and Tenure of Ranked Faculty, and in accordance with the University Handbook (Section C10-C15).

### **Reappointment**

Faculty members with probationary appointments are evaluated annually to determine whether or not they will be reappointed. These annual evaluations provide feedback to a probationary faculty member about his or her performance in comparison to their assigned responsibilities and the department's criteria and standards for tenure and promotion.

Assistant professors will annually prepare an accomplishment report documenting his or her productivity in the various areas of assigned duties (instruction, research, service) for review by the department's associate and full professors. Following a department faculty meeting and submission of ballots by faculty reviewers, the department head provides the probationary faculty member with a written summary and evaluation for the past year's activities. Recommendations reflecting the faculty's and department head's possible concerns and

recommendations to improve on the granting of reappointment are forwarded to the dean.

Persons appointed to clinical assistant professor positions receive annually renewable one-year contracts. Persons appointed to clinical associate professor positions will receive renewable three-year contracts. Persons appointed to clinical full professor positions will receive renewable five-year contracts. Notice of non-reappointment for faculty on regular appointments will be provided at least 12 months before the end of the contract.

Instructor, teaching assistant professor and research assistant professor positions receive one-year, regular or term contracts. Advanced and senior instructor, teaching associate professor and teaching professor and research associate professor and research professor positions may receive one-year regular appointments, or one-, two- or three-year term appointments.

## **F. Criteria for Appointment of Faculty at Rank**

### **Instructor, Advanced Instructor, and Senior Instructor**

Individuals appointed at the instructor ranks will generally have recently completed their academic and professional training and will have demonstrated interest and/or expertise in teaching and/or service activities. They may have finished specialty residencies, doctoral programs, and/or postdoctoral training and will have supportive recommendations from their mentors. Instructors often have minimal experience in formal teaching and/or service activities. They are embarking upon a phase of their career during which they gain increasing experience, independence and responsibilities and should have time to develop teaching interests and polish service skills. Aptitude for developing expertise in teaching and/or service is judged by recommendations from mentors/peers, academic performance, publications, and presentations (University Handbook C12.0).

### **Assistant Professor, Research Assistant Professor, and Teaching Assistant Professor**

Those appointed as assistant professors with major research appointments or research assistant professors will, as a rule, have completed 2 or more years of postdoctoral training, published 2 or more papers as the senior author, and have shown aptitude for an independent research career. Assistant professors with major directed service appointments have extensive specialty training and have certification, or are eligible for certification, by their respective certifying bodies. Assistant professors with major instructional responsibilities and teaching assistant professors will have demonstrated experience and special skills in the area of teaching within a professional curriculum. As a general rule, appointees for assistant professorships will often have senior-author peer-reviewed publications in print or in preparation and have shown aptitude for an academic career by scholarly activities in teaching, research and/or service. Appointment at the assistant professor level is based on the candidate's educational and professional background, recommendations from qualified colleagues/peers, and the candidate's potential for developing excellence in teaching, basic or applied research and service responsibilities (University Handbook C12.1, C12.4).

### **Associate Professor, Research Associate Professor, and Teaching Associate Professor**

Candidates for appointment as associate professor, research associate professor or teaching associate professor will have fulfilled the expectations described for appointment to assistant professor, research assistant professor and teaching assistant professor. In addition, the candidate will present compelling evidence for scholarship by a distinguished record of excellent teaching, basic or applied research, high quality service and/or other noteworthy scholarly activities. Candidates for associate professor must excel in some academic areas, but not necessarily in all facets of academic life mentioned above. Candidates must have an established record that clearly demonstrates their near certain likelihood to become nationally recognized as experts in their fields within the next few years (University Handbook C12.1, C12.4).

### **Professor, Research Professor, and Teaching Professor**

Appointment as professor, research professor, or teaching professor is based on the candidate's national and/or international recognition for a distinguished career exemplifying scholarship, excellence and productivity in successful teaching, research, and outstanding directed service. Such criteria must be fulfilled to high orders of expectations. Professors take leadership roles within the department and college, serve as mentors for younger or less-experienced faculty members and are recognized as a national resource in their disciplines or areas of expertise. The rank of professor recognizes an individual's demonstrated development, dedication to scholarship, teaching and service and commitment to furthering knowledge through research and student mentoring. Often the faculty member will have served on national committees, study sections and editorial boards. Supportive letters of recommendation must indicate impeccable professional and ethical credentials in all areas of activity (University Handbook C12.1, C12.4).

### **Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor**

Individuals appointed to these ranks may be appointed or promoted on the basis of demonstrated merit in relationship to their association with the laboratory and department missions and the guidelines within the Diagnostic Medicine/Pathobiology Criteria for the Appointment, Reappointment, Promotion and Tenure of Ranked Faculty. Each higher rank demands a higher level of effectiveness and scholarship in service, applied research and clinical teaching, consistent with the expectations for tenure-track faculty. Annual evaluation and promotion consideration for regular appointments are conducted using the same guidelines for tenure-track faculty as described in the Diagnostic Medicine/Pathobiology Criteria for the Appointment, Reappointment, Promotion and Tenure of Ranked Faculty.

Reappointment of clinical assistant professors on regular appointments requires annual evaluation of accomplishments for the prior contract year and a vote by faculty (tenured and non-tenure-track) of higher rank for recommendation to the dean of the College of Veterinary Medicine by the department head with input from the director of the diagnostic laboratory. Reappointment of clinical-track faculty on regular appointments is based on a mandatory evaluation during the penultimate year of appointment.

Recommendation for reappointment of clinical associate professors is determined by the outcome of the performance evaluation and a vote by professorial rank faculty (tenured and non-tenure track) for recommendation to the dean of the College of Veterinary Medicine by the department head with input from the director of the diagnostic laboratory. Recommendation for reappointment of clinical professors is determined by the outcome of the performance evaluation and a vote by professorial rank faculty (tenured and non-tenure track) for recommendation to the dean of the College of Veterinary Medicine by the department head with input from the director of the diagnostic laboratory. Clinical-track faculty members wishing to withdraw from reappointment consideration to a subsequent appointment may do so by resigning their position effective at the end of the final contract year.

Although the tenure and clinical-track appointments are considered to have equal stature, in rare cases where one's professional duties may have evolved significantly, faculty may apply for a one-time transfer from a tenure-track to a regular clinical-track appointment or from a regular clinical-track to a tenure-track appointment. Transfer approval is determined by a vote of the departmental faculty of higher rank to the faculty member under consideration, and by recommendation of the department head, with input from the director of the diagnostic laboratory. Years of service on regular clinical-track appointments will not be credited towards consideration for tenure for faculty transferring from a clinical-track appointment to a tenure-track appointment. Final approval is determined by the dean of the College of Veterinary Medicine.

Clinical faculty with term appointments are appointed by the department head and/or the director of the diagnostic Laboratory with the dean's approval. Term clinical faculty appointments may be at the rank of assistant, associate or full professor. Term clinical faculty may be on full- or part-time appointments. Term appointments carry no expectation of continued employment beyond the period stated in the contract. Years of service on a term appointment may not be credited towards tenure, and standards for notice of non-reappointment do not apply (University Handbook, Section C, C12.2).

#### **G. Policies and Guidelines for Faculty on Non-Tenure-Track Regular Appointments**

Clinical-track, research-track and teaching-track faculty on regular appointments will participate in faculty governance processes as defined by the department, College of Veterinary Medicine and University Handbook. These faculty members have voting rights in college and department matters and elections, and may serve on department, college, and university committees unless policies limit membership to tenured or tenure-track faculty. They also are eligible to submit grant applications and direct research as principal investigators (Kansas State University Policy and Procedures Manual 7010.060), and are eligible for graduate faculty status, which allows them to serve as major professors, graduate committee members and course coordinators for graduate-level courses (Graduate Handbook, Chapter 5, Section C). Clinical-track, research-track and teaching-track faculty members without graduate faculty status are eligible to be course coordinators in the College of Veterinary Medicine. Clinical-track, research-track and teaching-track faculty members on regular appointments are eligible for sabbatical leave (University Handbook, Section E2) and are eligible for faculty development funds, if available. Faculty policies and guidelines for non-tenure-track faculty on regular appointments do not apply to visiting faculty, adjunct faculty or non-tenure-track faculty on temporary (term) appointments.



## **H. Tenure**

Tenure is granted in recognition that the faculty member has exhibited the qualities of a scholar and has demonstrated excellence in teaching, research and/or directed service. Tenure implies a long-term commitment by the university to qualified individuals and requires continuing dedication from the tenured faculty members to their disciplines and to the department, college and university (University Handbook C70, C90).

Faculty are expected to possess the terminal academic degree appropriate to their discipline and/or board certification in their recognized specialty. Tenure is granted only at the levels of associate professor and professor.

Faculty may request early tenure review, but those in the final year of probationary (tenure-track) appointments will automatically be reviewed for tenure. (University Handbook C112). The median time for tenure-track promotion at Kansas State University has been 6 years, but if a faculty member's cumulative performance in rank clearly meets the standards for promotion, as judged by the department faculty, such may be considered and, if appropriate, granted earlier.

## **I. Mentoring Committee**

The department head will appoint three faculty members to serve as a mentoring committee to each new faculty including those appointed as assistant professor, clinical assistant professor and research assistant professor. The committee will consist of professors and/or associate professors that are willing and able to commit effort and time toward the professional growth and development of the mentee. The appointment of the mentoring committee will be made following consultation with the mentee and should occur during the first 3 months of the new faculty member's appointment. Committee membership should reflect the appointment split of the new faculty member and must avoid a competitive relationship with the new faculty member. At the discretion of the department head, the members of the mentoring committee can be revised following the mentee's annual review. This hierarchical, structured, assigned committee of senior faculty is defined as a traditional mentoring model (*Guide to Best Practices in Faculty Mentoring*, Columbia University, 2016). Additional formal and informal mentoring opportunities may be encouraged as appropriate for the mentee.

No official evaluation or assessment of the new faculty member is performed by the committee. The committee's purpose is to review progress, provide advice, insight, and supportive guidance for career development, and to provide constructive input on program development. The mentoring committee will also provide advice and guidance on the progress towards promotion and/or tenure and on managing and balancing teaching/research/service roles. The role of the mentoring committee is to supplement, not to replace, the assistance provided by the department head. It is the mentee's responsibility to arrange meetings with the committee at least two times a year. Ideally, one of the yearly meetings should include a review of the mentee's annual review materials and future plans.

## **J. Mid-Probationary Review**

A formal review of each faculty member will be conducted midway through their probationary period (University Handbook C92.1). Unless otherwise noted in the candidate's contract, the mid-probationary review will take place during the third year of appointment. This formal review provides the faculty member substantive feedback from faculty colleagues and administrators regarding his or her accomplishments relative to departmental tenure and promotion criteria. Although intended to be realistic, a positive mid-probationary review does not ensure that tenure or promotion will be granted in the future, nor does a negative review mean that tenure or promotion will be denied. The department will also review clinical- and research-track faculty members at this time, although the college Promotion and Tenure Committee will only provide oversight for tenure-track faculty.

Procedures for the mid-probationary review are similar to the final tenure review procedures and are established by the departmental faculty in consultation with the department head and the dean. The tenure application form is located at <https://www.k-state.edu/provost/resources/dhmanual/>. This is used as a draft document for submission to the department Tenure and Promotion Committee for detailed review and recommendation. The candidate's mid-probationary review file is also made available to tenured faculty, as well as clinical-track associate and full professors, at least 14 days prior to a meeting to discuss the candidate's progress. Tenured faculty will also have access to the probationary faculty member's cumulative record of written recommendations and explanations that were forwarded to the candidate from previous annual reappointment sessions and any comments from individuals outside the department deemed relevant to assessing the candidate's performance.

Following review of the faculty members' comments and the report from the Tenure and Promotion Committee, the department head may then further discuss the review and assessment with the dean. The department head will then provide a letter of assessment to the candidate, including a summary of faculty comments and suggestions for improvement toward successful tenure achievement. This letter of assessment and the department Tenure and Promotion Committee report becomes part of the candidate's reappointment and mid-probationary review file. The department head will discuss the review and assessment with the candidate, and after receiving this assessment, the candidate may submit a written response for the file.

Comments on the candidate's mid-probationary review may also be solicited from students, other faculty members in the college or university, and from outside reviewers. In the case of faculty members whose primary responsibility is directed service, comments of various clientele served may also be solicited as part of the mid-probationary review evaluation. The candidate's mid-probationary review file and other materials specified in the University Handbook, as well as a copy of the departmental criteria and standards, will be forwarded to the college Promotion and Tenure Committee. After the College Advisory Committee's evaluation, the dean may provide a letter of assessment to the candidate that includes summary recommendations from the College Advisory Committee. Mid-probationary review will be conducted for faculty on both the research and clinical-tracks. However, current University policy does not mandate that the dean provide a letter of assessment for clinical-track faculty.

## **K. Evaluation Criteria by Area of Responsibility**

To carry out the major academic missions of professional education, research and service properly, faculty with widely varying time allocations are necessary. Teaching, research and directed service are major academic responsibilities of department faculty, in addition to the non-directed service role of faculty within the university community. These activities involve special expectations and are assessed by stated performance criteria for each position. Thus, specified criteria for the awarding of tenure and promotion must take into consideration the responsibilities outlined in the initial letter of appointment and modifications of those responsibilities during annual evaluation and goal development. Collegiality is an overarching responsibility between all academic missions and responsibilities, and accordingly is also a criteria considered for merit, promotion and tenure decisions.

Scholarship includes critical questioning and disciplined study within and beyond an area of specialized knowledge for the faculty member and the investigation, development, disclosure and dissemination of new information in that area. Scholarship is not limited to research efforts, but is attainable in all areas of responsibility. It includes discovery and the development of new knowledge or methods in teaching and service, and the synthesis, distribution of previous knowledge by unique, effective means and awakening an area of scholarship for new exploration. The quality and productivity of the faculty member's scholarship can be judged by numerous indicators, including the faculty member's role in well-focused, significant investigations as project initiator and leader, and the timely publication of reports in high-quality peer-reviewed scientific journals.

### **1. Instruction**

The scholarship of teaching is fundamentally important to the attainment of academic excellence. Tenure (for tenure-track faculty) and promotion may be granted under specific circumstances primarily on the basis of teaching in the case that: the individual's responsibility is primarily teaching, the faculty member has demonstrated an unusual level of excellence, and the teaching fulfills a particular important need of the department or college.

In general, teaching includes instruction of veterinary medical students, graduate and postgraduate students, and/or involvement with other educational programs appropriate to the mission of the department (e.g., continuing veterinary medical education). Teaching commitments may include lecturing in courses for veterinary or graduate students, supervising laboratory sections, conducting veterinary medical student rounds, supervising students, residents, and/or graduate students, supervising postdoctoral fellows and/or other instructional experiences. Documentation of teaching participation must include a description of the teaching activities, lecture and/or student contact and the faculty member's relative importance to the teaching program (course coordinator, developer, contributions as percent of course teaching hours).

Quality teaching is judged by other faculty members within and outside the department, student questionnaires and evaluations and the department head. Student ratings have an important place in assessment of teaching effectiveness, but taken alone, should never be the only source of input to the evaluation process. Specific other methods of evaluation and objective criteria (both qualitative and quantitative) should be clearly given. The settings in which these teaching

activities occur are not confined to the classroom, but include the diagnostic laboratory or other settings for those faculty who provide special services. Some faculty may provide special services such as expertise in the development of educational programs essential to the department and college. Peer review of teaching for assistant professors that have 5 hours or more of classroom instruction in the professional curriculum per year is required.

*A faculty member's excellence in instruction is determined by criteria such as:*

The types of teaching activities in which the faculty member participates, including classroom lecture, supervision of veterinary medical students and residents, and formal didactic activities such as lectures at conferences and departmental and college seminars.

Evaluations from students, residents and peers using norm-referenced instruments (i.e., TEVAL) that assess teaching effectiveness rather than popularity and that adjust for such known sources of bias.

Administrative activities related to teaching, including the development of new and innovative teaching or evaluation methods, or directorship of a veterinary student, graduate student or residency program.

Serving as major professor of graduate students or as chair of doctoral dissertation committees.

Materials produced for individual courses such as reading lists, syllabi, tests, and other materials and methods used to assess student achievement.

Appropriateness of course content, and depth, breadth and currency of subject matter.

Effective course administration, being available for student consultation and punctuality in performing teaching-related paperwork, such as grading examinations, reporting grades and filing syllabi.

Successful direction of high-quality individual student work (e.g., independent studies, theses or dissertations, and special student projects) and effective student advisement.

Versatility in contributing to the department's teaching mission, including membership on the graduate faculty, certification to direct dissertations and special contributions to effective teaching of diverse and international student populations.

Compiled student comments (e.g., from program assessments) that address a teacher's abilities to arouse student interest and to stimulate achievement by students; letters of evaluation from former students.

Accomplishments of the faculty member's present and former students (i.e., information showing the students' success in the discipline and in pursuing it to a point of intellectual significance).

Students coming from other schools or countries to study with the faculty member.

Professional publications on teaching or materials prepared for teaching such as textbooks, published lectures and audio-visual or computerized instructional materials.

Adoptions of a faculty member's textbooks or other instructional materials by reputable institutions.

Presentation of papers on teaching before learned societies, testimony before governmental groups concerning educational programs, and honors or special recognition for teaching accomplishments.

Selection for special teaching activities outside of the university (e.g., Fulbright awards, special lectureships, panel presentations, seminar participation, international study and development projects).

Receipt of competitive grants or contracts to fund innovative teaching activities or investigations into effective teaching, and membership on panels to judge proposals for teaching grants or contracts.

## **2. Research**

High quality research and publication are fundamental to attaining the goals of academic excellence and national and international prominence in a major research university. The quality of contribution to the body of knowledge is a criterion in evaluation. Indices of quality include impact on science as measured by citations and impact on other's research, significant extramural funding for research, a consistent record of publication, membership on editorial boards and reputation in science. Original research is considered as evidence only after acceptance for publication. Both collaborative and individual contributions in research and publication are meaningful.

Multiple indicators of research scholarship over an extended period of time are important components in evaluating for tenure and/or promotion, particularly to the level of full professor. Research productivity alone is not adequate for positive recommendations for tenure and/or promotion.

Faculty with major research responsibilities must demonstrate a consistent record of funded grants and/or donations, research productivity, well-designed basic research projects or clinical trials, presentation of papers at scientific conferences, and the publication of results in high-quality peer-reviewed journals. The research and reports must reflect original independent studies, which contribute new knowledge. It is important to document that the faculty member had an essential role in the formation and testing of new ideas and hypotheses.

The quality of the research is more important than the quantity. Quality and impact of research are judged by the quality of journals in which the works are published, peer-reviewed external research support, evaluation by nationally recognized scholars outside the university with expertise in the faculty member's field, and presentation of peer-reviewed papers or special lectures. Independence as a researcher is documented by the faculty member publishing as

senior author, providing the major creative or intellectual force in planning and developing of projects, and being the principal investigator or co-investigator on research grants.

Faculty with major research responsibilities should have a consistent record of submitting research grant proposals to national funding agencies. Faculty should have success in obtaining extramural research support from national agencies, but evaluation also must consider that success in having proposals funded continuously may be subject to variables beyond the merit of the investigator. Willingness to redirect one's research thrust may be necessary to sustain productivity. Faculty with major responsibilities in teaching or directed service may be co-investigators or consultants with other principal investigators on grants funded by national agencies. Nonetheless, evidence of a consistent funding record is an important factor in positive consideration for tenure and/or promotion.

Evidence of peer recognition for research activities also may include serving on study sections, on editorial boards, or as a reviewer for high-quality journals.

*A faculty member's excellence in research is determined by criteria such as:*

Significant extramural funding for research; competitive grants and contracts that were subject to rigorous peer review and approval.

Participation as an investigator or co-investigator on major grants with other principal investigators or corporate sponsors.

Local or regional grant support for independent investigative studies.

Contracts for clinical trials according to protocols provided by corporate sponsors are not equivalent to grants awarded for investigator-initiated research.

Developing patents or copyrights for processes or instruments useful in solving important problems.

Peer evaluation of involvement in the administrative aspects of research, such as direction of research programs.

Grant/contract reviewer for research organizations and institutions (e.g., NIH, NSF).

Publications in peer-reviewed journals; reviews, monographs, bulletins, articles, and books and other scholarly works published in journals and by scholarly presses and publishing houses.

Scholarly reviews of the faculty member's publications, and citation of research in scholarly publications, or the quoting of scientific publications.

Presentation of research papers before peers at scholarly meetings and learned societies.

Recognition from peers in the field (e.g., fellowships, research awards, publication awards; awards for research excellence).

Awards of special fellowships for research or selection to study at special institutes.

Invitations to testify before governmental groups on research or other creative activities; membership on important scholarly expeditions or explorations.

Accomplishments of the faculty member's present and former graduate students.

Supporting letters of research evaluation from colleagues outside of the department and college.

### **3. Directed Service**

Directed service is work that furthers the mission of and is directly related to the goals and objectives of the department and college that requires academic credentials or special skills. It must be part of the faculty member's assigned responsibilities. There may be no clear separation between teaching, research and directed service because the scholarship indicants for one may overlap the scholarship indicants for the other. It is important to note that department faculty service many constituents, including academia, the veterinary profession, the public, livestock industries, and businesses in the state and region.

Scholarly contributions can take many forms, and some faculty may contribute in unique ways. If appropriate or necessary, faculty with major responsibilities to directed service are expected to achieve and maintain relevant licensure and specialty certification status in their professional specialty.

A variety of directed service roles can be scholarly and important to the excellence of the department's and college's academic programs. The delivery of high quality directed service in veterinary medical and diagnostic investigations is a major function of the department. However, productivity in directed service alone will not be sufficient for tenure and/or promotion.

*A faculty member's excellence in directed service is determined by criteria such as:*

Efficient and appropriate management of cases and case submissions, timely maintenance of case records, prompt and meaningful communications with clients and veterinarians, provision of valid diagnostic services, and updated information transfer and implementation.

Effective consultation with veterinarians and animal owners on animal health problems.

Effective assistance to regulatory officials with laboratory support for animal health regulatory programs and identification of diseases of public health significance.

Participation in area, state and national meetings of veterinarians and livestock producers.

Excellent evaluations by clients of the quality of service provided and by practicing professionals who receive faculty member's service.

Efficient administration of directed service units, such as laboratories or services in the veterinary diagnostic laboratories.

Excellent ratings by students of the faculty member's delivery of directed service and by peers or supervisors who observe and are qualified to rate the delivery of professional services.

Improvements in the quality and efficiency of the faculty member's directed service programs.

Local, regional and national recognition of diagnostic expertise, including invitations to speak at seminars, conferences, and symposia.

Participation on Department, College, University, and national committees related to veterinary care and service.

Developing a diagnostic procedure or method to confirm an important veterinary medical condition.

#### **4. Non-Directed Service**

Non-directed service includes significant contributions to committees at the departmental, college, university, community, state, regional, national and international levels. Serving in administrative positions in the department is an important contribution. Offices held in national organizations indicate recognition for contributions to the discipline. Quality of service may be judged by soliciting evaluations from the chairs of committees, peers, and the department head.

*Institutional-based service* is work essential to the operation of the university, such as service on departmental, college or university committees, acting as advisor to student organizations, and serving on the Faculty Senate, Graduate Council or CVM Faculty Council.

*Profession-based service* is work directly related to the function of the unit and that provides leadership and service to the faculty's profession or discipline.

*Public-based service* involves the application of a faculty member's professional time and expertise for the benefit of non-academic audiences. This does not include all activities a faculty member might perform for the public good, but only those that are job related (i.e., serving as an expert witness, developing programs, providing training, or providing consultation).

Non-directed service is an indication of good academic citizenship, but is not the major basis upon which tenure and promotion decisions are based. However, a spirit of cooperation of working in word and deed for the unselfish benefit of colleagues and institution is an important and necessary part of the expected academic attitude.

*A faculty member's excellence in non-directed service is determined by criteria such as:*

##### *Service to the Institution*

Chairing of, membership on, or contributions to committees of the department, college, or university.



Chairing of, membership in, or contributions to bodies of faculty governance, such as Faculty Senate and its committees, Graduate Council and college committees such as planning.

Performance of unbudgeted administrative responsibilities at the department or college level.

Special assignments, such as representing the department or university at national or international meetings.

Honors or special recognition for contributions to the department, college or university or to faculty governance.

*Service to the Profession*

Holding office and leadership in local, national or international professional associations and learned societies.

Service on state, national and international committees in professional organizations.

General presentations or addresses at conventions and other professional meetings.

Organizing or chairing sessions at professional meetings or organizing the meeting itself.

Reviewing or editing professional journals (e.g., writing book reviews for publication, or service as editor, associate editor, book review editor or member of an editorial board).

Membership on panels judging grant/contract proposals.

Service as a consultant on problems appropriate to the discipline.

Honors or special recognition for contributions to an organization, discipline or profession.

*Service to the Public*

Written dissemination of professional knowledge or information to non-academic audiences through general interest publications.

Oral presentations and dissemination of professional knowledge or information to civic, religious or private groups.

Providing expert testimony to courts or legislative bodies.

Providing professional advice for state, national and international public and private groups engaged in educational and scholarly endeavors.

Providing professional advice for individuals or corporations engaged in business or industry.

Engaging in the delivery of technology through involvement in development projects, especially through international assignments.

Awards of merit from local or national organizations.

## **5. Extension/Outreach**

Extension and outreach activities are the application of a faculty member's professional time and expertise for the benefit of individuals and organizations beyond traditional academic setting such as professional organizations, industry and the general public. These activities develop and deliver practical, scientifically based information to multiple audiences through informal, out-of-school, educational programs. Faculty may utilize numerous strategies to reach the general public or specific audience: computer/electronic applications, face-to-face delivery of educational information through seminars, workshops and public meetings, publications, radio programs, personal consultations, and cooperation with various public and private entities.

*A faculty member's excellence in extension/outreach is determined by criteria such as:*

Oral presentations and distribution of information or knowledge to civic, religious or private groups via face-to-face, electronic or other means.

Written discussion of professional knowledge and information to general or specific audiences through the news media, brochures and general interest publications.

Delivery of scientific knowledge through involvement in local, state, national and international development activities and boards/committees.

Quality and quantity of educational materials (journal articles, websites, fact sheets, software, videos, radio tapes) assessed by the impact of the material on the intended audience.

Awards and honors received at the college, university, national, or international level.

Positive recognition in the public or news media for efforts in providing public service.

Providing expert testimony to courts, legislative bodies or government agencies.

Providing professional advice for individuals or corporations engaged in business or industry.

Developing new innovative educational and/or outreach strategies.

Securing funding from both traditional and non-traditional sources for extension/outreach activities.

Publishing extension/outreach activities/assessments/delivery methods and audience change information in peer-reviewed and professional journals.

Participating in professional meetings, retreats, and workshops that enhance professional development.

Recognition by peers regarding the quality and impact of disseminated materials or programs.

Developing quantitative methods to measure the impact of extension/outreach materials on the public.

Developing educational programs that enhance the diversity of the audience.

Helping the public understand the core missions and objectives of the department/college/university.

## **6. Collegiality and Academic Citizenship**

Collegiality is essential for shared governance and for reaching institutional and departmental goals. All faculty members are expected to conduct themselves in ways that foster goodwill, harmony and mutual respect within the department. They are expected to participate in activities that contribute to the pursuit of the departmental goals, protect the self-esteem of students and colleagues, and create a positive and supportive environment for all employees. Collegiality includes a thoughtful perspective on various academic issues and encourages free thought, vigorous debate, and expression of these views in a responsible, respectful and professional manner.

Collegiality will be considered in making all tenure and promotion decisions.

*A faculty member's excellence in collegiality and academic citizenship is determined by criteria such as:*

Maintaining professional rapport with colleagues, staff and students.

Contributing to the common goals of the department.

Service as a student or faculty mentor.

Responsible and accountable sharing of laboratory space, facilities and equipment.

Honoring the confidence of departmental discussions involving personnel or other sensitive issues.

Respect and support of colleagues and their contribution to the diverse responsibilities of the department.

Supporting an atmosphere of academic freedom, inquiry and respect for the academic rights of others.

## **L. Post-Tenure/Promotion Review**

The purpose of post-tenure review 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 academic 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 the removal of tenured faculty members for cause that 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 (University Handbook, Appendix W).

Upon reaching the 6<sup>th</sup> year following tenure, promotion (for both tenure- and clinical-track), or other notable achievement as outlined in Appendix W 2e, the department head will request that, in conjunction with other materials submitted for annual review as part of the Faculty Annual Merit Evaluation System, the faculty member to be evaluated will also submit: 1) a brief (1-2 page) narrative outlining his/her major accomplishments and professional growth during the past 6 years; 2) a current CV; 3) copies of faculty annual merit evaluation summaries for the past 6 years. The narrative of accomplishments will reflect the nature of the faculty member's appointment and be based on the criteria outlined in the Diagnostic Medicine/Pathobiology Criteria for the Appointment, Reappointment, Promotion and Tenure of Ranked Faculty.

Review of the submitted promotion and/or post-tenure materials will be conducted by: 1) the department head, with input from the director of the diagnostic laboratory for faculty with significant service appointments, and 2) the department Promotion and Tenure Committee. This committee will review the documents provided and make a recommendation to the department head. This recommendation will include an assessment of whether the faculty member is demonstrating appropriate professional growth expected of their professorial rank.

Faculty will be considered to be making appropriate contribution to the university mission if: 1) All annual evaluations for the review period meet expectations or above, and 2) the faculty member has demonstrated professional growth over the six-year period. For faculty whose professional growth does not meet these criteria, a plan for professional growth and development will be made by the faculty member in conjunction with the department head. The department head will submit the outcome of the review to the dean.

## **M. Annual Faculty Merit Evaluations**

### **1. Introduction**

The purpose of the annual evaluation process is to 1) assess the performance of each faculty member using the criteria listed previously; 2) review and establish new goals and objectives for each faculty member in relation to departmental missions; 3) and evaluate and adjust the percent effort each faculty member applies to various areas of responsibilities. The system functions within the procedures and constraints of university policy and is in conformance with applicable sections of the University Handbook.

The annual evaluation system is designed to reflect the unique aspects of the Department of Diagnostic Medicine/Pathobiology in terms of its missions while recognizing the diversity of faculty interests, abilities, assignments and academic/scientific disciplines. Within this context, the evaluation system is designed to promote and recognize excellence in all areas of academic responsibility without favoritism or preference given to any activity or discipline. The system is designed to balance the quality and quantity of a faculty member's contribution and to match the changing needs of the department with the evolving talents of the faculty and needs of the state/nation.

Given the diversity of faculty assignments, disciplines and responsibilities within the department (one of the broadest in the university), this evaluation system is based on the understanding that evaluations should be based on multiple sources of input from different perspectives. In this regard, evaluating faculty performance in a professional environment is complex and multifactorial, so that even highly specific evaluation criteria may not accurately reflect a faculty member's contribution. Within this environment, adequate evaluation requires a degree of professional judgment by qualified peers. Peers are particularly well-qualified to assess the relative importance of an activity and the degree of individual versus shared contributions, while balancing the quality and quantity of the faculty member's accomplishments.

The department's evaluation system is based on the precept that multiple professional judgments provided by academic peers, the diagnostic laboratory director\* and the department head reduce the likelihood of unfounded subjective assessments. Competent persons will ordinarily arrive at similar, although not identical, judgments regarding the merit of professional activities, and the pooled judgment of several competent professionals tends to be more reliable than the judgment of any one person. Use of multiple raters enhances the reliability with which things such as scientific/professional publications, instructional materials, student rating of teaching effectiveness, and various service activities are evaluated.

Faculty assignments are set individually for each faculty member via an agreement between the department head, the diagnostic laboratory director\* and the faculty member at the beginning of each evaluation year and must reflect the faculty member's goals and objectives. It is important for the assignment to be established as early in the evaluation period as practically possible. If the department head, the diagnostic laboratory director,\* and the faculty member do not reach an agreement, the opinion of the head will be followed. In such cases, the faculty member will be informed in writing of the reasons for the assignment. The faculty member retains the right

to appeal the decision per university policy. Faculty assignments are subject to renegotiation in the event of changes in the faculty member's responsibilities or to meet unanticipated needs of the department.

\* For faculty with directed service appointments.

## 2. Procedures

A fundamental element of effective evaluation is maintaining clear communication among the department head, the diagnostic laboratory director\* and departmental faculty. Two major communication requirements associated with the evaluation process are: 1) to create a mutual understanding as to what the individual will be held accountable for in the coming year in terms of assignments, the relative importance of each assignment, and the specific methods that will be used to assess performance, and 2) to communicate the results of the evaluation clearly and constructively.

Within the Department of Diagnostic Medicine / Pathobiology, annual faculty evaluations are based on a combined rating of the department head (66.7%) or, for faculty with a directed service appointment, a combination of the department head and the diagnostic laboratory director and the rating of faculty peers (33.3 %). For faculty with directed service appointments, the 50% departmental administration rating will be proportioned according to the faculty members' percent directed service component. The director of the diagnostic laboratory participates in the administrative review of all faculty with directed service appointments and evaluates the directed service activities of those faculty members.

The department head, with potential assistance from the associate department head and other faculty with formal administrative appointments, will assign at least 4 other faculty members to review each annual evaluation document. Such peer review assignments will be made with respect to primary job duties and any perceived/actual conflicts of interest. The faculty member to be evaluated may submit a 'conflict of interest' list to the department head, at least two weeks in advance of the review process, to indicate which, if any, faculty members they would prefer not participate in his/her review process.

**Step 1:** The annual evaluation document, plan of work document, and peer review templates will be distributed to faculty. The department head will inform the faculty of the timeline for completing the annual evaluation process. If a faculty member fails to provide the necessary information or fails to provide the information in the required format, the department head will send a written reminder. If, after being informed of the possible consequences, the faculty member still does not make the materials available, the department head will assign that faculty member a "fails to meet minimum performance expectations" evaluation. Since annual evaluation provides the basis for salary adjustment recommendations, faculty who fail to submit materials or who fail to submit information in the required format provides the department head with justification to recommend no salary increase.

**Step 2:** Faculty members will complete their annual evaluation documents and, for probationary faculty and any other faculty requesting % effort adjustment, the plan of work document, within the timeline specified by the department head.

**Step 3:** Annual evaluation documents will be distributed to appropriate peer reviewers, as specified by the department head. The assigned peer reviewers will review the annual evaluation documents and will complete their ratings, using the peer review template document, within the timeline specified by the department head.

**Step 4:** The department head will compose a written evaluation of each faculty member. This evaluation will contain: 1) a review of the individual's assignment and the weight attached to each responsibility during the previous evaluation period; 2) assessments of effectiveness in performing each responsibility and a statement of the overall evaluation, which must be consistent with the weights assigned to the individual ratings; 3) a summary of the substantive evidence used to arrive at evaluation judgments and recommended salary adjustment category; and 4) where appropriate, formative suggestions for improvement.

**Step 5:** The department head will meet with each faculty member to review the annual assessments. For those faculty members with directed service appointments, the department head and director of the diagnostic laboratory will participate in the evaluation of the faculty member. The department head and the diagnostic laboratory director\* and the faculty member will discuss the faculty member's proposed objectives, goals, plan-of-work, and percent effort distribution for the next year. In cases where the faculty member, the diagnostic laboratory director and the department head do not agree, the department head's position will be followed. The faculty member retains the right to challenge this determination through the established university appeal and grievance procedures.

**Step 6:** The department head will prepare and distribute to each faculty member his or her annual performance summary. The faculty member will be given an opportunity to correct factual errors and provide additional clarification concerning the annual performance summary. Based on this input, the department head in consultation with the diagnostic laboratory director\*, may amend the annual performance summary. In response, the faculty member may prepare a written statement concerning the review and will then sign the annual performance summary.

The department head and the diagnostic laboratory director\* will ensure that the results of this discussion are described in the statement of expectations for the individual faculty member for the upcoming evaluation period. This statement is intended to guard against misunderstandings regarding work assignments and expectations. It may be necessary to modify the statement during the evaluation period, as it is impossible to anticipate all contingencies that may require redistribution of a faculty member's assignment and/or the modification of objectives and goals. Justification for each modification must be attached to the plan of work document.

Each faculty member will review and be given the opportunity to discuss the final written evaluation with the department head and the diagnostic laboratory director\*. Before the department head submits it to the next administrative level, each faculty member must sign a

statement acknowledging the opportunity to review and react to the evaluation and overall performance category. Because the amount of funds available for merit salary increases is generally not known at the time of annual reviews, specific percent increases may not necessarily be discussed at this stage. When this information becomes available, the department head will inform each faculty member in writing of the recommended percent salary adjustment.

Once the evaluation Report has been prepared, the department head will recommend a salary adjustment category for each faculty member (see Overall Performance Categories). The recommended percentage increase is based on the principle that salary adjustments for faculty with higher levels of accomplishment shall exceed those for faculty with lower levels of accomplishment. There is no requirement that the number of faculty within performance categories be the same or be normally distributed.

\* For faculty with directed service appointments.

For the purpose of annual salary adjustments, the overall performance of each faculty member will be rated using the following “Overall Performance Categories:”

Fails to meet established minimum performance expectations.  
Meets minimum expectations, but improvement is necessary if possible.  
Meets individually established expectations.  
Meets individually established expectations at a high level.  
Exceeds individually established expectations.

The current versions of the peer review template, the annual merit review template, and the plan of work template are shown on the following pages:



**N. Peer Review of Faculty member:**

**Rank:**

**% Effort Instruction:**

**% Effort Research:**

**% Effort Directed Service:**

**% Effort Non-Directed Service:**

**% Effort Administration:**

**Consider the faculty member's rank and % effort distribution when preparing your evaluation.**

**Evaluate the faculty member and assign an OVERALL RATING from 1-5:**

**The performance evaluation rating guidelines are:**

1. Fails to meet minimum performance expectations.
2. Meets minimum expectations but improvement is necessary.
3. Meets expectations.
4. Meets expectations at a high level.
5. Exceeds expectations.

**State the most significant score-driving parameter from your entire review that motivated this rating:**

**Provide individual ratings for each specific activity area (instruction, research, directed service, non-directed service, and administration).** The overall rating *need not be the average* of individual component ratings. The overall rating is the assessment you feel most accurately reflects the faculty member's annual performance and may be *weighted to reflect the faculty members % effort distribution* (e.g., a faculty member with a high % research appointment who is clearly exceeding research expectations may need only to meet expectations in the other scored criteria to receive an overall 'exceeds expectations' rating).

**Instruction – Rating:**

Specific strengths that support the overall rating:

\*

\*

Specific weaknesses that support the overall rating:

\*

\*

**Research – Rating:**

Specific strengths that support the overall rating:

- \*
- \*

Specific weaknesses that support the overall rating:

- \*
- \*

**Directed service/Outreach – Rating:**

Specific strengths that support the overall rating:

- \*
- \*

Specific weaknesses that support the overall rating:

- \*
- \*

**Non-Directed service – Rating:**

Specific strengths that support the overall rating:

- \*
- \*

Specific weaknesses that support the overall rating:

- \*
- \*

**Administration – Rating:**

Specific strengths that support the overall rating:

- \*
- \*

Specific weaknesses that support the overall rating:

- \*
- \*

**Collegiality and academic citizenship** - Comment on any positive and negative observations regarding faculty member collegiality and academic citizenship that are significant enough to affect your overall rating of the faculty member. While this is not a formally-scored criterion, the department head will address significantly positive or negative aspects of collegiality during annual performance reviews. Such assessments may be used for overall rating adjustments and will become a matter of record in the faculty member's personnel file.

Positive observations:

- \*
- \*

Negative observations:

- \*
- \*

**Formative Assessment** – Provide any other advice or constructive feedback for career development that you would like to share with the faculty member and his or her mentoring committee (for probationary faculty):

**O. Annual Merit Evaluation Report:**

**Name:**

**% Effort Instruction:**

**% Effort Research:**

**% Effort Directed Service:**

**% Effort Non-Directed Service:**

**% Effort Administration:**

**Rank:**

**Date of last promotion:**

**Track (Clinical, Research, Tenure):**

**Tenure-track (yes/no):**

**Tenured (yes/no):**

**Date of Tenure:**

**If probationary faculty, who are the members of your mentoring committee?**

**\* Expand all tables as necessary to list your activities appropriately, but do not exceed the space in the provided text box for other necessary prose.**

**\* If a section does not apply to your duties, indicate that it is not applicable to you.**

**1. Instruction ( \_\_\_\_\_ % effort)**

**A. List the courses you taught (as instructor or course coordinator)**

<b>Course Name/#</b>	<b>Semester</b>	<b># lectures</b>	<b>Role in course</b>	<b># students</b>

**\* Attach your TEVALs to this document if they available**

**\* Additionally, if you participated in peer review of teaching (required for probationary faculty with greater than 5 hours of didactic teaching in the veterinary curriculum), attach your peer teaching assessment to this document.**

**B. List your mentoring/training of students and scientists (graduate, postdoc, resident, VRSP, etc.)**

Name	Degree	Year in program	Preliminary exam date	Defense date

**C. List additional work with students (e.g., thesis committees)**

Student name	Degree	Department	Advisor

**D. List any instructional/training grants here that are not appropriately described in the subsequent research section**

Agency	Title	Duration	Grant \$\$\$ amount	Your % effort*	Your role (PI, co-PI, effort as needed)

**E. Describe any other teaching-related activities that are not appropriately described above. Such information may include awards or special recognition for instructional activities. Do not exceed the space (7.4\*5.5" box) provided below. Use bullet-point format if possible.**

**2. Research ( \_\_\_\_\_ % effort)**

**A. List the grants you obtained and/or maintained, including projects in which you participated but did not have your own budget (e.g., consultant, effort-as-needed)**

Agency	Title	Duration	Grant \$\$ amount	Your % effort*	Your role (PI, co-PI, effort as needed)

*\*Use the internal E% for internal grants and the calendar months of effort for external grants*

**B. List the grants you applied for during the previous calendar year that are still pending a funding decision**

Agency	Title	Duration	Grant \$\$ amount	Your % effort	Your role	Status (e.g., % score)

*\*Use the internal E% for internal grants and the calendar months of effort for external grants*

**C. List the grants you applied for during the previous calendar year that were not funded**

Agency	Title	Duration	Direct costs	Indirect costs	Your % effort	Your role

*\*Use the internal E% for internal grants and the calendar months of effort for external grants*

**D. List your peer-reviewed publications from the previous calendar year.** You may also include articles that are accepted for publication/in press that are not yet listed on NCBI. List all authors in the order in which they appeared in the publication and **highlight your name in bold**. Designate where you are senior/corresponding author. Provide the full journal name and PubMed ID. **Do not list articles that are ‘in preparation’.**

**E. List your non-peer reviewed publications. Use the same format as in Section 2E**

**F. List your presentations at meetings or at invited off-campus lectures. Provide the meeting title, location, date of meeting, and your role (e.g., speaker, keynote, poster)**

Meeting title	Location	Date	Role (speaker, keynote, poster)

**G. List any invention disclosures or patents you submitted during the previous calendar year**

<b>Invention Title</b>	<b>Date submitted</b>	<b>Co-inventors</b>	<b>Your role</b>

**H. List any other collaborative projects in which you participated on an as-needed basis with no formal budget**

<b>Project PI</b>	<b>Title</b>	<b>Role in Project</b>	<b>Your % effort</b>

**I. Describe any other research-related activities that are not appropriately described above. Such information may include awards or special recognition for research activities. Do not exceed the space (7.4\*5.5" box) provided below. Use bullet-point format if possible.**

**3. Directed service/Outreach ( \_\_\_\_ % effort)**

**A. List presentations given at meetings or invited speaking engagements**

Meeting title	Location	Date	Role (speaker, keynote, poster)

**B. List your peer-reviewed publications from the previous calendar year.** You may also include articles that are accepted for publication/in press that are not yet listed on NCBI. List all authors in the order in which they appeared in the publication and **highlight your name in bold**. Designate where you are senior/corresponding author. Provide the full journal name and PubMed ID. **Do not list articles that are ‘in preparation’.** **Do not duplicate publications if they are listed in an earlier section.**

**C. List your non-peer reviewed publications. Use the same format as in Section 3C**

**D. List your committee service related to work that is vital to the mission of the dept/unit and associated with your directed service role**

Committee	Comm. level (dept, unit, college, university, external)	Role

**E. Other Directed Service/Outreach Activities**

Conferences or CE Events Attended/Organized		
Field Investigations/Consultations		
Other Outreach Events/Activities		
Supervisory Role, Yes or No	If yes- # of staff	# of students



**F. KSVDL Specific Directed Service**

<b>Quality System Activities</b>	<b># of new SOPs/CIs created</b>	
	<b># of SOPs/CIs reviewed/edited</b>	
	<b># of SOPs/CIs acknowledged</b>	
	<b># of Preventative &amp; Corrective Actions Completed</b>	
	<b># of Audits performed (auditor or auditee, internal &amp; external)</b>	
<b>Supervise Lab Section</b>	<b>Yes or No (if yes, see below)</b>	
	<b># of tests performed by lab section during calendar year</b>	
	<b># of new staff, including students</b>	
<b>Diagnostic Projects Coordinated</b>	<b># of projects</b>	
	<b># of total samples in all projects</b>	

<b># of accessions coordinated</b>	
------------------------------------	--

**G. Pathology Specific Directed Service**

<b>time on service duty (# days or # weeks)</b>	
<b># on-call weeks/year</b>	
<b># necropsy accessions</b>	
<b># biopsy accessions</b>	
<b># mail-in accessions</b>	
<b># IHC surveillance slides read (CWD, BVD, Scrapie)</b>	
<b># cytology accessions (standard cytology, fluids, CSF, non-traditional)</b>	
<b># hematology accessions (blood films, bone marrow aspirates and cores)</b>	
<b># hours of rounds per week</b>	

**H. Other. Describe any other directed service/outreach-related accomplishments that are not appropriately described above. Such information may include but is not limited to case-consultations, awards, or special recognition for directed service activities. Do not exceed the space (7.4\*5.5" box) provided below. Use bullet-point format if possible.**

**4. Non-Directed Service ( \_\_\_\_\_ % effort)**

**A. List your committee activities.**

<b>Committee (if not listed in 3.D)</b>	<b>Committee level (dept, unit, college, university, external)</b>	<b>Role</b>

**B. List your grant review activities.**

<b>Grant review panel</b>	<b>Meeting dates</b>	<b>Funding Agency</b>

**C. List your journal editorial board service.**

<b>Journal Editorial board service (list journal name)</b>	<b># manuscripts handled</b>

**D. List your ad hoc peer review service.**

<b>Ad hoc peer review (list journal name)</b>	<b># manuscripts handled</b>

**E. List your formal mentoring of other faculty members**

<b>Faculty name</b>	<b>Department</b>	<b>Meeting dates</b>

**F. Describe any other non-directed service-related activities that are not appropriately described above. Such information may include awards or special recognition for non-directed service activities. Do not exceed the space (7.4\*5.5" box) provided below. Use bullet-point format if possible.**

**5. Administration ( \_\_\_\_\_ % effort)**

**Describe your administration roles, accomplishments, and activities. Use bullet-point format if possible.**

**P. Plan of Work**

**NAME:** \_\_\_\_\_ **EVALUATION PERIOD:** \_\_\_\_\_

**This form must be completed by all probationary faculty as well as any other faculty member proposing to change his/her % effort distribution.**

**Describe your major plans for the upcoming calendar year, using specific, quantitative statements wherever possible. Do not exceed the space provided. Use bullet-point format if possible.**

**Instruction: (Proposed % Effort, \_\_\_\_\_ %)**

**Research: (Proposed % Effort, \_\_\_\_\_ %)**

**Directed Services/Outreach: (Proposed % Effort, \_\_\_\_\_ %)**

**Non-Directed Services: (Proposed % Effort, \_\_\_\_\_ %)**

**Administration: (Proposed % Effort, \_\_\_\_\_ %)**

Faculty Member \_\_\_\_\_

Date: \_\_\_\_\_

Department Head: \_\_\_\_\_

Date: \_\_\_\_\_

**Q. Annual Performance Summary**

NAME: \_\_\_\_\_ EVALUATION PERIOD: \_\_\_\_\_

Department head's or diagnostic laboratory director's written assessment of overall performance, specific merit salary adjustment recommendation, and basis for this recommendation. If the department head's or the diagnostic laboratory director's evaluation is substantially different from that of their peers, an explanation must be provided.

Overall Annual Performance Rating (1-5)

Department Head/ \_\_\_\_\_

Diagnostic Laboratory Director \_\_\_\_\_

Date: \_\_\_\_\_

Faculty Member's Response

I have met with the department head or diagnostic laboratory director to review the above statement. In addition, I would like to add the following:

Faculty Member \_\_\_\_\_

Date: \_\_\_\_\_

(Signing this verifies that this report was read. It does not indicate agreement regardless of whether or not comments are provided by the faculty member).

## **R. Professorial Performance Award Guidelines**

### *Definitions*

The Professorial Performance Award (PPA) rewards strong performance and sustained productivity by a full-time Professor with at least six years of tenure since the last promotion or PPA, as detailed in the University Handbook Section C: Identity, Employment, Tenure (C49.1-C49.14). The salary increase will be in addition to the merit raise provided for by the annual evaluation process. The performance evaluation will be in one or more of the following areas of responsibility: administration, research, teaching, service and outreach.

The award is not a right accorded to every full-time professor and is not given simply as a result of fulfilling assigned responsibilities with a record free of notable deficiencies. In other words, the award is for performance that goes beyond ‘met expectations’ of the job. It is recognition of continued demonstration of sustained professional development, dedication to scholarship, teaching, service, outstanding leadership in managing the department, and a commitment to furthering knowledge through research and student mentoring.

Evaluation of strong performance and sustained productivity is based on the professor’s national and /or international recognition for a distinguished career exemplifying excellence in administration, teaching, research, and outstanding service and outreach.

### *Expectations*

Promotion to the rank of professor is based on the candidate’s national and international reputation and recognition of a distinguished career based on scholarship including teaching, research and directed service; therefore, all three components must be considered in awarding the PPA. The criteria in each area of responsibility will be those described in the Criteria for the Appointment, Reappointment, Promotion and Tenure of Ranked Faculty. According to this document, “Scholarship includes discovery and development of new knowledge by unique, effective means and awakening an area of scholarship for new exploration. Scholarship is not limited to research efforts, but is attainable in all areas of responsibility.”

Professors in DMP with teaching appointments as the individual’s primary responsibility may demonstrate excellence in instruction of veterinary medical students, graduate and postgraduate students and/or involvement with other educational programs appropriate to the mission of the department. The professor is expected to demonstrate an unusual level of excellence. He/she should be active in educational research and the teaching must fulfill a critical need in either DMP or the College of Veterinary Medicine. Criteria identifying quality instruction are listed on page 10.

Professors in DMP with research appointments are expected to maintain a high quality research program in their area of expertise with a national and international reputation and consistent external funding from agencies such as the National Institutes of Health and the USDA-NRI and from industrial partners in the health sciences field. Professors in DMP are expected to be leaders in the department, College of Veterinary Medicine and at Kansas State University. They are expected to serve as mentors for junior faculty. Professors in DMP are expected to serve on

national committees, study sections and editorial boards. Criteria identifying quality research are listed on page 11.

Professors in DMP with major responsibilities in directed service are expected to demonstrate scholarship in these duties. Criteria identifying quality directed service are included on page 12.

Based on these expectations, the following are the **criteria** for the PPA consideration:

The candidate must be at the rank of full professor for at least six years at Kansas State University since either the last promotion (from associate professor) or since prior receipt of the PPA. This six-year period does not include approved leaves of absence (e.g., medical and sabbatical).

The candidate's productivity and performance in all areas of responsibility must be comparable to or higher than when the individual was promoted to the rank of professor and must clearly identify the candidate as an outstanding faculty member when compared with faculty in other departments at Kansas State University. This level of productivity and performance must either meet or exceed current DMP promotion standards and criteria.

The candidate must receive annual merit ratings of "meets individually established expectations at a high level" or above for at least five of six years, as expressed in the DMP Faculty Annual Merit Evaluation System document. **Any annual merit rating during this six-year period lower than 'meets expectations' disqualifies the candidate from further consideration.**

The candidate must demonstrate a sustained record of productivity in the primary areas of responsibility consistent with his/her annual percent effort e.g:

A sustained record of research funding as an investigator/co-investigator from external agencies such as the NIH, USDA-NRI, or industrial sources, with publications in peer-reviewed journals;

Continued above average teaching evaluations and/or evidence that teaching effectiveness has remained consistent during the six years;

Continued delivery of high-quality directed service in veterinary medical and diagnostic investigations that serve multiple constituencies (academia, veterinary profession, producers, citizens).

#### *Recommendation Procedures*

If a professor has met the eligibility criteria for the PPA before December 31, then the professor may submit with the Faculty Annual Merit Evaluation Report a nomination file that documents his/her professional accomplishments for the previous six years in accordance with the above guidelines.

If the professor is eligible for the PPA, the department head will write an evaluation of the submitted materials using the criteria, standards and guidelines outlined above. The department head will state if his/her recommendation is for or against the person receiving the award. If the recommendation is not favorable, the reasons will be specified and reported to the professor in writing.

The department head's recommendation and the professor's nomination file will be forwarded to the college dean with the submission of the annual evaluations of all faculty.

After evaluation of submitted materials and letters, the dean will write a recommendation letter that states if he/she does or does not support the nomination. If the recommendation is not favorable, the reasons will be specified and reported to the professor and the department head in writing.

The dean's recommendation, the department head's recommendation, and the professor's nomination file will be submitted to the provost with the submission of the annual department faculty evaluations.



**S. Professorial Performance Award Evaluation Form**

Faculty Member:

Date of Promotion to Professor at K-State:

Overall Annual Assessment of Performance for the last six years:

Date	Ranking
	Meets Expectations – High <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/>
	Meets Expectations – High <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/>
	Meets Expectations – High <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/>
	Meets Expectations – High <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/>
	Meets Expectations – High <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/>
	Meets Expectations – High <input type="checkbox"/> Exceeds Expectations <input type="checkbox"/>

**RECOMMENDATION (INCLUDE SIX YEAR ACCOMPLISHMENTS):**

Signatures:

Faculty Member: \_\_\_\_\_

My signature indicates that I have read the department head’s recommendation.

Department Head: \_\_\_\_\_

Comments by the Dean

Dean: \_\_\_\_\_

## **T. Unacceptable Levels of Faculty Performance and Procedures Leading to the Revocation of Tenure and Dismissal for Cause**

### *Introduction*

As required and described by sections C31.5-C31.8 of the University Handbook, the faculty of the Department of Diagnostic Medicine/Pathobiology set forth herein the criteria for unacceptable level of faculty performance and the procedures which must be completed prior to the revocation of tenure and dismissal for cause of any faculty member within the department.

The collective strength of a faculty is related to the abilities and level of contribution individual faculty provide toward meeting the department's missions and goals. It is expected that the contribution of individual faculty will vary both in area (teaching, research and service) and in level of performance. It is normal that the contribution of individual faculty may change over time and that circumstances beyond the control of the faculty member may cause the level of performance to decline.

The cornerstone of performance assessment in academics is peer review. Given that the initial granting of tenure and promotion involves the collective assessment of a candidate's documented performance and potential by the departmental faculty, it is required that departmental faculty have a similar level of involvement in determining that an individual faculty member's performance no longer meets, and has little potential of ever again meeting acceptable levels of performance. This is particularly relevant in the Department of Diagnostic Medicine/Pathobiology which encompasses an array of disciplines and where percent effort in any one area of responsibility varies widely.

The determination that a faculty member's performance is below minimal-acceptable limits in any area must be judged in relation to the resources provided to the faculty member as well as the time and resources provided to the faculty member in hopes of improving his or her performance. It is not acceptable for a faculty member to be judged as failing to meet minimal-acceptable levels of performance if such expectations are not within the faculty member's specific area of expertise (as demonstrated by previous acceptable levels of performance). In the same fashion, a finding that minimal-acceptable levels of performance are not being met must be weighed against what would normally be expected from other faculty with the same credentials and levels of experience.

A determination that minimal levels of performance are not being met is not appropriate if resources have not been provided which would allow a faculty member to meet minimal levels of performance, if resources are reduced (administratively or otherwise) which contribute to a faculty member's performance to fall below minimal levels, or if the prescribed procedures relative to this determination are not followed exactly. Failure to meet minimal-acceptable levels of performance because of a documented medical problem is also not grounds for revocation of tenure and dismissal for cause.

### *Criteria Establishing Unacceptable Levels of Faculty Performance*

The procedures which must be followed to revoke tenure and dismiss a faculty member in the Department of Diagnostic Medicine/Pathobiology for cause are based on the view it is impossible to provide a comprehensive list of circumstances which may warrant such action, and that it is appropriate that the minimal-acceptable levels of performance may change in relation to available resources, scientific advances, student characteristics, and the number and qualifications of faculty in the department. It is not the purpose of this procedure to undermine or, in any fashion, diminish the protections provided by tenure related to the academic freedoms of independent thought, opinions, or actions even if contrary to the views of the majority of the academic community, the administration, and broader societal beliefs.

Initiation of procedures that may lead to the revocation of tenure and dismissal of a faculty member must be based on clear and convincing evidence of professional incompetence and/or failure/refusal to perform the primary duties of teaching, research, directed service, non-directed service, and extension/outreach for which the faculty member has the ability and has been given the resources to accomplish successfully. The department head, having determined that minimal levels of performance have not been met by a faculty member and that reasonable steps to correct this situation have repeatedly failed, has the burden of proof that dismissal for cause is justified. In meeting this burden, the department head will present evidence to the departmental tenured faculty that dismissal for cause is justified. After due consideration of the evidence, the tenured departmental faculty advise the department head whether or not the presented evidence is sufficient to warrant dismissal of the faculty member for cause. In accordance with university policy, the faculty member whose performance is in question may choose to not have the tenured faculty involved in this process. In such cases, the determination of the department head is sufficient.

*Unacceptable levels of performance related to instruction may include but are not limited to:*

Repeated failure to conduct classes and examinations as scheduled.

Excessive unjustifiable absenteeism.

Habitual failure to conscientiously prepare and deliver classroom or laboratory instruction.

Purposeful misrepresentation of established facts or failure to present materials that are reasonably up to date.

Repeated failure to respond meaningfully to teaching evaluations that clearly point to the need for improvement and for which the faculty member has the ability to correct independently.

*Unacceptable levels of performance related to research may include but are not limited to:*

Consistent refusal to contribute to the body of professional, scientific or educational knowledge in the faculty member's discipline when the faculty member clearly is capable of making such contributions.

Persistent lack of effort toward keeping reasonably current in the faculty member's discipline.

Repeated refusal to participate in activities which promote professional thought and development of new ideas such as seminars, conferences and meetings of professional societies.

Repeated refusal to seek extramural support for research when such activities are clearly within the ability of the faculty member and extramural funding is required for the faculty member's research to be productive. It is not appropriate to presume that minimal-acceptable performance would include the condition that grants are funded.

Refusal to maintain a safe and functional laboratory, assuming that adequate resources are provided to do so.

*Unacceptable levels of performance related to service may include but are not limited to:*

Repeated refusal to participate in service related activities for which the faculty member is qualified.

Consistent failure to complete service related activities in a timely fashion as compared to other faculty with similar credentials, resources, and assignments.

High numbers of overtly inaccurate or misleading results which the faculty member refuses to acknowledge or correct.

*Unacceptable levels of performance related to professional conduct may include but are not limited to:*

A pattern of repeated failure in exercising professional integrity, to protect confidentiality, and to respect the rights and differing views of others.

Repeated failure to be judicious, sensitive, and professional in the use of questionable materials and/or references that have no clear relationship to the subject.

*Unacceptable levels of performance related to collegiality and academic citizenship may include but are not limited to:*

Repeated refusal to maintain professional rapport with colleagues, staff and students.

A pattern of repeated failure to contribute to the common good of the department, risking the progress of the department and its ability to accomplish its respective missions.

### *Procedures*

Initiation of procedures which may result in the revocation of tenure and dismissal of a faculty member must be based on clear and convincing evidence (per University Handbook - Appendix M) of professional incompetence and/or failure/refusal to perform the primary duties of teaching, research, directed service, and non-directed service for which the faculty member has

the ability and has been given the necessary resources to accomplish successfully. Furthermore, only the measure of unacceptable levels of faculty performance that are listed above can be used in the assessment of faculty with tenure in the Department of Diagnostic Medicine/Pathobiology. The conditions, definitions, and procedures related to determining unacceptable levels of productivity as established by the University Handbook, particularly sections C31.7 and C31.8, apply.

The department head, having independently determined that minimal levels of performance have not been met by a faculty member and that reasonable steps to correct this situation have repeatedly failed, has the burden of proof that dismissal for cause is warranted (University Handbook, Appendix M). In meeting this burden, the department head will present written evidence that dismissal for cause is justified to the tenured departmental faculty who will vote whether or not the presented evidence is clear and convincing.

It is the department head's responsibility to develop and present clear and convincing evidence that a faculty member does not meet what would minimally be expected of a faculty member of the Department. Specific reference must be made to one or more of the "Standards" listed above. Should this assessment result in the initiation of procedures for dismissal of the Faculty Member for unacceptable performance, the Dean will be informed of this action and receive updates on the departmental process by the department head. The Dean will not be involved in the departmental process to reserve the Faculty Member's right to administrative appeal to a high level. All communications involving the completion of this procedure, as well as all communications related to past performance assessments should be made in writing and all conversations reduced to writing. Copies of all documents should be forwarded to the Dean, although the Dean must have no direct or indirect involvement in the procedures at this point.

Any concerns that minimal-acceptable levels of performance are not being met must be brought to the attention of the faculty member in writing during the annual evaluation or sooner when it is judged by the department head to be necessary. The methods of assessment and associated procedures involved with annual merit evaluations are separate and unique from those related to the finding of an unacceptable level of performance and any related corrective action. All assessments and procedures related to the finding of unacceptable level of performance must be conducted and documented separately from the annual merit evaluation.

The department head must provide full written description of the area(s) which is/are judged not to meet minimal levels of acceptable performance and the level of performance that is necessary, in the department head's view, to meet minimal levels of acceptable performance as defined in this document. The Faculty Member must be permitted the opportunity to respond in writing for the record. The faculty member can choose to develop a "Plan of Assistance" with either the department head or with a small group of tenured faculty. The "Plan of Assistance" will be designed to offer a reasonable degree of certainty that the identified deficiencies will be corrected. The "Plan of Assistance" must include a time frame, the specific expectations to be

met, and how they will be accomplished including whether or not additional departmental resources will be necessary. The goal is to provide a mechanism by which the faculty member will soon meet or exceed minimal acceptable performance.

An assessment regarding success in meeting minimal standards of performance (or progress towards this goal) will be provided to the faculty member by the department head in subsequent written evaluations at intervals not to exceed 4 months. Failure by the faculty member to progress towards acceptable performance will result in a written reassessment by the department head of the plan of corrective action and a determination as to the specific reason(s) the Faculty Member is failing to make progress towards meeting or exceeding minimal levels of acceptable performance. The Faculty Member has the right to submit a written response for the record.

Dismissal for cause will be allowed to progress to a full review by all tenured departmental faculty if in the judgment of the department head, the Faculty Member has two successive annual evaluations or a total of three annual evaluations in any five-year period in which the Department's minimal standards are not met, reasonable attempts to amend the faculty member's performance have failed, and that additional attempts to assist the Faculty Member in improving their performance are unlikely to succeed. Under exceptional circumstances, the department head is given the opportunity to request an immediate review of a Faculty Member's performance by the departmental tenured faculty. In such cases, the requirements of sections C31.5 - C31.8 of the University Handbook must not be abridged.

The department head will prepare a full written account of the basis for proposing that tenure be revoked and that the Faculty Member be dismissed for cause. The report must include a detailed account of the evidence related to the finding that minimal-acceptable levels of performance have and are not being met and that constructive attempts to correct the deficiency have failed repeatedly. The faculty member will have twenty (20) working days to prepare a written rebuttal that will be submitted to the department head.

The department head, after reviewing the faculty member's response, must choose within 5 working days to continue the process of assisting the faculty member in hopes of having the faculty member meet minimal-acceptable levels of performance, or to submit the department head's report including all supporting documentation and the faculty member's rebuttal (if provided) to the departmental tenured faculty for review and an advisory vote as whether revocation of tenure and dismissal for cause is warranted.

Copies of the department head's report and the faculty member's rebuttal (if provided) will be submitted for review by all tenured faculty. The tenured faculty, acting as a committee of the whole (a faculty member which has been elected by a majority vote will serve as "Presiding Officer") will meet to consider and discuss the evidence the department head has provided and the faculty member's rebuttal. At this meeting, the department head presents evidence that revocation of tenure and dismissal for cause is justified. The Faculty Member is given the opportunity, but is not required, to address the tenured faculty members. The tenured faculty may ask questions for clarification purposes which the department head and faculty member may answer if they wish.

Within 10 working days following the faculty meeting, tenured faculty will provide their vote and any written comments to the presiding officer. The presiding officer will assure that all faculty who wish to vote and provide written comments have done so. The presiding officer will present the results of the faculty vote and unedited written comments of the faculty (with the author's name removed) to the Faculty Member and the department head. The presiding officer will report the results of the faculty vote to the departmental faculty and will retain a copy of the vote and faculty comments until resolution of the case. If after consideration of the faculty vote and comments the department head recommends dismissal, the department head will forward the report of the presiding officer, as presented, to the Dean. Additional recommendations, comments, assessments, or analysis that the department head may provide to the Dean are to be made in writing with copies provided to the Faculty Member and all tenured departmental faculty.

Given the subjective nature of the department's Standards of Unacceptable Levels of Faculty Performance, the departmental faculty are in the best position to interpret their meaning. This is particularly the case when it is recognized that the job performance circumstances which apply to some faculty within the Department are rare or unique within the university. As such, and to fulfill the requirement that one individual should not unduly influence the decision (University Handbook, C31.6); the department head, as well as all subsequent levels of review, (including a University Handbook Appendix M related faculty committee) should hold the collective assessment of the departmental tenured faculty in the very highest regard. If less than 75% of the voting faculty concurs with the department head's view, the collective recommendation is to be interpreted that revocation of tenure and dismissal for cause is not justified because the evidence was not clear and convincing (University Handbook, Appendix M). The final decision of whether to recommend dismissal rests with the department head.

Re-initiation of this procedure by the department head against the same faculty member can only occur after a period not less than one (1) year following the completion of a previous faculty review and vote. It is expected that, during this time, the department head will have undertaken additional steps to improve the faculty member's performance.