



KENTUCKY STATE UNIVERSITY POLICIES AND PROCEDURES

POLICY TITLE:

Faculty Evaluation Policy

VOLUME, SECTION & NUMBER:

1.1.16

ENTITIES AFFECTED:

Faculty

ADMINISTRATIVE AUTHORITY:

Division of Academic & Student Affairs

APPROVED BY:**EFFECTIVE DATE:****REVISED FROM:**

January 24, 2023, Version of Policy

POLICY STATEMENT:

According to *House Bill 250, Section 1(g)*, effective April 8, 2022, the following process regarding a faculty performance review of term, tenured, and tenure-track faculty at Kentucky State University is adopted, effective January 26, 2023, and revised, effective January 1, 2024. Kentucky State University asserts the performance evaluation system is designed to share with faculty a clear understanding of their performance within the three evaluation cycles for term, tenured, and tenure-track faculty.

As stated in *House Bill 250, subparagraph 2 of Section 1(g)*, "The process shall ensure a consistently high level of employee performance and shall include, but not be limited to, assessments by peers, students, and administrators. In addition to evaluating an employee's effectiveness, growth, accomplishments, and skills, the process shall be used to identify deficiencies and ineffectiveness and redirect employee efforts to improve or increase productivity. The process shall be used as a basis for decisions on continued employment, promotion, salary increases, tenure, and maintenance of tenure; . . . the review process for tenured faculty shall include an evaluation of teaching effectiveness, research body of work, overall commitment to the mission of the university, and other criteria determined by the board and the council."

Determining whether a faculty member is in "good standing" is based on documented and verifiable evidence as outlined in the faculty member's executed contract and the minimum university-set performance standards in the areas of teaching, scholarship, as well as university and community service.

Based on the *HB 250* mandate, Kentucky State University's new process addressing the performance evaluation of faculty ensures that processes are clearly articulated and published and are available to all persons in the university community. The process reflects Kentucky State University's set performance standards and respects the uniqueness of disciplines within the university. It also provides for flexibility at the college- and school-levels to establish expectations beyond the university performance standards.

DEFINITIONS:

Calendar Day will be defined as a date no later than the specified number of calendar days following the day of notification. If the final calendar day occurs on a weekend or holiday, the due date will be on the first day university administrative offices are open following the final calendar day. The time for response may be extended upon agreement by both parties.

Collegiality is the ability of an individual to interact with colleagues with civility and professional respect; to engage in shared academic and administrative tasks productively with faculty, students, and staff. Collegiality should not be confused with sociability or likability.

Confidentiality is the principle of limiting access to information or documents only to those persons authorized to have such access. Documents and communications in the evaluation, tenure, and promotion processes will be confidential to the extent permitted by law.

Term Faculty refers to an instructor, a replacement for a regular faculty member, a person on short-term assignment, an adjunct professor, or a visiting faculty member.

Full-time Tenure-track Faculty describes a faculty member employed full time who is eligible for tenure or in a pre-tenure probationary period.

Provost refers to the chief academic officer or his/her designee.

Dean refers to an administrative faculty member who oversees a college where schools are housed and who reports to the provost.

Chair refers to an administrative faculty member overseeing a school where majors and programs are housed and who reports to the dean of the college.

Unit/School refers to the academic programs that reside under one chair within a college.

PROCESS AND STANDARDS:

Faculty at Kentucky State University are evaluated annually on the performance standards in three areas: teaching effectiveness and high-impact practices in scholarship, and university and community service. Furthermore, faculty are contractually bound to meet the service expectations listed on their faculty contract addendum. The type of annual performance evaluation conducted depends on the nature of the faculty member's contract, rank, and tenure status. The annual review includes four rating categories, as identified below:

- "Exceeds Expectations" has a numerical value equal to three (3) points;
- "Meets Expectations" has a numerical value equal to two (2) points;

- “Needs Improvement” has a numerical value equal to one (1) point; and
- “Unsatisfactory” has a numerical value equal to zero (0). A faculty member will not earn any points toward their performance in this area.

University performance standards for faculty evaluations include the following (additional standards can be set by the college, unit, or school within the discipline):

Teaching effectiveness: Faculty members are evaluated on their ability to effectively deliver course content and engage students in authentic and active learning. This includes the use of appropriate teaching methods, the ability to create and use effective assessments, and the ability to provide meaningful feedback to students.

Scholarship and research: Faculty members are evaluated on their ability to conduct and publish scholarly research and contribute to their fields of expertise. This includes the quality and quantity of publications, presentations, and other scholarly creative activities.

Professional development: Faculty members are evaluated on their ability to stay current in their fields and engage in professional development activities. This includes attending and presenting at conferences, participating in workshops, and taking courses to maintain and improve their skills and knowledge.

University and community service: Faculty members are evaluated on their ability to contribute to the school or unit, college, and university community. This includes service on committees, participation in school or unit and college-wide activities, and engagement with the community.

Goals and objectives: Faculty members are evaluated on their ability to meet the goals and objectives set for them in their job description and by their employer. This includes specific targets and goals related to teaching, research, university and community service, and professional development.

Compliance: Faculty members are evaluated on their compliance with institutional, college, and school or unit policies and procedures.

Student, Peer and Supervisor evaluations: Faculty members are evaluated on their performance through student evaluations, peer evaluations, and supervisor evaluations.

These standards can vary depending on the college, school or unit, and discipline, but generally should be aligned with the goals of the institution.

STANDARDS:

Kentucky State University performance standards are designed to support the mission, vision, and values of this institution as well as promoting continuous growth and improvement of faculty members. Each rank and tenure status potentially earned by faculty members has performance standards commensurate with the rank or tenure status desired.

Kentucky State University performance evaluation standards are designed to ensure continuous growth and improvement among all faculty at the university. The university evaluation performance standards are set as baseline expectations for demonstrated teaching effectiveness, high-impact practices in scholarship, as well as institutional service and professional development for term, tenured, and tenure-track faculty.

Kentucky State University Evaluation Performance Standards define the minimum criteria for meeting expectations within the evaluation system for term, tenured, and tenure-track faculty. The standards reflect the progression associated with the rank or tenure status desired. The following information outlines the performance standards across the areas of teaching effectiveness, high-impact practices in scholarship, university and community service, as well as contractual obligations.

- **Exceeds Expectations** – the faculty member has demonstrated accomplishments and achievements reflecting a significant level beyond what is expected by the university, college, or school including faculty rank and contractual obligations within the unit discipline.
- **Meets Expectations** – the faculty member has demonstrated accomplishments and achievements reflecting and commensurate with the university, college, or school including faculty rank and contractual obligations within the unit discipline.
- **Needs Improvement** – the faculty member has not completely demonstrated or met the expectations defined by the university, college, or school including faculty rank and contractual obligations within the unit discipline.
- **Unsatisfactory** – the faculty member failed to meet expectations defined by the university, college, or school including faculty rank and contractual obligations within the unit discipline.
- **Accomplishments** – refer to specific, measurable actions or tasks that a faculty member has completed during the evaluation period. These may include things like publishing research papers, developing new curriculum, or receiving grant funding. Accomplishments are often tangible and can be easily quantified.
- **Achievements** – refer to the overall impact or results that a faculty member has had in their role. These may include things like improving programs and student learning outcomes, increasing student engagement, or fostering a positive departmental culture. Achievements are more qualitative in nature and may be harder to quantify.

Faculty members who are designated as “Needs Improvement” in any or all categories must complete an improvement plan. Any faculty receiving an unsatisfactory in any or all categories shall be subject to university sanctions including but not limited to dismissal.

RELATED POLICES & DOCUMENTS:

Appendix A: HB 250 Performance Review Process of All Faculty

Appendix A

Academic Regulation:

HB 250 Performance Review Process of All Faculty

Statement

According to *House Bill 250, Section 1(g)*, effective April 8, 2022, the following process regarding a faculty performance review during the 2022 calendar year of term, tenured and tenure-track faculty at Kentucky State University is adopted, effective January 1, 2024.

As stated in *HB 250, subparagraph 2 of Section 1(g)*, “The process shall ensure a consistently high level of employee performance and shall include, but not be limited to, assessments by peers, students, and administrators. In addition to evaluating an employee’s growth, accomplishments, and skills, the process shall be used to identify deficiencies and ineffectiveness and redirect employee efforts to improve or increase productivity. The process shall be used as a basis for decisions on continued employment, promotion, salary increases, tenure, and maintenance of tenure; . . . the review process for tenured faculty shall include an evaluation of teaching effectiveness, research body of work, overall commitment to the mission of the university, and other criteria determined by the board and the council.”

Determining a faculty member in “good standing” is based on documented and verifiable evidence using university performance standards.

Based on the *HB 250* mandate, Kentucky State University’s new process addressing the calendar year performance evaluation of faculty ensures that processes are clearly articulated and published and are available to all persons in the university community. The process respects the uniqueness of disciplines within the university and provides appropriate, professional, and flexibility at college and school levels.

Entities Affected

- College and University-level Administrators
- Schools
- Tenured Faculty
- Tenure-Track Faculty
- Term Faculty
- Provost

Principles

The revised performance review process at each administrative level shall include appropriate evaluations of performance in teaching, scholarship, and service. The evaluation shall be a part of the individual’s evaluation file housed in the Office of Academic Affairs and Human Resources, with a copy to the faculty member, school chair, and dean.

The review process at each level shall be limited to professionally relevant considerations and shall include documented evidence of performance from the faculty member, students, other faculty, and college- and university-level administrators. The documented evidence shall be a part of the individual’s evaluation dossier.

Criteria

Faculty shall be evaluated on their teaching, research, and service performance for the calendar year using established discipline guidelines. This *HB 250* mandate stipulates a performance review process that will include all tenured, tenure-track, and term faculty.

In reviewing all three areas of faculty performance (quality of teaching effectiveness, quality of professional development and scholarly achievement, and quality of service and community contribution), faculty appointments that are reassigned to the administration, library, research or extension will be evaluated according to their annual contracts and distribution of effort agreements. Faculty may include scholarly achievements from January to December in the professional growth and scholarly achievement category only.

Academic discipline areas may articulate expectations beyond the minimum to meet professional accrediting and/or certification criteria.

Procedures

Conducting Evaluations for Faculty

General Guidelines for Evaluations:

- a. All evaluations are conducted ethically, with recommendations and justifications based on relevant documented and verifiable information.
- b. Administrative reviewers (school chair, college dean, and provost) will ensure the performance standard evaluation recommendations are consistent with the goals and needs of the university, as well as the areas within their scope of responsibility.
- c. The faculty member will have a dossier consultation with their chair by the **First Friday in February**.
- d. Faculty must submit evidence of their teaching, research, and service performance in dossiers to their school chair by the **Second Friday in February**. The performance areas will contain three categories: (1) Evidence of Quality Teaching Effectiveness, (2) Evidence of Quality Professional Growth and Scholarly Achievement, and (3) Evidence of Quality Service and Community Contribution.
- e. The performance evaluation item ratings are scored as follows:
 - Exceeds Expectations (3)
 - Meets Expectations (2)
 - Needs Improvement (1)
 - Unsatisfactory (0)

Additionally, the school chair will collect information on the compliance of the faculty with the annual executed contract and include this information in the performance evaluation. Compliance infractions will require a faculty performance improvement plan and each category of noncompliance will result in a three-point reduction (-3) from the faculty member's performance assessment.

Faculty with predominantly administrative, research, extension, or library appointments will be weighted according to the faculty member's contract.

- f. Full-time term faculty (temporary, non-tenure track, instructor, lecturer, or visiting professor) will be evaluated according to their contract for teaching, scholarly work, and service requirements. Term faculty will be evaluated under the standards for adjunct faculty and are not subject to the process below.
- g. The dossier will be submitted via Interfolio to the faculty member's school chair by the **Second Friday in February**. The school chair evaluates faculty performance objectives by following the university's standards for teaching and learning, research and creative artifacts, and service and compliance standards. After receipt of the materials, the school chair shall state in writing their overall recommendation for either "exceeds expectations," "meets expectations," "needs improvement," or "unsatisfactory."

Performance Exceeds Expectations or Meets Expectations

- a. The school chair sends the performance review to the college dean for review and recommendation and to the faculty for their records by the **First Friday in March**. The faculty member may respond to the recommendation with comments within five days. The dean shall review the dossier, including faculty comments, and provide recommendations. The college dean sends the performance review to the provost for approval by the **First Friday in April**, and the approved review is sent to the faculty member, dean, and school chair for their records.
- b. If any category under the performance review "needs improvement" or "unsatisfactory" or if there are compliance infractions, see the relevant performance section below.

Performance Needs Improvement

- a. If any category under the performance review has a performance "needs improvement," then a faculty performance improvement plan would be required.
- b. The school chair sends the performance review to the faculty member and college dean by the **First Friday in March**. The faculty must develop and submit a one-year faculty performance improvement plan, working with the school chair, to be submitted to the school chair for an approval recommendation by the **Third Friday in March**. The school chair sends their approved recommendation, the performance improvement plan, and the other performance review documents, by the **First Friday in April**, to the college dean for review and recommendation. The college dean sends their recommendation by the **Third Friday in April**, along with all the other performance review documents to the provost for approval and the approved plan and review are sent to the faculty member, college dean, and school chair for their records.
- c. For faculty members who do not submit a performance review, do not develop and obtain an approved performance improvement plan, or fail to implement a performance plan, the provost could recommend sanctions up to dismissal for the faculty member.
- d. If there are compliance infractions, the faculty member must sign a Compliance Statement in accordance with their annual executed contract. If the faculty member does not sign the infraction agreement, the provost could recommend sanctions up to dismissal for the faculty member.

Performance Is Unsatisfactory

- a. For tenured and tenure-track faculty where there is an unsatisfactory performance in any category under review, the school chair will send the performance review document and their recommendation to the faculty for their comments by the **First Friday in March**. Faculty members may respond to the recommendation within five days.
- b. The school chair will forward the performance review document, along with their recommendation and the faculty's response to the college dean and the faculty member, by the **Third Friday in March**. The college dean will review the materials and send his/her recommendation to the provost for review and decision by the **First Friday in April**.
- c. If the provost finds that a faculty performance improvement plan is warranted, then the provost sends the decision to the school chair and the faculty member by the **Third Friday in April**, notifying them that the faculty member must develop and submit a one-year faculty performance improvement plan to the school chair by the **First Friday in May**. The school chair sends their approved recommendation, the faculty performance improvement plan, and the other performance review documents, by the **Second Friday in May**, to the dean for review. The dean will send all documents and their recommendation by the **Third Friday in May** to the provost for review and approval by the provost. The provost sends their decision by the **Fourth Friday in May**, along with all the other performance review documents, to the faculty member, college dean, and school chair for their records.
- d. If there are compliance infractions, the faculty member must sign a Compliance Statement in accordance with their annual executed contract. If the faculty member does not sign the infraction agreement, the provost could recommend sanctions up to dismissal for the faculty member.
- e. If the provost finds that the faculty performance warrants sanctions and the faculty member is **tenure-track**, the provost will send all the faculty performance evaluation documents and the provost's review/recommendation for sanctions, up to dismissal, to the president and to the faculty member by the **First Friday in May**. If the sanction recommendation is for dismissal, the president reviews the recommendation, and sends his/her final determination decision to the and the provost by the **Third Friday in May**.
- f. If the provost finds that the faculty performance warrants sanctions, and the faculty member is **tenured**, the provost will send all the faculty performance evaluation documents and the provost's review/recommendation for sanctions including, up to dismissal, to the faculty member by the **Third Friday in April**. The faculty member may appeal to the recommendation by the **Fourth Friday in April** to the provost. The provost will send the recommendation for sanctions and the faculty appeal to the president and to the faculty member by the **First Friday in May**. The president reviews the recommendation and makes a determination. For sanctions other than dismissal, the president's determination is final and is sent to the provost, faculty member, college dean, and school chair.
- g. In the event of a recommendation for dismissal, the president, by the **Third Friday in May**, sends his/her recommendation along with the faculty's written appeal to the Board of Regents (BOR) for final determination. The BOR will send the final decision on dismissal to the president, who will then send a letter to the faculty member, with copies sent to the college dean and chair, notifying them of the BOR decision.

SANCTIONS

Sanctions may include reassignment of duties, a salary reduction, a reduction in rank, a leave of absence, or other appropriate measures, including dismissal as provided in Policy 2.8.5 Termination. Sanctions could include dismissal with a 30-day notice per HB 250 section 1b.

The Faculty Performance Improvement Plan

Faculty performance improvement plans shall be for a maximum of one year. Additional time may be considered by the provost.

The development plan shall

1. Identify specific concerns to be addressed;
2. Define specific objectives to remedy the concerns that are reasonable and measurable;
3. Outline the activities required to achieve the objectives;
4. Set timelines, with specific milestones throughout the plan, for achieving the objectives;
5. State the criteria for progress reviews and for completion of the plan; and
6. Identify sources of funding required to implement the plan, if necessary.

Assessment of the Faculty Performance Improvement Plan

1. At each milestone in the faculty performance improvement plan, the school chair shall assess the achievement of the stated objectives. If a milestone objective has not been satisfactorily met, the chair shall notify the faculty member in writing. The chair may recommend the faculty member continue with the development plan or may recommend a sanction. If a sanction is recommended, the chair shall forward the recommendation and the report to the dean. The recommendation of sanction shall then follow steps 5-8 below.
2. Within 30 calendar days of the conclusion of the faculty performance improvement plan, the chair shall assess the achievement of the stated objectives and shall write a report indicating how each objective was achieved or not achieved. The chair can make one of two findings:
 - a. the faculty member has fulfilled the development plan objectives and the review period has been completed with an overall satisfactory rating, or
 - b. the faculty member has continued performance deficiencies.
3. The chair shall submit the report to the dean.
4. If the dean concurs with a finding that the development plan has been fulfilled, the faculty member will resume the normal annual review cycle. If the chair does not concur with a finding that the development plan has been fulfilled or concurs with a finding that the faculty member has continued performance deficiencies, within ten calendar days, the chair will indicate in writing with a justification and a recommendation of a sanction. The chair will forward his/her recommendation, the chair's report, and all supporting materials to the dean.
5. Within ten calendar days, the chair shall state in writing whether they concur with the recommendation for sanction; if the chair does not concur with the recommendation for sanction, the chair shall state in writing the reasons for the differing recommendation. The chair shall forward all recommendations and all supporting materials to the dean of the faculty member's college.

6. Within ten calendar days, the dean shall state in writing whether he/she concurs with the recommendation for sanction; if the dean does not concur with the recommendation for sanction, the dean shall state in writing the reasons for the differing recommendation. The dean shall forward the chair's report, all recommendations, and all supporting materials to the provost.
7. Within ten calendar days, the provost shall notify the faculty member in writing, with a copy to the dean and the chair, whether he/she concurs with the recommendation for sanction. If the provost does not concur with the recommendation for sanction, the provost shall state in writing the reasons for the differing decision.
8. The faculty member may appeal the provost's decision to the Faculty Evaluation Appeals Committee within ten calendar days of notification of the provost's decision.

Definitions

Calendar Day will be defined as a date no later than the specified number of calendar days following the day of notification. If the final calendar day occurs on a weekend or holiday, the due date will be on the first-day university administrative offices are open. The time for response may be extended upon agreement by both parties.

Collegiality is the ability of an individual to interact with colleagues with civility and professional respect; to engage in shared academic and administrative tasks productively with faculty, students, and staff. Collegiality should not be confused with sociability or likability but rather is the professional criterion relating to teaching, scholarly/creative activities, and service.

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Chair refers to an administrative faculty member overseeing a school where majors and programs are housed and reports to the dean of the college.

Unit/School refers to the academic programs that reside under one chair within a college.

Responsibilities

School Chair/Unit Administrator

At a minimum, the chair/unit administrator is responsible for the following:

- informing the faculty of policies, procedures, and criteria for the faculty performance evaluation
- conducting the school/unit level review and evaluation as outlined in this policy specific to the timeframe directed herein regarding *HB 250*
- making recommendations to the dean regarding faculty performance or sanctions

College Dean

At a minimum, the college dean is responsible for the following:

- notifying the faculty in writing of such decisions
- ensuring all evaluation materials are submitted to the provost on time

Faculty Member

At a minimum, the faculty member being evaluated is responsible for the following:

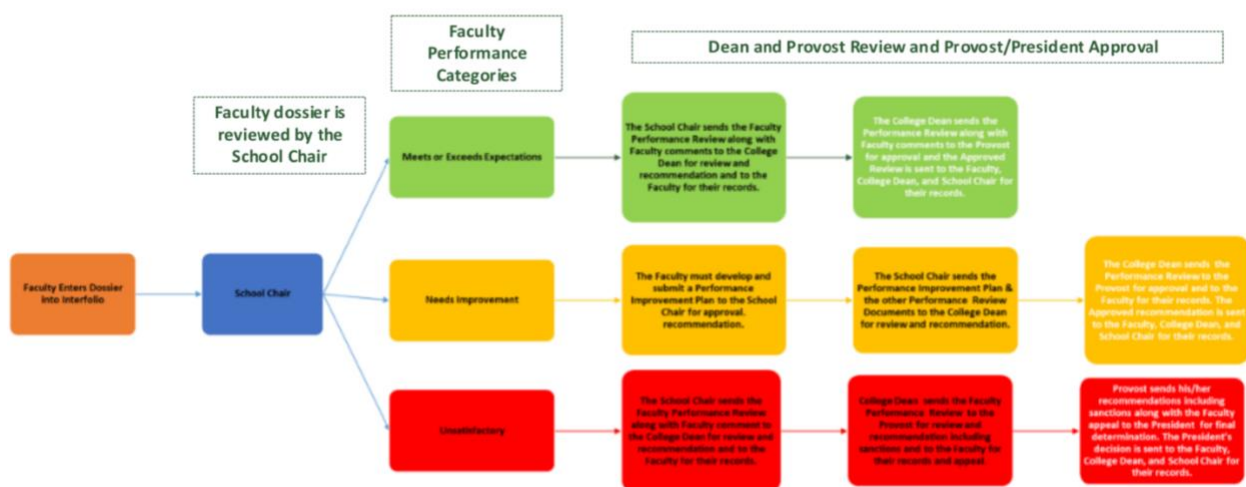
- knowing and adhering to the principles and criteria outlined in this policy and the executed annual faculty contract
- submitting a dossier and other applicable materials by the established University deadline

Provost

At a minimum, the provost is responsible for the following:

- ensuring the criteria applied in the evaluation is consistent with the terms of agreement established in writing at the faculty member's initial appointment in a tenure-track position

KSU Annual Faculty Performance Review Process



Faculty Evaluation Process

2022-2023



**KENTUCKY STATE
UNIVERSITY**

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KENTUCKY STATE UNIVERSITY POLICIES AND PROCEDURES

POLICY TITLE: Revised Faculty Evaluation Process

SECTION/NUMBER: TBD

APPROVED BY: Interim President Ronald A. Johnson

EFFECTIVE DATE: January 24, 2023

REVISED FROM: July 15, 2022

PURPOSE: According to *House Bill 250, Section 1(g)*, effective April 8, 2022, the following process regarding a faculty performance review during the 2022 calendar year of term, tenured, and tenure-track faculty at Kentucky State University is adopted, effective January 26, 2023. Kentucky State University asserts the performance evaluation system is designed to share with faculty a clear understanding of their performance within the three evaluation cycles for term, tenured, and tenure-track faculty.

All faculty types participate in the annual review process unless a faculty member is undergoing Third Year Review for Pre-Tenure faculty, Tenure and Promotion Review, or Post-Tenure Review evaluation processes.

POLICY STATEMENT:

As stated in *House Bill 250, subparagraph 2 of Section 1(g)*, “The process shall ensure a consistently high level of employee performance and shall include, but not be limited to, assessments by peers, students, and administrators. In addition to evaluating an employee’s effectiveness, growth, accomplishments, and skills, the process shall be used to identify deficiencies and ineffectiveness and redirect employee efforts to improve or increase productivity. The process shall be used as a basis for decisions on continued employment, promotion, salary increases, tenure, and maintenance of tenure; . . . the review process for tenured faculty shall include an evaluation of teaching effectiveness, research body of work, overall commitment to the mission of the university, and other criteria determined by the board and the council.”

Determining a faculty member in “good standing” is based on documented and verifiable evidence as outlined in the faculty member’s executed contract and the minimum university set performance standards in the areas of teaching, scholarship, as well as university and community service.

Based on the *HB 250* mandate, Kentucky State University's new process addressing the 2022 calendar year performance evaluation of faculty ensures that processes are clearly articulated and published and are available to all persons in the university community. The process reflects Kentucky State University's set performance standards, as well as respecting the uniqueness of disciplines within the university, and provides appropriate, professional, and flexibility at college and school levels to establish expectations beyond the university performance standards.

RELATED PROCEDURES:

Faculty at Kentucky State University are evaluated annually on the performance standards in three areas: teaching effectiveness and high impact practices in scholarship, and university and community service. Furthermore, faculty are contractually bound to meet the service expectations listed on their faculty contract addendum. The type of performance evaluation conducted (annual, third year, tenure and promotion, or post-tenure review) depends on the nature of the faculty member's contract, rank, and tenure status. The annual, third year, tenure and promotion, or post tenure review include four rating categories, as identified below:

- Exceeds Expectations has a numeric value equal to three (3) points a faculty member can earn;
- Meets Expectations has a numeric value equal to two (2) points a faculty member can earn;
- Needs Improvement has a numeric value equal to one (1) point a faculty member can earn; and,
- Unsatisfactory has a numeric value equal to zero (0). A faculty member will not earn any points towards their performance in this area.

The categories represent the point per indicator within the category faculty member can earn. The overall average for each category on the rubric found in Appendix D will adhere to the following bands:

3.00 - 2.50 Exceeds Expectations

2.49 to 2.0 Meets Expectations

1.99 to 1.0 Needs Improvement

.99 - 0 Unsatisfactory

University performance standards for faculty evaluations include the following (additional standards can be set by the college, unit, or school within the discipline):

Teaching effectiveness: Faculty members are evaluated on their ability to effectively deliver course content and engage students in authentic and active learning. This includes the use of appropriate teaching methods, the ability to create and use effective assessments, and the ability to provide meaningful feedback to students.

Scholarship and research: Faculty members are evaluated on their ability to conduct and publish scholarly research and contribute to their field of expertise. This includes the quality and quantity of publications, presentations, and other scholarly creative activities as outlined in the rubrics in Appendix D by rank and discipline

Professional development: Faculty members are evaluated on their ability to stay current in their field and engage in professional development activities. This includes attending and presenting at conferences, participating in workshops, and taking courses to maintain and improve their skills and knowledge.

University and community service: Faculty members are evaluated on their ability to contribute to the school or unit, college, and university community. This includes service on committees, participation in school or unit and college-wide activities, and engagement with the community.

Goals and objectives: Faculty members are evaluated on their ability to meet the goals and objectives set for them in their job description and by their employer. This includes specific targets and goals related to teaching, research, university and community service, and professional development.

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Student, Peer and Supervisor evaluations: Faculty members are evaluated on their performance through student evaluations, peer evaluations, and supervisor evaluations.

These standards can vary depending on the college, school or unit, and discipline, but generally should be aligned with the goals of the institution.

Kentucky State University performance standards are designed to support the mission, vision, and values of this institution as well as promoting continuous growth and improvement of faculty members. Each rank and tenure status potentially earned by faculty members has performance standards commensurate with the rank or tenure status desired.

DEFINITIONS:

Kentucky State University Performance Evaluation Standards are designed to ensure continuous growth and improvement among all faculty at the university. The university evaluation performance standards are set as baseline expectations for demonstrated teaching effectiveness, high impact practices in scholarship, as well as institutional service and professional development for term, tenured, and tenure-track faculty.

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- **Needs Improvement** – the faculty member has not completely demonstrated or met the expectations defined by the university, college, or school including faculty rank and contractual obligations within the unit discipline.
- **Unsatisfactory** – the faculty member failed to meet expectations defined by the university, college, or school including faculty rank and contractual obligations within the unit discipline.

- **Accomplishments** – refer to specific, measurable actions or tasks that a faculty member has completed during the evaluation period. These may include things like publishing research papers in discipline accepted venues, developing new curriculum, or receiving grant funding. Accomplishments are often tangible and can be easily quantified. Additional determinations of quality may be applicable at the college and unit levels.
- **Achievements** – refer to the overall impact or results that a faculty member has had in their role. These may include things like improving programs and student learning outcomes, increasing student engagement, or fostering a positive departmental culture. Achievements are more qualitative in nature and may be harder to quantify.

Kentucky State University Evaluation Performance Standards define the minimum criteria for meeting expectations within the evaluation system for term, tenured, and tenure-track faculty. The standards reflect the progression associated with the rank or tenure status desired. The following information outlines the performance standards across the areas of teaching effectiveness, high impact practices in scholarship, university and community service, as well as contractual obligations.

- Annual Evaluation
- Tenure Track – 3rd Year Review
- Post-Tenure Review

Faculty members who are designated as “Needs Improvement” in any or all categories must complete an improvement plan. Any faculty receiving an unsatisfactory in any or all categories shall be subject to university sanctions including but not limited to dismissal.

Term faculty describes credentialed faculty who are hired as limited term, non-tenure track (short term/semester/year) contract, including part-time adjunct, lecturer, instructor, and visiting professor. Term faculty do not hold rank or tenure. Term faculty participate in annual performance review according to their executed contract.

Full-time tenure track faculty describes a credentialed faculty member employed full-time who is tenured, eligible for tenure, or in a pre-tenure probationary period. Full-time tenure track faculty participate in the annual performance review unless undergoing either 1) third-year review or 2) tenure and promotion review.

Pre-tenure probationary faculty describes a credentialed faculty member employed full-time who has been employed in a tenure track position from 1-6 years. Pre-tenure probationary faculty under annual review every year except during the third-year review and tenure and promotion reviews.

- Pre-tenured faculty members with three years of service participate in the third-year tenure review process.
- Pre-tenured faculty members with less than three years of service participate in the annual faculty review process.

Tenured faculty describes a credentialed faculty member who was awarded tenure previously at Kentucky State University. Tenured faculty undergo post-tenure performance review every four years. Tenured faculty members under post-tenure review evaluation do not participate in the annual performance review process.

Calendar Day will be defined as a date no later than the specified number of calendar days following the day of notification. If the final calendar day occurs on a weekend or holiday, the due date will be on the first day university administrative offices are open. The time for response may be extended upon agreement by both parties.

Collegiality is the ability of an individual to interact with colleagues with civility and professional respect; to engage in shared academic and administrative tasks productively with faculty, students, and staff. Collegiality should not be confused with sociability or likability but rather is the professional criterion relating to teaching, scholarly/creative activities, and service.

Confidentiality is the principle of limiting access to information or documents only to those persons authorized to have such access. Documents and communications in the evaluation, tenure, and promotion processes will be confidential to the extent permitted by law.

Provost refers to the chief academic officer or his/her designee.

Dean refers to an administrative faculty member who oversees a college where schools are housed and who reports to the provost.

Chair refers to an administrative faculty member overseeing a school where majors and programs are housed and reports to the dean of the college.

Unit/School refers to the academic programs that reside under one chair within a college.

ENTITIES AFFECTED:

All faculty, school and unit administrators, deans, vice president of academic affairs/provost, president, and peer review committees as specified.

POLICY OWNER/INTERPRETING AUTHORITY:

Policy Owner: Office of Academic Affairs

Interpreting Authority: Office of the President, Faculty Senate, and Office of the General Counsel

RELATED POLICIES/DOCUMENTS:

Please see Appendices

- Appendix A: HB 250 Performance Review Process of All Faculty 2022-23;
- Appendix B: 2.6 Tenure, Promotion, and Reappointment Procedures;
- Appendix C: Post-Tenure Review
- Appendix D Evaluation Rubrics.

STATUTORY OR REGULATORY REFERENCES:

Appendix A

Academic Regulation:

HB 250 Performance Review Process of All Faculty 2022-23

Statement

According to *House Bill 250, Section 1(g)*, effective April 8, 2022, the following process regarding a faculty performance review during the 2022 calendar year of term, tenured and tenure-track faculty at Kentucky State University is adopted, effective January 26, 2023.

As stated in *HB 250, subparagraph 2 of Section 1(g)*, “The process shall ensure a consistently high level of employee performance and shall include, but not be limited to, assessments by peers, students, and administrators. In addition to evaluating an employee’s growth, accomplishments, and skills, the process shall be used to identify deficiencies and ineffectiveness and redirect employee efforts to improve or increase productivity. The process shall be used as a basis for decisions on continued employment, promotion, salary increases, tenure, and maintenance of tenure; . . . the review process for tenured faculty shall include an evaluation of teaching effectiveness, research body of work, overall commitment to the mission of the university, and other criteria determined by the board and the council.”

Determining a faculty member in “good standing” is based on documented and verifiable evidence using university performance standards.

Based on the *HB 250* mandate, Kentucky State University’s new process addressing the 2022 calendar year performance evaluation of faculty ensures that processes are clearly articulated and published and are available to all persons in the university community. The process respects the uniqueness of disciplines within the university and provides appropriate, professional, and flexibility at college and school levels.

Entities Affected

- College and University-level Administrators
- Schools
- Tenured Faculty
- Tenure-Track Faculty
- Term Faculty
- Provost

Principles

The revised performance review process at each administrative level shall include appropriate evaluations of performance in teaching, scholarship, and service. The evaluation shall be a part of the individual’s evaluation file housed in the Office of Academic Affairs and Human Resources, with a copy to the faculty member, school chair, and dean.

The review process at each level shall be limited to professionally relevant considerations and shall include documented evidence of performance from the faculty member, students, other faculty, and

college- and university-level administrators. The documented evidence shall be a part of the individual's evaluation dossier.

Criteria

Faculty shall be evaluated on their teaching, research, and service performance for the 2022 calendar year using established discipline guidelines. This *HB 250* mandate stipulates a performance review process that will include all tenured, tenure-track, and term faculty. For faculty members who do not submit a performance review, do not develop and obtain an approved performance improvement plan according to the obtained performance rating described below, or fails to implement a performance plan, the provost could recommend sanctions up to dismissal for the faculty member.

In reviewing all three areas of faculty performance (quality of teaching effectiveness, quality of professional development and scholarly achievement, and quality of service and community contribution), faculty appointments that are reassigned to the administration, library, research or extension will be evaluated according to their annual contracts and distribution of effort agreements. Faculty may include scholarly achievements from Fall 2020 to Fall 2022 in the professional growth and scholarly achievement category only.

Academic discipline areas may articulate expectations beyond the minimum to meet professional accrediting and/or certification criteria.

Procedures

Conducting Evaluations for Faculty

General Guidelines for Evaluations:

- a. All evaluations are conducted ethically, with recommendations and justifications based on relevant documented and verifiable information.
- b. Administrative reviewers (school chair, college dean, and provost) will ensure the performance standard evaluation recommendations are consistent with the goals and needs of the university, as well as the areas within their scope of responsibility.
- c. The faculty member will have a dossier consultation with their chair prior to **February 1, 2023**.
- d. Faculty must submit evidence of their teaching, research, and service performance in dossiers to their school chair by **February 1, 2023**. The performance areas will contain three categories: (1) Evidence of Quality Teaching Effectiveness, (2) Evidence of Quality Professional Growth and Scholarly Achievement, and (3) Evidence of Quality Service and Community Contribution.
- e. The performance evaluation item ratings are scored as follows:
 - Exceeds Expectations (3)
 - Meets Expectations (2)
 - Needs Improvement (1)
 - Unsatisfactory (0)

The categories represent the point per indicator within the category faculty member can earn. The overall average for each category on the rubric found in Appendix D will adhere to the following bands:

3.00 - 2.50 Exceeds Expectations
2.49 to 2.0 Meets Expectations
1.99 to 1.0 Needs Improvement
.99 - 0 Unsatisfactory

Additionally, the school chair will collect information on the compliance of the faculty with the annual executed contract and include this information in the performance evaluation. Compliance infractions will require a faculty performance improvement plan and each category of noncompliance will result in a three-point reduction (-3) from the faculty member's performance assessment.

Faculty with predominantly administrative, research, extension, or library appointments will be weighted according to the faculty member's contract.

- a. Full-time term faculty (temporary, non-tenure track, instructor, lecturer, or visiting professor) will be evaluated according to their contract for the teaching, scholarly work, and service requirements.
- b. The dossier will be submitted via Interfolio to the faculty member's school chair by **February 1, 2023**. The school chair evaluates faculty performance objectives by following the university's standards for teaching and learning, research and creative artifacts, service, and compliance standards. After receipt of the materials, the school chair shall state in writing their overall recommendation for either "exceeds expectations," "meets expectations," "needs improvement," or "unsatisfactory."

Performance Exceeds Expectations or Meets Expectations

- a. The school chair sends the performance review to the college dean for review and recommendation and to the faculty for their records by **March 1**. The faculty member may respond to the recommendation with comments within 5 days. The dean shall review the dossier and the recommendation and faculty comments. The college dean sends the performance review to the provost for approval by **April 4**, and the approved review is sent to the faculty member, dean, and school chair for their records.
- b. If any category under the performance review "needs improvement" or "unsatisfactory" or if there are compliance infractions, see the relevant performance section below.

Performance Needs Improvement

- a. If any category under the performance review has a performance "needs improvement," then a faculty performance improvement plan would be required.
- b. The school chair sends the performance review to the faculty member and college dean by **March 1**. The faculty must develop and submit a one-year faculty performance improvement plan, working with the school chair, to be submitted to the school chair for an approval recommendation by **March 29**. The school chair sends their approved recommendation, the performance improvement plan, and the other performance review documents, by **April 4**, to the college dean for review and recommendation. The college dean sends their recommendation by **April 14**, along with all the other performance review documents to the provost for approval and the approved plan and review are sent to the faculty member, college dean, and school chair for their records.
- c. For faculty members who do not submit a performance review, do not develop and obtain an approved performance improvement plan, or fail to implement a performance plan, the provost could recommend sanctions up to dismissal for the faculty member.

If there are compliance infractions, the faculty member must sign a Compliance Statement in accordance with their annual executed contract. If the faculty member does not sign the infraction agreement, the provost could recommend sanctions up to dismissal for the faculty member.

Performance Is Unsatisfactory

- a. For faculty members who do not submit a performance review, do not develop and obtain an approved performance improvement plan, or fail to implement a performance plan, the provost could recommend sanctions up to dismissal for the faculty member.
- b. For tenured and tenure-track faculty where there is an unsatisfactory performance in any category under review, the school chair will send the performance review document and their recommendation to the faculty for their comments by **March 1**. Faculty members may respond to the recommendation within 5 days.
- c. The school chair will forward the performance review document, along with their recommendation and the faculty's response to the college dean and the faculty member by **March 7**. The college dean will review the materials and send his/her recommendation to the provost for review and decision by **March 22**.
- d. If the provost finds that a faculty performance improvement plan is warranted, then the provost sends the decision to the school chair and the faculty member by **April 5**, notifying them that the faculty member must develop and submit a one-year faculty performance improvement plan to the school chair by **April 25**. The school chair sends their approved recommendation, the faculty performance improvement plan, and the other performance review documents, by **May 1**, to the dean for review. The dean will send all documents and their recommendation by **May 8** to the provost for review and approval by the provost. The provost sends their decision by **May 18**, along with all the other performance review documents to the faculty member, college dean, and school chair for their records.
- e. If there are compliance infractions, the faculty member must sign a Compliance Statement in accordance with their annual executed contract. If the faculty member does not sign the infraction agreement, the provost could recommend sanctions up to dismissal for the faculty member.
- f. If the provost finds that the faculty performance warrants sanctions and the faculty member is **tenure-track**, the provost will send all the faculty performance evaluation documents and the provost's review/recommendation for sanctions, up to dismissal, to the president and to the faculty member by **May 1**. If the sanction recommendation is for dismissal, the president reviews the recommendation, and sends his/her final determination decision to the and the provost by **May 18**.
- g. If the provost finds that the faculty performance warrants sanctions, and the faculty member is **tenured**, the provost will send all the faculty performance evaluation documents and the provost's review/recommendation for sanctions including, up to dismissal, to the faculty member by **April 17**. The faculty member may appeal to the recommendation by **April 24** to the provost. The provost will send the recommendation for sanctions and the faculty appeal to the president and to the faculty member by **May 1**. The president reviews the recommendation and makes a determination. For sanctions other than dismissal, the president's determination is final and is sent to the provost, faculty member, college dean, and school chair.

- h. In the event of a recommendation for dismissal, the president by **May 18** sends his/her recommendation along with the faculty's written appeal to the Board of Regents (BOR) for final determination. The BOR will send the final decision on dismissal to the president, who will then send a letter to the faculty member, with copies to the college dean and chair notifying them of the BOR decision.

SANCTIONS

Sanctions may include reassignment of duties, a salary reduction, a reduction in rank, a leave of absence, or other appropriate measures, including dismissal as provided in Policy 2.8.5 Termination. Sanctions could include dismissal with a 30-day notice per HB 250 section 1b.

The Faculty Performance Improvement Plan

Faculty performance improvement plans shall be for a maximum of one year. Additional time may be considered by the provost.

The development plan shall

1. Identify specific concerns to be addressed;
2. Define specific objectives to remedy the concerns that are reasonable and measurable;
3. Outline the activities required to achieve the objectives;
4. Set timelines, with specific milestones throughout the plan, for achieving the objectives;
5. State the criteria for progress reviews and for completion of the plan; and
6. Identify sources of funding required to implement the plan, if necessary.

Assessment of the Faculty Performance Improvement Plan

1. At each milestone in the faculty performance improvement plan, the school chair shall assess the achievement of the stated objectives. If a milestone objective has not been satisfactorily met, the chair shall notify the faculty member in writing. The chair may recommend the faculty member continue with the development plan or may recommend a sanction. If a sanction is recommended, the chair shall forward the recommendation and the report to the dean. The recommendation of sanction shall then follow steps 5-8 below.
2. Within 30 calendar days of the conclusion of the faculty performance improvement plan, the chair shall assess the achievement of the stated objectives and shall write a report indicating how each objective was achieved or not achieved. The chair can make one of two findings:

- a. the faculty member has fulfilled the development plan objectives and the review period has been completed with an overall satisfactory rating, or
 - b. the faculty member has continued performance deficiencies.
3. The chair shall submit the report to the dean.
4. If the dean concurs with a finding that the development plan has been fulfilled, the faculty member will resume the normal annual review cycle. If the chair does not concur with a finding that the development plan has been fulfilled or concurs with a finding that the faculty member has continued performance deficiencies, within 10 calendar days, the chair will indicate in writing with a justification and a recommendation of a sanction. The chair will forward his/her recommendation, the chair's report, and all supporting materials to the dean.
5. Within 10 calendar days, the chair shall state in writing whether they concur with the recommendation for sanction, If the chair does not concur with the recommendation for sanction, the chair shall state in writing the reasons for the differing recommendation. The chair shall forward all recommendations and all supporting materials to the dean of the faculty member's college.
6. Within 10 calendar days, the dean shall state in writing whether he/she concurs with the recommendation for sanction, If the dean does not concur with the recommendation for sanction, the dean shall state in writing the reasons for the differing recommendation. The dean shall forward the chair's report, all recommendations, and all supporting materials to the provost.
7. Within 10 calendar days, the provost shall notify the faculty member in writing, with a copy to the dean, and the chair, whether he/she concurs with the recommendation for sanction. If the provost does not concur with the recommendation for sanction, the provost shall state in writing the reasons for the differing decision.
8. The faculty member may appeal the provost's decision to the Faculty Evaluation Appeals Committee within 10 calendar days of notification of the provost's decision.

Definitions

Calendar Day will be defined as a date no later than the specified number of calendar days following the day of notification. If the final calendar day occurs on a weekend or holiday, the due date will be on the first day university administrative offices are open. The time for response may be extended upon agreement by both parties.

Collegiality is the ability of an individual to interact with colleagues with civility and professional respect; to engage in shared academic and administrative tasks productively with faculty, students,

and staff. Collegiality should not be confused with sociability or likability but rather is the professional criterion relating to teaching, scholarly/creative activities, and service.

Confidentiality is the principle of limiting access to information or documents only to those persons authorized to have such access. Documents and communications in the evaluation, tenure, and promotion processes will be confidential to the extent permitted by law.

Term Faculty refers to an instructor, a replacement for a regular faculty member, a person on short-term assignment, adjunct, lecturer, instructor and visiting faculty member.

Full-time tenure track Faculty describes a faculty member employed full-time who is tenured, eligible for tenure, or in a pre-tenure probationary period.

Provost refers to the chief academic officer or his/her designee.

Dean refers to an administrative faculty member who oversees a college where schools are housed and who reports to the provost.

Chair refers to an administrative faculty member overseeing a school where majors and programs are housed and reports to the dean of the college.

Unit/School refers to the academic programs that reside under one chair within a college.

Responsibilities

School Chair/Unit Administrator

At a minimum, the chair/unit administrator is responsible for the following:

- informing the faculty of policies, procedures, and criteria for the faculty performance evaluation
- conducting the school/unit level review and evaluation as outlined in this policy specific to the timeframe directed herein regarding *HB 250*
- making recommendations to the dean regarding faculty performance or sanctions

College Dean

At a minimum, the college dean is responsible for the following:

- notifying the faculty in writing of such decisions
- ensuring all evaluation materials are submitted to the provost on time

Faculty Member

At a minimum, the faculty member being evaluated is responsible for the following:

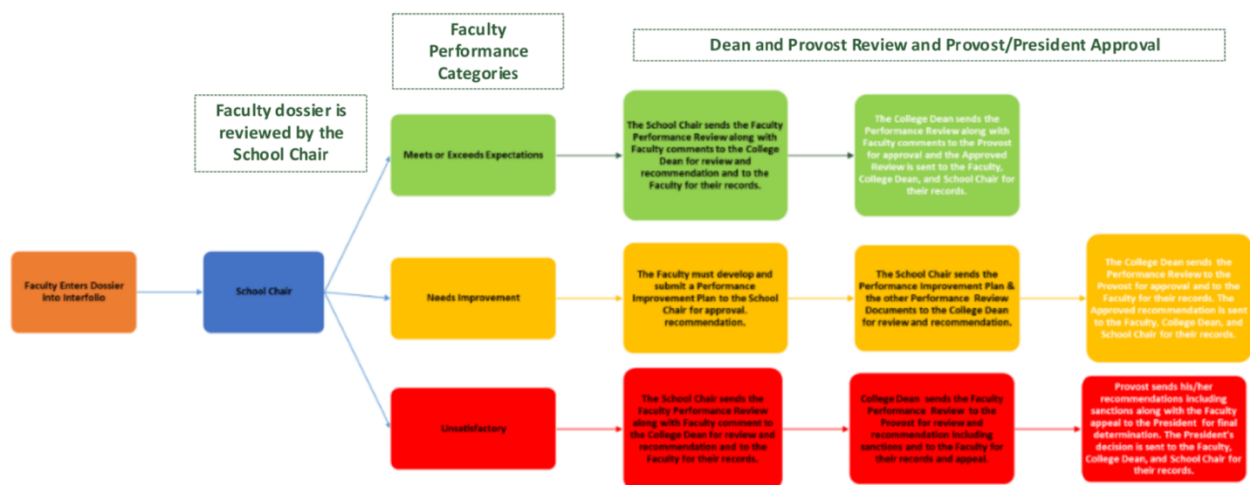
- knowing and adhering to the principles and criteria outlined in this policy and the executed annual faculty contract
- submitting a dossier and other applicable materials by the established University deadline

Provost

At a minimum, the provost is responsible for the following:

- ensuring the criteria applied in the evaluation is consistent with the terms of agreement established in writing at the faculty member's initial appointment in a tenure-track position

KSU Annual Faculty Performance Review Process



Appendix B:

Academic Regulation: 2.6 Tenure, Promotion, and Reappointment Procedures

Statement

Pursuant to the declaration of Financial Exigency by the Kentucky Legislature and outlined in *House Bill 250* on April 8, 2022, the following policy replaces the current *Faculty Handbook (2019) Section 2.6 regarding the Promotion and Tenure: Policies and Standards* of tenured and tenure track faculty at Kentucky State University is hereby adopted.

Entities Affected

- College and University-level Administrators
- Schools and Units
- Tenured Faculty
- Tenure-Track Faculty
- Provost

Principles

Third-Year Summative Review

For probationary faculty (tenure track), a comprehensive, **summative third-year review** will be conducted to assist the faculty member with specific feedback on their progress towards meeting school/unit expectations in their pursuit of earning tenure and promotion.

Procedure

- a. For probationary faculty (tenure track) who have been employed for a minimum of three years at Kentucky State University as a tenure track faculty member, a comprehensive, summative third year review will be conducted according to university standards in reference to the evaluation of (1) Quality Teaching Effectiveness (2) Quality of Professional Development and Scholarship and (3) Quality University Service and Community Contribution. Faculty with predominantly administrative, research, extension, or library appointments will be weighted according to the faculty member's executed contract.

- b. The categories represent the point per indicator within the category faculty member can earn. The overall average for each category on the rubric found in Appendix D will adhere to the following bands:
 - c. 3.00 - 2.50 Exceeds Expectations
 - d. 2.49 to 2.0 Meets Expectations
 - e. 1.99 to 1.0 Needs Improvement
 - f. .99 - 0 Unsatisfactory
-
- b. The dossier will be submitted via Interfolio to the faculty member's school chair by **February 1, 2023**. The school chair evaluates faculty performance following the university's standards for teaching and learning, research and creative artifacts, and service. After receipt of the materials, the chair shall state in writing their recommendation for either "exceeds expectations," "meets expectations," "needs improvement," or "unsatisfactory" and whether a performance improvement plan or any sanctions are recommended and the level of any the sanctions as follows:

Performance Exceeds Expectations or Meets Expectations

- a. The school chair sends the performance review to the college dean for review and recommendation and to the faculty for their records by **March 1**. The faculty member may respond to the recommendation with comments within 5 days. The dean shall review the dossier and the recommendation and faculty comments. The college dean sends the performance review to the provost for approval by **April 4**, and the approved review is sent to the faculty member, college dean, and school chair for their records.
- b. If any category under the performance review "needs improvement" or "unsatisfactory" or if there are compliance infractions, see the relevant performance section below.

Performance Needs Improvement

- a. If any category under the performance review has a performance "needs improvement," then a Faculty Third-Year Review Performance Improvement Plan would be required.
- b. The school chair sends the performance review to the faculty member and college dean by **March 1**. The faculty must develop and submit a one-year Faculty Third Year Review Performance Improvement Plan, working with the school chair, to be submitted to the school chair for an approval recommendation by **March 29**. The school chair sends his/her/their approved recommendation, the Faculty Third-Year Review Performance Improvement, and - other performance review documents, by **April 4**, to the college dean for review and recommendation. The college dean sends his/ her recommendation by **April 14**, along with all the other performance review documents to the provost for approval and the approved plan and review are sent to the faculty member, college dean, and school chair for their records.
- c. For faculty members who do not submit a Faculty Third Year Review Performance Improvement Plan, do not develop, and obtain an approved Faculty Third Year Review Performance

Improvement Plan or fail to implement a Third -Year Review Performance Improvement Plan, the provost could recommend sanctions up to dismissal for the faculty member.

- d. If there are compliance infractions, the faculty member must sign a Compliance Statement in accordance with their annual executed contract. If the faculty member does not sign the infraction agreement, the provost could recommend sanctions up to dismissal for the faculty member.

Performance Is Unsatisfactory

- a. For tenured and tenure-track faculty where there is an unsatisfactory performance in any category under review, the school chair will send the performance review document and their recommendation to the faculty for their comments by **March 1**. Faculty members may respond to the recommendation within 5 days.
- b. The school chair will forward the performance review document, along with their recommendation and the faculty's response to the college dean and the faculty member by **March 7**. The college dean will review the materials and send his/her recommendation to the provost for review and decision by **March 22**.
- c. If the provost finds that a Faculty Third-Year Review Performance Plan is warranted, then the provost sends the decision to the school chair and the faculty member by **April 5**, notifying them that the faculty member must develop and submit a one-year Faculty Third-Year Review Performance Improvement Plan to the school chair by **April 25**. The school chair sends his/her/their approved recommendation, the Faculty Third-Year Review Performance Improvement Plan, and the other performance review documents, by **May 1**, to the dean for review. The dean will send all documents and his/her/their recommendation by **May 8** to the provost for review and approval by the provost. The provost sends his/her/their decision by **May 18**, along with all the other performance review documents to the faculty member, college dean, and school chair for their records.
- d. If there are compliance infractions, the faculty member must sign a Compliance Statement in accordance with their annual executed contract. If the faculty member does not sign the infraction agreement, the provost could recommend sanctions up to for the faculty member.
- e. If the provost finds that the faculty performance warrants sanctions, the provost will send all the faculty performance evaluation documents and the provost's review/recommendation for sanctions, up to dismissal, to the president and to the faculty member by **May 1**. If the sanction recommendation is for dismissal, the president reviews the recommendation and sends his/her/their final determination decision to the faculty and the provost by **May 18**.

SANCTIONS

Sanctions may include reassignment of duties, a salary reduction, a reduction in rank, a leave of absence, or other appropriate measures, including dismissal as provided in Policy 2.8.5 Termination. Sanctions could include dismissal with a 30-day notice per HB 250 section 1b.

The Faculty Third-Year Review Performance Improvement Plan

Faculty Third-Year Review Performance Improvement Plan shall be for a maximum of one year. Additional time may be considered by the provost.

The Faculty Third-Year Review Performance Improvement Plan shall:

1. Identify specific concerns to be addressed.
2. Define specific outcome objectives to remedy the concerns that are reasonable and measurable.
3. Outline the activities required to achieve the objectives.
4. Set timelines, with specific milestones throughout the plan, for achieving the objectives.
5. State the criteria for progress reviews and for completion of the plan; and
6. Identify sources of funding required to implement the plan, if necessary.

Assessment of the Faculty Third-Year Review Performance Improvement Plan

1. At each milestone in the Faculty Third Year Review Performance Improvement Plan, the school chair shall assess the achievement of the stated objectives. If a milestone objective has not been satisfactorily met, the chair shall notify the chair in writing. The chair may recommend the faculty member continue with the development plan or may recommend a sanction. If a sanction is recommended, the chair shall forward the recommendation and the report to the dean. The recommendation of sanction shall then follow steps 5-8 below.
2. Within 30 calendar days of the conclusion of the Faculty Third-Year Review Performance Improvement Plan, the chair shall assess the achievement of the stated objectives and shall write a report indicating how each objective was achieved or not achieved. The chair can make one of two findings:
 - a. the faculty member has fulfilled the development plan objectives and the review period has been completed with an overall satisfactory rating, or
 - b. the faculty member has continued performance deficiencies.
3. The chair shall submit the report to the dean.
4. If the dean concurs with a finding that the development plan has been fulfilled, the faculty member will resume the normal annual review cycle. If the chair does not concur with a finding

that the development plan has been fulfilled or concurs with a finding that the faculty member has continued performance deficiencies, within 10 calendar days, the chair will indicate in writing with a justification and a recommendation of a sanction. The chair will forward his/her recommendation, the chair's report, and all supporting materials to the dean.

5. Within 10 calendar days, the chair shall state in writing whether they concur with the recommendation for sanction, If the chair does not concur with the recommendation for sanction, the chair shall state in writing the reasons for the differing recommendation. The chair shall forward all recommendations and all supporting materials to the dean of the faculty member's college.
6. Within 10 calendar days, the dean shall state in writing whether he/she concurs with the recommendation for sanction, If the dean does not concur with the recommendation for sanction, the dean shall state in writing the reasons for the differing recommendation. The dean shall forward the chair's report, all recommendations, and all supporting materials to the provost.
7. Within 10 calendar days, the provost shall notify the faculty member in writing, with a copy to the dean, the chair, whether he/she concurs with the recommendation for sanction. If the provost does not concur with the recommendation for sanction, the provost shall state in writing the reasons for the differing decision.
8. The faculty member may appeal the provost's decision to the Faculty Evaluation Appeals Committee within 10 calendar days of notification of the provost's decision.

Definitions

Tenure-Track Faculty: This term describes faculty employed full-time who are tenured, eligible for tenure, or in a pre-tenure probationary period.

Provost: This term refers to the provost or his/her designee.

Dean: This term refers to an administrative faculty member who oversees a college where schools are housed, and who reports to the provost.

Chair: This term refers to an administrative faculty member who oversees a school where majors and programs are housed, and who reports to the respective college dean.

Unit/School: This term refers to the programs/majors that reside under one chairperson within one college

Responsibilities

Chair/ School Head

At a minimum, the chair is responsible for

- informing the faculty of policies, procedures, and criteria for tenure, promotion, and reappointment.

College Dean

At a minimum, the college dean is responsible for

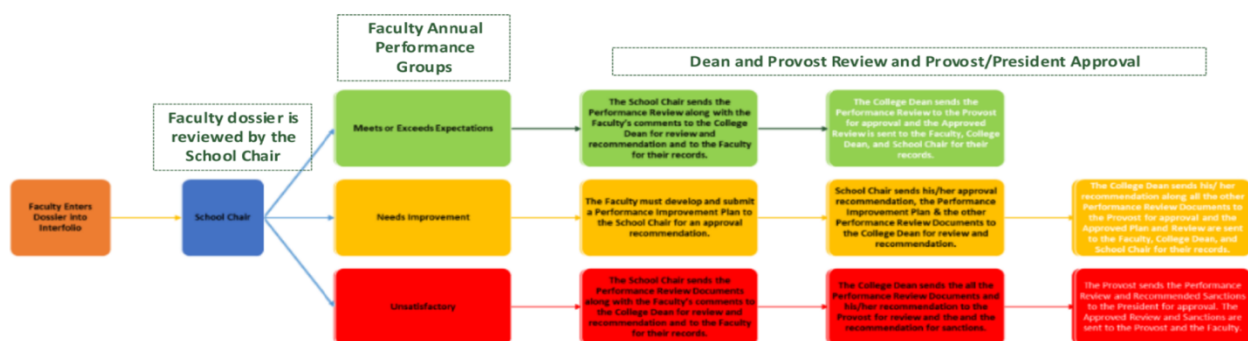
- making recommendations on the reappointment of term, tenure-track, and tenured faculty

Provost

At a minimum, the provost is responsible for

- making decisions on the reappointment of term, tenure-track, and tenured faculty

KSU Tenure-Track Faculty Three Year Review Process



Appendix C:

Academic Regulation: Post-Tenure Review

Statement

Pursuant to the declaration of Financial Exigency by the Kentucky Legislature and outlined in *House Bill 250* on April 8, 2022, the following policy amends the replacement of the current *Faculty Handbook (2019) Appendix H: Post-Tenure Review Policy and Procedures* of tenured faculty at Kentucky State University passed by the Board of Regents on July 15, 2022. All tenured faculty will undergo Post-Tenure Review by April 2023, with a second review by April 2027, and every four years thereafter on a rotational basis from the date of tenure award. The annual review will not be conducted in the years when a post-tenure review occurs.

In accordance to *Section 1 (h) (2) of HB 250*, "If there is not a sufficient body of evidence for a tenured faculty member to undergo the review required under subparagraph 1. of this paragraph, as determined by criteria established by the board in consultation with the council, the review shall be delayed, and the faculty member shall be advised of the deficiencies in the body of evidence causing the delay. The review shall take place by April 1, 2024; and (i) All tenured faculty shall undergo an additional post-tenure review as described in paragraph (g) of this section by June 30, 2027."

The Post-Tenure Review process below will be followed where tenured faculty are reviewed once every four years following the receipt of tenure. Tenured faculty members share the responsibility to maintain a high level of teaching, scholarly/creative activities and professional development, and university and community service. All schools will review, update, and establish performance standards and procedures for the review of tenured faculty. The Post-Tenure Review policy is intended to be an opportunity to improve deficient performance. The university may choose to use the post-tenure process in lieu of immediate dismissal for cause.

Entities Affected

Colleges, Schools, Faculty, Provost Office

Procedures

Establishing the Post-Tenure Review Committee

The university will establish a Post-Tenure Review (PTR) Committee by carrying out the following procedure:

1. The provost will select two members from each college to serve on the committee by January 3, 2023.
2. The provost will select a fifth member for the PTR Committee who will serve as the chair of the committee also by January 3, 2023.

Post-Tenure Review Procedures

1. The dossier will be submitted via Interfolio to the PTR Committee by **February 1, 2023**. The provost will provide an orientation to the committee regarding the process and use of discipline specific approved benchmarks.
2. After receipt of the materials, the PTR Committee shall state in writing their recommendation for either “exceeds expectations,” “meets expectations,” “needs improvement,” or “unsatisfactory.”

The categories represent the point per indicator within the category faculty member can earn. The overall average for each category on the rubric found in Appendix D will adhere to the following bands:

3.00 - 2.50 Exceeds Expectations

2.49 to 2.0 Meets Expectations

1.99 to 1.0 Needs Improvement

.99 - 0 Unsatisfactory

Performance Exceeds Expectations or Meets Expectations

- a. The PTR Committee Chair sends the Post-Tenure Review recommendation to the school chair and to the faculty by **March 1**. The faculty member may respond to the recommendation within 5 days. The school chair sends the Review along with faculty comments to the college dean by **March 7** for review and recommendation. The college dean will send all documents and his/her/their recommendation to the provost by **April 4** for approval and the approved review is sent to the faculty member, college dean, and school chair for their records by **May 1**.
- b. If any area under Post-Tenure Review recommendation is “needs improvement” or “unsatisfactory” or if there are compliance infractions, see the relevant performance section below.

Performance Needs Improvement

- a. The PTR Committee Chair sends the Post-Tenure Review recommendation to the school chair and to the faculty member by **March 1**. The faculty must develop and submit a one-year Faculty Post-tenure Performance Improvement Plan, working with the school chair, to be submitted to the school chair for approval of the recommendation by **March 29**. The school chair sends the Faculty Post-tenure Performance Improvement Plan and the other post-tenure review documents to the college dean for review and approval of the recommendation by **April 4**. The college dean sends the faculty post-tenure review and Faculty Post-tenure Performance Improvement Plan to the provost by **April 14** for approval and the approved plan and review are sent to the faculty member, college dean, and school chair for their records.
- b. For faculty members who do not submit a Faculty Post-tenure Performance Improvement Plan for review, do not develop and obtain an approved faculty performance improvement plan, or fail to implement a performance plan, the provost could recommend sanctions up to dismissal for the faculty member.

- c. If there are compliance infractions, the faculty member must sign a Compliance Statement in accordance with their annual executed contract. If the faculty member does not sign the infraction agreement, the provost could recommend sanctions up to dismissal for the faculty member.

Performance Is Unsatisfactory

- a. The PTR Committee Chair sends the Faculty Post-tenure Review to the school chair and to the faculty member by **March 1**. Faculty members may respond to the recommendation within 5 days.
- b. The school chair will forward the PTR Committee recommendations, the faculty's response to the college dean and the faculty member by **March 7**. The college dean will review the materials and send his/her/their recommendation to the provost for review and decision by **March 22**.
- c. If the provost finds that a Faculty Post-tenure Performance Improvement Plan is warranted, then the provost sends the decision to the school chair and the faculty member by **April 5**, notifying them that the faculty member must develop and submit a one-year Faculty Post-tenure Performance Improvement Plan to the school chair by **April 25**. The school chair sends his/her/their approval recommendation, the Faculty Post-tenure Performance Improvement Plan and the other performance review documents, by **May 1**, to the dean for review. The dean will send all documents and his/her/their recommendation by **May 8** to the provost for review and approval. The provost sends his/her/their decision by **May 18**, along with all the other performance review documents to the faculty member, college dean, and school chair for their records.
- d. If there are compliance infractions, the faculty member must sign a Compliance Statement in accordance with the annual executed contract. If the faculty member does not sign the infraction agreement, the provost could recommend sanctions up to dismissal for the faculty member.
- e. If the provost finds that the faculty performance warrants sanctions, the provost will send all the Faculty Post-tenure Review documents and the provost's review/recommendation for sanctions including, up to dismissal, to the faculty member by **April 17**. The faculty member may appeal to the recommendation by **April 24** to the provost. The provost will send the recommendation for sanctions and the faculty appeal to the president and to the faculty member by **May 1**. The president reviews the recommendation and makes a determination. For sanctions other than dismissal, the president's determination is final and is sent to the provost, faculty member, college dean, and school chair.
- f. In the event of a recommendation for dismissal, the president by **May 18** sends his/her/their recommendation along with the faculty's written appeal to the Board of Regents (BOR) for final determination. The BOR will send the final decision on dismissal to the president, who will then send a letter to the faculty member, with copies to the college dean and chair notifying them of the BOR decision.

The Faculty Post-Tenure Performance Improvement Plan

The Faculty Post-Tenure Performance Improvement Plan shall be for a maximum of one year. Additional time may be considered by the provost.

The development plan shall:

1. Identify specific concerns to be addressed;
2. Define specific outcome objectives to remedy the concerns that are reasonable and measurable;
3. Outline the activities required to achieve the objectives;
4. Set timelines, with specific milestones throughout the plan, for achieving the objectives;
5. State the criteria for progress reviews and for completion of the plan; and
6. Identify sources of funding required to implement the plan, if necessary.

Assessment of the Faculty Post-tenure Performance Improvement Plan

1. At each milestone in the Faculty Post-tenure Performance Improvement Plan, the school chair shall assess the achievement of the stated objectives. If a milestone objective has not been satisfactorily met, the chair shall notify the faculty member in writing. The chair may recommend the faculty member continue with the development plan or may recommend a sanction. If a sanction is recommended, the chair shall forward the recommendation and the report to the dean. The recommendation of sanction shall then follow steps 5 & 6 below.
2. Within 30 calendar days of the conclusion of the Faculty Post-tenure Performance Improvement Plan, the chair shall assess the achievement of the stated objectives and shall write a report indicating how each objective was achieved or not achieved. The chair can make one of two findings:
 - a. the faculty member has fulfilled the development plan objectives and the review period has been completed with an overall satisfactory rating, or
 - b. the faculty member has continued performance deficiencies.
3. The chair shall submit the report to the dean.
4. If the dean concurs with a finding that the Faculty Post-tenure Performance Improvement Plan has been fulfilled, the faculty member will resume the normal annual review cycle. If the chair does not concur with a finding that the Faculty Post-tenure Performance Improvement Plan has been fulfilled or concurs with a finding that the faculty member has continued performance deficiencies, within 10 calendar days, the dean will indicate in writing with a

justification and a recommendation of a sanction. The dean will forward his/her/their recommendation, the chair's report, and all supporting materials to the provost.

5. Within 10 calendar days, the provost shall notify the faculty member in writing, with a copy to the dean, and the chair, whether he/she concurs with the recommendation for sanction. If the provost does not concur with the recommendation for sanction, the provost shall state in writing the reasons for the differing decision.
6. The faculty member may appeal the provost's decision to the Faculty Evaluation Appeals Committee within 10 calendar days of notification of the provost's decision.

SANCTIONS

Sanctions may include reassignment of duties, a salary freeze, a reduction in rank, a leave of absence, or other appropriate measures, including dismissal as provided in Policy 2.8.5 Termination. Sanctions could include dismissal with a 30-day notice per *HB 250 section 1b*.

Responsibilities

Tenured Faculty Member

- o The tenured faculty member is responsible for knowing and complying with this policy.

Post-Tenure Review Committee

At a minimum, the PTR Committee is responsible for

- o making recommendations resulting from post-tenure review

Chair

At a minimum, the chair is responsible for

- o approving a Faculty Post-tenure Performance Improvement Plan
- o making recommendations regarding sanctions resulting from the post-tenure review

College Dean

At a minimum, the dean is responsible for

- o approving a Faculty Post-tenure Performance Improvement Plan
- o making recommendations regarding sanctions resulting from post-tenure review

Faculty Appeal Committee

The Faculty Appeals Committee is responsible for

- o ensuring appeals are reviewed only on the grounds stated in this policy
- o reviewing the appeal and the evidence submitted by the faculty member

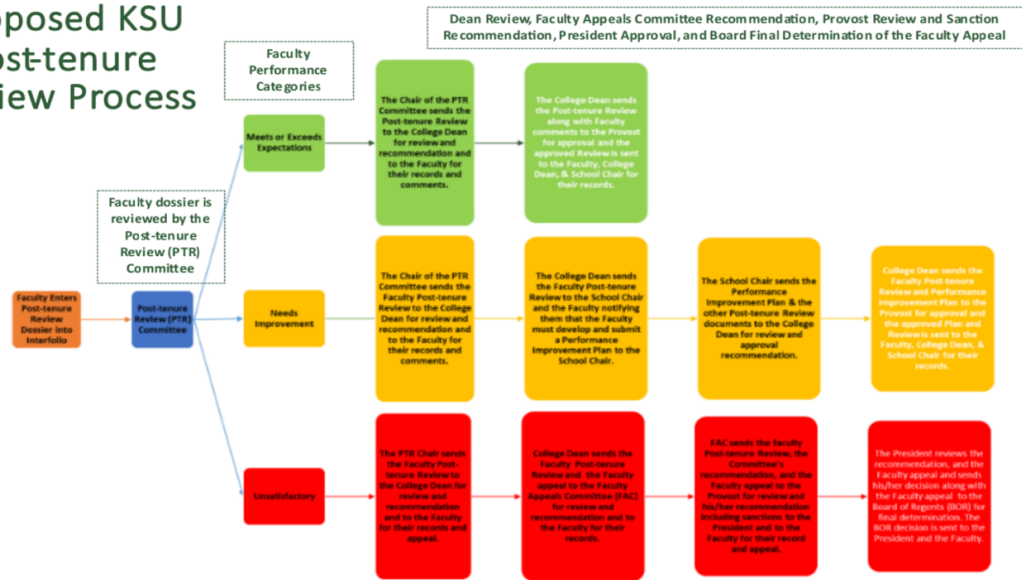
o submitting findings and recommendations to the president

Provost

At a minimum, the provost is responsible for

- o approving a Faculty Post-tenure Performance Improvement Plan
- o making recommendations regarding sanctions resulting from post-tenure review

Proposed KSU Post-tenure Review Process



Appendix D: Evaluation Rubrics

2023 Faculty Performance Evaluation Rubric

Instructions: Chairpersons are to use the university minimum measurements defined in the faculty evaluation point system for ratings. Ratings of "Needs Improvement" and "Unsatisfactory" requires a plan for improvement, a follow up review, and/or possible sanctions. All areas of evaluation should reflect the faculty member's performance expected at their academic rank. All faculty types participate in the annual review process unless, a faculty member is undergoing Third Year Review for Pre-Tenure faculty, Tenure and Promotion Review, or Post-Tenure Review evaluation processes.

Evidence of Quality and Effectiveness in Teaching

Scoring Instructions: Minimum university expectation for Effectiveness in Teaching is Meets Expectations (2) in at least eight of the areas listed below each year with verifiable artifacts. Special Note: Evaluations by students/administrators/peers are required for all faculty members. Category will be mean (average) scored across all items present in the dossier. Category scores less than "2" will require a Performance Improvement Plan and subject to sanctions.

Evaluations from students

Evaluation by school/unit administrator

Direct observation of faculty by peers and/or school/unit administrator

Use of teaching portfolios as developed by schools/units

Accessibility to, and rapport with students

Innovative teaching methodology and the use of research in instruction

Evidence of contributions to student career development

Quality and standards as developed through consultation with colleagues to meet the objectives set forth in the course syllabus

Initiative in developing or experimenting with media and materials

Additional evidence of effective teaching

Evidence of Quality in Scholarly Activity

Scoring Instructions: Minimum university expectation for Scholarly Activity is Meets Expectations (2) in at least five of the areas listed below each year with verifiable artifacts. Category will be mean (average) scored across all items present in the dossier. Category scores less than "2" will require a Performance Improvement Plan and subject to sanctions.

Research and Publications

Publications in refereed journals

Publications in non-refereed journals

Publication of a book or monograph

Competitive research grant awards

Publication of a chapter in a book

Book or Journal Editor

Published book reviews

Published journal abstracts

Publication of workbooks used in conjunction with instruction

Publication of refereed proceedings

Publication of cases

Software developed for use in instruction (validated by external reviewers)

Creative Works and Projects

See discipline specific benchmarks published in the *Faculty Handbook (2019) Appendices* where appropriate

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Professional Activities

Professional program presentations
Honors received from professional groups (if related to scholarly activities that have been validated by external reviewers)

Participation in professional organizations
Consulting activities (depends on validation of external reviewers)
Reviewer, discussant, moderator, or track chair at professional meetings
Program development in recruiting students
Competitive research grant applications
Editing of professional publications
Educational curriculum development for stakeholders

Other Evidence of Professional Growth and Leadership

Roundtable or panel participation
Professional certifications
Professional internships
Advanced or post-graduate study
Other activities and experiences

Evidence of Quality in University and Community Service Contributions

Scoring Instructions: Minimum university expectation for University and Community Service Activity is Meets Expectations (2) in at least two of the areas listed below each year with verifiable artifacts. Category will be mean (average) scored across all items present in the dossier. Category scores less than "2" will require a Performance Improvement Plan and subject to sanctions.

Off-campus instruction and regional service
International instruction and workshops
Non-credit instruction and workshops
Advising and other activities with students (Career and Counseling Center, undeclared majors, declared majors, career selection and placement assistance, student organizations, recruitment organizations, orientation programs, retention activities, study skills assistance and referral, assisting students in the participation, submission, and presentation of scholarly works).

Activities at school/unit, college, and university levels (school committee appointments, college committee appointments, university committee appointments, chair positions on committees, elected positions (senate), course validation activities, credit by examination activities, others)

Exceeds Expectations (3)	Meets Expectations (2)	Needs Improvement (1)	Unsatisfactory (0)

Post-Tenure Performance Evaluation Rubric

Instructions: The university minimum benchmarks must be met in evaluating the performance of the faculty member over the last four years. *Ratings of "Needs Improvement" and "Unsatisfactory"* requires a plan for improvement, a follow up review, and/or possible sanctions. All areas of evaluation should reflect the faculty member's performance expected at their academic rank.

Evidence of Quality and Effectiveness in Teaching

Evaluations from students				
Evaluation by school/unit administrator				
Direct observation of faculty by peers and/or school/unit administrator				
Use of teaching portfolios as developed by schools/units				
Accessibility to, and rapport with students				
Innovative teaching methodology and the use of research in instruction				
Evidence of contributions to student career development				
Quality and standards as developed through consultation with colleagues to meet the objectives set forth in the course syllabus				
Initiative in developing or experimenting with media and materials				
Additional evidence of effective teaching				
Performance of students on course outcomes with rubric provided				
Documented faculty member attendance and subsequently developed and implemented new approaches in pedagogy				
Is faculty member engaged in the scholarship of teaching and learning				
Innovative teaching methodology and the use of research in instruction				
Curriculum is aligned with Industry Practices and Requirements				
Faculty advising and mentoring student in career pursuits				
Evidence of contributions to student career development				
Sub-totals				
Total Quality and Effectiveness in Teaching Score				

Preformance Teaching Quality and Effectiveness Standard (Total points 34)

Performance Criteria (Unsatisfactory <70%, Needs Improvement 70-75%, Meets Expectations 76-85%, Exceeds Expectations >85%)

Evidence of Quality Professional Growth and Scholarly Achievement Based on Specific Discipline Criteria as Approved by the Provost

Research and Publications

Current Citation indices (i.e. Google Scholar)

Publications in refereed journals (including journal quality rating,i.e., High Index/i10 Index)

Publications in non-refereed journals

Publication of a book or monograph

Competitive research grant awards

Publication of a chapter in a book

Book or Journal Editor

Published book reviews

Published journal abstracts

Publication of workbooks used in conjunction with instruction

Publication of refereed proceedings

Publication of cases

Software developed for use in instruction (validated by external reviewers)

Exceeds Expectations (3)	Meets Expectations (2)	Needs Improvement (1)	Unsatisfactory (0)

Creative Works and Projects

See discipline specific benchmarks published in the *Faculty Handbook (2019) Appendices* where appropriate

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Professional Activities

Professional program presentations

Honors received from professional groups (if related to scholarly activities that have been validated by external reviewers)

Participation in professional organizations

Consulting activities (depends on validation of external reviewers)

Reviewer, discussant, moderator, or track chair at professional meetings

Program development in recruiting students

Competitive research grant applications

Editing of professional publications

Educational curriculum development for stakeholders

Other Evidence of Professional Growth and Leadership

Roundtable or panel participation

Professional certifications

Professional internships

Advanced or post-graduate study

Other activities and experiences

Evidence of Quality Service and Community Contribution

Instructions: Rate the level that the tenured faculty member is known outside of the university using the indicators below.

Number of service activities at the international, national, regional, state, and local levels.

Off-campus instruction and regional service

International instruction and workshops

Non-credit instruction and workshops

Advising and other activities with students (Career and Counseling Center, undeclared majors, declared majors, career selection and placement assistance, student organizations, recruitment organizations, orientation programs, retention activities, study skills assistance and referral, assisting students in the participation, submission, and presentation of scholarly works).

Activities at school/unit, college, and university levels (school committee appointments, college committee appointments, university committee appointments, chair positions on committees, elected positions (senate), course validation activities, credit by examination activities, others)

Quality and standards as developed through consultation with colleagues to meet the objectives set forth in the course syllabus

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Contract Compliance Infraction Rubric

Instructions: Evaluator(s) (unit chair or post-tenure review committee) will use the faculty compliance requirements in the executed current year Faculty Contract Addendum to evaluate the performance of the faculty member.

Contract Addendum Compliance Infractions

Instructor did not post midterm grades in WIRED/Banner by the date specified in the university's academic calendar

Instructor did not post final grades in WIRED/Banner by the date specified in the university's academic calendar

Instructor did not submit textbook Information for every class taught each semester by deadlines

Instructor altered the modality without consulting the chair and approval from the dean

Instructor changed rooms, days, or time from the printed schedule for a course without consulting the chair and approval of the dean

Instructor did not hold classes as scheduled without the approval of the chair

Instructor did not hold the required office hours for courses without the approval of the chair

Instructor did not attend faculty meetings without the approval of the chair

Instructor did not attend committee meetings without the approval of the chair

Instructor did not attend the Encampment at the beginning of the fall and spring terms with out approval of the chair

Instructor did not attend convocations, including graduation and assemblies, as scheduled without the approval of the chair

Instructor did not post class attendance in Blackboard each week without the approval of the chair

Instructor did not submit midterm and final grades before the scheduled deadline without the approval of the chair

Instructor did not participate in university activities such as new student orientation and program assessment without the approval of the chair

Instructor did not complete all required on-campus and online training sessions by published deadline as required by Human Resources or the Office of the Provost

Instructor did not update all faculty information as required in Interfolio Faculty 180 by the dates without the approval of the dean

Instructor did not prepare and submit material for Faculty Evaluation (Annual Review, Summative Third-Year Review, or Post-Tenure Review)

Score (Minus
3 % points per
infraction)

[illegible]