

Promotion Procedures for the Kansas Biological Survey  
Adopted by Faculty and Unclassified Academic Staff vote on March 26, 2015  
Approved by the Faculty Senate Committee on  
Standards and Procedures for Promotion and Tenure on March 27, 2015

General Provisions

*Scope and Purpose.* The award of promotion in rank is among the most important and far-reaching decisions made by the **Kansas Biological Survey (KBS)** because excellent academic staff is an essential component of any outstanding research center. Promotion decisions also have a profound effect on the lives and careers of researchers. Promotion in rank for unclassified academic staff follows the same general procedures as promotion for faculty members. Recommendations concerning promotion must be made carefully, based upon a thorough examination of the candidate's record and the impartial application of these criteria and procedures, established in compliance with the *Faculty Senate Rules and Regulations* (FSRR) Article VI.

It is the purpose of this document to promote the rigorous and fair evaluation of unclassified academic staff performance during the promotion process by (a) establishing criteria that express the **Kansas Biological Survey's** expectations for meeting University standards in terms of disciplinary practices; (b) providing procedures for the initial evaluation of professional performance, teaching, scholarship, and service (c) preserving and enhancing the participatory rights of candidates, including the basic right to be informed about critical stages of the process and to have an opportunity to respond to negative evaluations; and (d) clarifying the responsibilities, roles, and relationships of the participants in the promotion review process.

Each level of review, including the initial review, the intermediate review, and the University level review, conducts an independent evaluation of a candidate's record of performance and makes independent recommendations to the Chancellor. Later stages of review neither affirm nor reverse earlier recommendations, which remain part of the record for consideration by the Chancellor. It is the responsibility of each person involved in the review process to exercise his/her own judgment to evaluate a candidate's professional performance, teaching, scholarship, and service (as applicable to each position) based upon the entirety of

the data and information in the record. No single source of information, such as peer review letters, shall be considered a conclusive indicator of quality.

*Academic Freedom.* All faculty and unclassified academic staff members, regardless of rank, are entitled to academic freedom in relation to teaching and scholarship, and the right as citizens to speak on matters of public concern. Likewise, all faculty and unclassified academic staff members, regardless of rank, bear the obligation to exercise their academic freedom responsibly and in accordance with the accepted standards of their academic disciplines.

*Confidentiality and Conflicts of Interest.* Consideration and evaluation of a faculty or unclassified academic staff member's record is a confidential personnel matter. Only those persons eligible to vote on promotion may participate in or observe deliberations or have access to the personnel file (except that clerical staff may assist in the preparation of documents under conditions that assure confidentiality).

No person shall participate in any aspect of the promotion process concerning a candidate when participation would create a clear conflict of interest or compromise the impartiality of an evaluation or recommendation.

If a candidate believes that there is a conflict of interest, the candidate may petition to have that person recuse him/herself. If a committee member does not recuse him/herself, a decision about whether that person has a conflict of interest shall be made by a majority of the other committee members.

### Promotion Standards

*General Principles.* The University strives for a consistent standard of quality against which the performance of all faculty and unclassified academic staff members is measured. Nonetheless, the nature of a candidate's activities varies across the University and the candidate's record must be evaluated in light of his/her particular responsibilities and the expectations of the discipline. These criteria state the **Kansas Biological Survey's** expectations of performance in the areas of professional performance, scholarship, and service necessary to satisfy the University standards for promotion to associate or senior level.

Scientists, research professors and curators are evaluated on the basis of professional performance, scholarship, and service with the relative weights of

each component determined by unit policy and time allocations clearly articulated in writing at the time of appointment.

Unclassified academic staff should strive to develop a national and international reputation for their scholarship, one that enhances the recognition and reputation of their research center, survey, core lab, or academic department. Reputation is based primarily upon publications, service and external funding.

In keeping with the mission of the **Kansas Biological Survey** “to study the plants and animals of Kansas,” each core academic staff member is charged with responsibilities of professional performance, scholarship, and service that contribute to this mission. Specific elements of these general responsibilities include (1) development of productive individual and interdisciplinary research programs; (2) professional service; (3) supervision of undergraduate and graduate students; and (4) participation in public programs and outreach activities.

*Professional Performance.* **The Kansas Biological Survey evaluates professional performance on the basis of annual reports submitted by the individual documenting activities during the last calendar year. For promotion in rank evaluations are made on the basis of the promotion package of materials submitted by the candidate as well as evaluation letters solicited from external peers.**

In the **Kansas Biological Survey**, the following expectations of professional performance apply for the award of promotion to associate rank: **After at least 5 or more years from the date of initial appointment, the following areas of responsibilities are considered for each individual: contributions to public programs and outreach activities of the Survey including publications for the popular press, lectures to public and school groups, media interviews and news releases and responses to public inquires; program administration, program coordination, and personnel management including scientific staff; supervision and management of graduate and undergraduate students; internal budgeting and planning; external funding development for individual and programmatic activities; multi-investigator and/or interdisciplinary research program development; and related activities.**

In the Kansas Biological Survey, the following expectations of professional performance apply for the award of promotion to senior rank. **After 6 years in**

**service as an associate, the expectations for professional performance in the preceding paragraph are evaluated.**

*Scholarship.* The concept of “scholarship” encompasses not only traditional academic research and publication, but also the creation of artistic works or performances and any other products or activities accepted by the academic discipline as reflecting scholarly effort and achievement for purposes of promotion. While the nature of scholarship varies among disciplines, the University adheres to a consistently high standard of quality in its scholarly activities to which all faculty and unclassified academic staff members, regardless of discipline, are held. **In the Kansas Biological Survey, scholarship is defined as research that appears in high-quality publications, including but not limited to peer-reviewed journals, books, and professional reports, professional presentations, and extramural funding. This scholarship is evaluated annually on the basis of annual reports submitted by the individual that detail their research program productivity. In addition to annual evaluations, promotion in rank is evaluated on the basis of the promotion package of materials submitted by the candidate as well as evaluation letters solicited from external peers.**

Under the University standards for promotion to associate rank, the record must demonstrate a successfully developing scholarly career, as reflected in such factors as the quality and quantity of publications or creative activities, external reviews of the candidate’s work by respected scholars or practitioners in the field, the candidate’s regional, national, or international reputation, and other evidence of an active and productive scholarly agenda.

When appropriate to his or her duties, the individual is expected to successfully seek external funding to support his or her research program. The acquisition of competitive external funding is an important measure of the success and stature of the individual’s research program.

In the **Kansas Biological Survey**, the following scholarship criteria and expectations to meet University standards apply for promotion to associate rank are considered:

- **The number of publications is evaluated over the period of record for peer-reviewed journals, authored and edited books, chapters in books, and agency and professional reports.**
- **In keeping with the mission of the Kansas Biological Survey, open-file, technical, and final reports are important publication contributions.**

- **Setting an exact number of publications including reports expected per year is difficult because publication rates are also affected by the research field and nature of the specific study. Nonetheless, in general academic staff members should be publishing on average one or more refereed publications (or a book) as well as one or more agency or professional reports per year as appropriate for their responsibilities.**
- **A positive trend in publications numbers including reports during a candidate's time at KU is highly desirable.**
- **The quality of publications is judged qualitatively by the "best professional judgment" of the Biological Survey evaluators and other professionals familiar with the publications.**
- **Refereed journal publications may also be evaluated quantitatively by the Impact Factor (the average number of times articles from the journal published in the past 2 years has been cited in the Journal Citation Reports) of the peer-reviewed journal for the year previous to the publication.**
- **Publications including reports in which the candidate is senior author are weighed more heavily, but collaborations and interdisciplinary research are strongly expected and encouraged.**
- **Evaluation of grantsmanship and extramural funding for research activities focuses on consistent efforts to secure such funds and the level and success of such efforts.**

Under the University standards for promotion to senior rank, the record must demonstrate an established scholarly career, as reflected in such factors as a substantial and ongoing pattern of publication or creative activity, external reviews of the candidate's work by eminent scholars or practitioners in the field, the candidate's national or international reputation, and other evidence of an active and productive scholarly career.

When appropriate to their duties, the individual should have established a continuous, successful record of competitive external funding that enhances their research program.

In the Kansas Biological Survey, the following scholarship expectations to meet University standards also apply for promotion to senior rank. **After 6 or more years of service as an associate, an individual may be promoted to the senior rank based on the evaluations of the same criteria outlined in the preceding section for the associate rank.**

*Service.* Service is an important responsibility of all faculty and unclassified academic staff members that contributes to the University's performance of its larger mission. Although the nature of service activities will depend on a candidate's particular interests and abilities, service contributions are an essential part of being a good citizen of the University. The **Kansas Biological Survey (KBS)** accepts and values scholarly service to the discipline or profession, service within the University, and public service at the local, state, national, or international level.

**Service expectations for Kansas Biological Survey faculty and staff members vary depending upon the stage of their career and tend to increase for higher academic ranks. In keeping with its mission, the work of the KBS is also service-oriented, with staff members working closely with decision-makers in state, local, and regional agencies in Kansas as well as in the public and private sectors. Service in support of this mission is expected of all staff members and is evaluated annually. All staff members are also encouraged to participate to an appropriate degree in departmental, research institute, academic (college and university-wide), and other professional venues.**

Under the University standards for promotion to associate rank, the record must demonstrate a pattern of service to the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities.

**In the Kansas Biological Survey, the following service possibilities and expectations to meet University standards apply for promotion to associate rank:**

- **Serving on KBS committees and in academic departments, the College, and the University;**
- **Supporting the operation of the University of Kansas Field Station administered by KBS;**
- **Serving in special appointments and administrative or coordination positions;**
- **Serving on KBS outreach and fund-raising programs;**
- **Representing KBS at local, state, and regional boards and at public and scientific meetings;**
- **Reviewing papers, proposals, and manuscripts;**

- **Organizing and conducting workshops, seminars, symposia and/or lecture series;**
- **Serving as an advisor or sponsor for student interns, activities, or organizations;**
- **Service to professional societies through committee membership, review activities or as an officer.**

Under the University standards for promotion to senior rank, the record must demonstrate an ongoing pattern of service reflecting substantial contributions to the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities.

In the **Kansas Biological Survey**, the following service expectations to meet University standards apply for the promotion to senior rank. **After 6 or more years of service as an associate, an individual may be promoted to the senior rank based on the evaluations of the same criteria outlined in the preceding section for the associate rank.**

*Rating for Performance.* Using the criteria described above, the candidate's performance in the areas of professional performance, scholarship, and service (as applicable to each position) will be rated using the terms "excellent," "very good," "good," "marginal," or "poor," defined as follows:

- (a) "Excellent" means that the candidate substantially exceeds expectations for promotion to this rank.
- (b) "Very Good" means the candidate exceeds expectations for promotion to this rank.
- (c) "Good" means the candidate meets expectations for promotion to this rank.
- (d) "Marginal" means the candidate falls below expectations for promotion to this rank.
- (e) "Poor" means the candidate falls significantly below expectations for promotion to this rank.

Unless there are exceptional circumstances, no candidate may be recommended for promotion without meeting standards in all applicable areas of performance.

## Promotion Procedures

The **Kansas Biological Survey** conducts the initial review of candidates who do not report directly to the Vice Chancellor for Research. The review is conducted pursuant to the procedures and requirements of section 5 of Article VI of the *FSRR* in connection with the candidate's responsibility in the **Kansas Biological Survey**.

*Joint appointments.* Guidelines for the handling of joint appointments have been established by the Provost's Office and will govern the interaction between KU Office of Research (KURES) initial and intermediate level reviews and those conducted by the other unit in which appointment is held. These guidelines can be found at:

<https://policy.drupal.ku.edu/provost/joint-appts-guidelines>

Each unit (either within KURES, or in KURES and a College or School) in which the candidate holds appointment conducts its own initial review and makes an independent recommendation regarding promotion. However, the various units in which a candidate holds appointment must consult closely about the review since only one set of promotion (and tenure for the units in the College or School) materials will be prepared and one set of external evaluations will be solicited.

The primary unit as designated at the time of appointment is responsible for initiating the consultation, soliciting external evaluations, and sharing the evaluations with the other unit(s). (Note that for candidates who hold both an academic staff appointment and an appointment in an academic department, the academic department will always be the primary unit.)

Promotion Committee. The **Kansas Biological Survey** review committee shall evaluate the candidate's professional performance, research, and service. **In the Kansas Biological Survey, the Promotion Committee is appointed by the Director and is composed of associate and senior level academic staff/research professors for all candidates. For a candidate with a joint appointment, when possible at least one member of the committee also serves on the P&T committee of the appropriate academic department or on the promotion committee of the other unit. The KBS Promotion Committee usually has four (4) members.**



No students or untenured faculty/academic staff members, except unclassified academic staff with the rank equivalent to or higher than associate professor/associate scientist, shall serve on **the Kansas Biological Survey Promotion Committee** or vote on any recommendation concerning promotion.

*Initiation of Review.* Candidates for promotion may be nominated by the administrative principal investigator of a major project, by the director of the unit or a sub-unit, or by a unit promotion committee. In addition candidates may self-nominate. The number of years elapsed in rank before nomination is dependent upon the progress made by the individual and the specific center's guidelines. Except in rare or unusual circumstances, the normal time in rank prior to a nomination is five years.

In addition, candidates who hold also a tenure-track appointment in an academic unit will go through review in the **Kansas Biological Survey** when they go through mandatory review in the corresponding academic unit. Prior to the beginning of the spring semester, the Provost notifies all tenure-track faculty whose mandatory review year will be the following academic year, with copies provided to the unit administrators. Upon receipt of this notice or if a faculty member requests it prior to the mandatory review year, the **Kansas Biological Survey** shall initiate procedures for evaluating the candidate for the award of promotion.

As part of the annual staff evaluation process, the **Kansas Biological Survey** shall consider the qualifications of all unclassified academic staff members below the senior rank, with a view toward possible promotion in rank during the following academic year. After considering a staff's qualifications, if the **Kansas Biological Survey** determines that those qualifications may warrant promotion in rank, it shall initiate procedures for reviewing the staff member for promotion. After seven years in the associate rank, a staff member who believes he or she has the qualifications for promotion may initiate the promotion review process him/herself.

*Preparation of the Promotion File.* It is the responsibility of the candidate to complete the appropriate portions of the form and provide necessary documents and information in accordance with the Provost's guidelines, with assistance from the **Kansas Biological Survey**.

The **Kansas Biological Survey Promotion Committee** shall receive the form and accompanying materials from the candidate and finish compiling the record of the candidate's professional performance, scholarship, and service, and in accordance with the Provost's guidelines.

The **Kansas Biological Survey's** review committee shall provide for the solicitation of outside reviewers to assist in the evaluation of a faculty member's scholarship and in accordance with the Office of Research procedures located at:

<http://www.policy.ku.edu/provost/promotion-procedures-research-graduate-studies>

Emphasis shall be placed on selecting independent reviewers in the same or related discipline who hold academic rank or a professional position equal to or greater than the rank for which the candidate is being considered. Unit procedures related to the solicitation and handling of external evaluations may vary, but they must conform to the general guidelines and requirements for external evaluations established by the University Committee on Promotion and Tenure and elaborated at:

[http://facultydevelopment.ku.edu/sites/facultydev.drupal.ku.edu/files/docs/external\\_eval.docx](http://facultydevelopment.ku.edu/sites/facultydev.drupal.ku.edu/files/docs/external_eval.docx)

The **Kansas Biological Survey's** review committee will collaborate with the promotion review committee in the unit in which the candidate is jointly appointed to select independent extramural independent reviewers.

When soliciting external reviews of a candidate's scholarship, the **Kansas Biological Survey Promotion Committee** shall inform prospective reviewers of the extent to which the candidate will have access to the review. KURES's confidentiality policy regarding soliciting external reviewers for the promotion review process is as follows:

*"As a part of the promotion and/or tenure review process, we are soliciting assessments of [title] [name] \_\_\_'s research contributions from academic colleagues and distinguished professionals. These letters will become part of the candidate's promotion dossier and are treated as confidential by the University to the extent we are permitted to do so by law."*

*Recommendations.* Upon completion of the record, the committee conducting the initial review shall evaluate the candidate's record of professional performance, scholarship, and service in light of the applicable standards and criteria and make recommendations in accordance with the voting procedures detailed below.

In the **Kansas Biological Survey**, voting procedures for all candidates are as follows: **The Kansas Biological Survey Promotion Committee presents its recommendation to the KBS Academic Staff Membership which is composed of the KBS Director, Deputy Director, and associate and senior level academic staff/research professors. Each member has a single vote in accordance with University policies, procedures, or practices and where no conflict of interest is identified. A majority of the KBS Academic Staff Membership must be present for a vote to be binding unless extenuating circumstances exist. Proxy votes are not accepted and all votes are by secret ballot.**

The committee shall prepare the evaluation and summary evaluation sections of the promotion form. The forms and recommendations shall be forwarded to the director, who shall indicate separately, in writing, whether he or she concurs or disagrees with the recommendations of the review committee. The **Kansas Biological Survey** director shall communicate the recommendations of the initial review, and his or her concurrence or disagreement with the recommendation, to the candidate and provide the candidate with a copy of the summary evaluation section of the promotion form. Negative recommendations shall be communicated in writing and, if the review will not be forwarded automatically, the director shall inform the candidate that he or she may request that the record be forwarded for further review.

Favorable recommendations, together with the record of the initial review, shall be forwarded to the committee(s) conducting the intermediate review. Negative recommendations resulting from an initial review shall go forward for intermediate review only if it is the candidate's mandatory review year for a candidate holding also a tenure-track appointment or if the candidate requests it.

*Intermediate Review.*

The candidate may submit a written response to a negative recommendation by the **Kansas Biological Survey**, or to a final rating of professional performance, research, or service below the level of “good” included in the evaluation section of the recommendation. The written response goes forward with the dossier to the next level of review by the Office of Research Committee on Promotions (ORCP).

A request for information by ORCP and/or UCPT shall be sent to the **Kansas Biological Survey** director who shall immediately provide a copy to the candidate and inform the **Kansas Biological Survey Promotion Committee**. The director and/or committee shall prepare the **Kansas Biological Survey’s** response in accordance with the initial review procedures.

The candidate shall be afforded an opportunity to participate in the preparation of the **Kansas Biological Survey’s** response and/or to submit his/her own documentation or comment to the ORCP and/or UCPT as applicable.