

**PROCEDURES FOR EVALUATION,  
REAPPOINTMENTS, AND PROMOTION FOR  
ASSISTANT AND ASSOCIATE RESEARCH PROFESSOR**

**DEPARTMENT OF PHYSICS  
KANSAS STATE UNIVERSITY**

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## I. INTRODUCTION

Assistant and Associate research professors are senior scientists working in the Physics Department and supported principally by external funding. These research grants are administered by a faculty member who is the Principal Investigator of the grant. The research faculty members play an important role in performing research and necessary technological development. They are not required to teach our regular courses, but they may teach them if they volunteer to do so, occasionally. They also may be members of the graduate faculty and contribute in many other ways to the performance of our department, for example, by training research students and research associates, serving on committees, and preparing proposals for external funds.

The Department of Physics regularly evaluates its research faculty in order to:

- help the respective Principal Investigator and the Department Head provide feedback, commendations and constructive criticism to these research faculty in an ongoing effort to enhance the overall quality of the Department's efforts,
- provide information to the respective Principal Investigators and Department Head to help them in the approval of annual salary adjustments for research faculty, and
- determine if a research faculty member has earned the right of promotion to Associate Research Professor.

This document is a statement of the Department's policies, procedures, and criteria for reaching decisions on these important and complex issues. The policies, procedures, and criteria included in this document are based on the Department's long standing practices of faculty promotion as stated most recently in the *Procedures for Faculty Evaluation, Reappointments, Promotion, and Tenure* (March 16, 1993). The University's policies and procedures are stated in the KSU Faculty Handbook, the University's *Handbook for Annual Evaluation of Unclassified Personnel* (July, 1990), and the University's document *Effective Faculty Evaluation: Annual Salary Adjustments, Tenure, and Promotion* (September, 1992), a memo from the Provost on the subject of promotion, tenure, leaves and emeritus consideration (August 1992), and the AAUP Guidelines on Tenure and Promotion.

## II. CHARACTERISTICS OF AN EFFECTIVE RESEARCH FACULTY MEMBER

Here we state some general concepts which guide our department as it strives to create an environment in which high quality teaching, learning, research and service can occur.

All research faculty are expected to contribute to scholarly activities and service to the professional and university community. The scholarly activities consist of two broad categories defined as research and technical developments. The nature of these two efforts cannot always be distinguished from the area of service and professional activities. The allocation of time to the various activities shall be established by the respective principal investigators.

### A. Scholarly Activities: Research

Research in physics is a complex activity which can involve many different components. The components which can be part of an effective research program include:

- conducting experimental or theoretical studies on topics of current interest,
- development of proposals for external, and occasionally University, funding of research work,
- administration of research grants,
- supervision of support staff for research projects and laboratories,
- training of support staff and students,
- mentoring of students, research associates, junior faculty visitors,
- providing support and consultation to other members of the Department, and
- other activities which support the existing research efforts of the Department.

These activities should result in a high level of research productivity in the Department and should lead to a high visibility for KSU within the appropriate national and international research communities. The typical research faculty member will be involved in one or more of the following:

- publication of papers in appropriate journals, monographs and proceedings,
- presentations at appropriate professional meetings,
- distribution of materials which will aid the research or teaching of other scholars,
- development of products and/or patents,
- consultation of other scholars and researchers,
- receiving external support for research efforts,
- the development of a reputation for high quality research, and/or
- technological advancements.

The complex nature of research and the number of different types of items listed above makes it unlikely that every research faculty member will contribute equally to all of the areas listed. However, each faculty member is expected to show a strong research effort either as an individual or as a part of a group of faculty working on projects of common interest. Typically, a research faculty member will be cited by her/his colleagues here and elsewhere as providing important contributions to the advancement of physics.

## **B. Scholarly Activities: Technical Development**

Research laboratories do not generally evolve and expand without considerable effort in the development and implementation of technology. The components which are a part of an effective research program include:

- designing new equipment for a research program,
- improving and/or expanding existing research apparatus,
- supervising other staff in the operation, repair and improvement of research equipment,
- maintaining inventory of equipment and supplies necessary to guarantee the operation and repair of research equipment,
- training students, staff and other faculty in the use of newly developed research apparatus,
- development of computational methods.

The complexity of technological development and the number of different types of items listed above makes it unlikely that every research faculty member will contribute equally to all of the areas listed. However, the typical research faculty member will be involved in one or more of the above categories.

### **C. Service and Professional Activities**

Faculty members are expected to engage in service and professional activities which lead to a direct benefit or bring prestige to the Department, the University and/or the profession. Research faculty are encouraged to engage in appropriate service and professional activities such as serving on university, national laboratory, and other national or international committees, the active recruitment of graduate and undergraduate students, participation in departmental public relations efforts, the review of proposals and papers, holding office in professional associations, and dissemination of knowledge in physics to the community-at-large.

## **III. CRITERIA FOR REAPPOINTMENT AND PROMOTION**

The University's criteria for reappointment, tenure and promotion are given in the Faculty Handbook (sections C100-C103 and C130-C140). In addition the Department of Physics by action of its faculty established criteria to be considered.

### **A. Reappointment of Assistant Research Professor and Associate Research Professor**

Research faculty are reappointed by the Principle Investigator on an annual basis. Reappointment should be based on the research faculty member demonstrating reasonable progress in the areas mentioned in section 2. Reappointment of a research faculty member is also contingent upon available funds.

### **B. Promotion to Associate Research Professor**

The criteria for promotion to Associate Research Professor are:

#### *1. Scholarly Activities Necessary for Promotion: Research*

1. The candidate for promotion should have demonstrated that she/he has the potential to acquire a national reputation in some area of physics and her/his own or as part of a team.
2. The quality of her/his work in physics should be reflected by her/his publications, grant proposals, and requests to serve national professional organization.
3. She/he should have worked constructively to bring outside support to the Department through assisting respective Principal Investigators write proposals which would provide funds for her/his program, and through assisting respective Principal Investigators write proposals for acquiring departmental research instruments or through other individual and collective efforts.
4. She/he should have worked effectively as an individual, with other faculty members and with students.

## *2. Scholarly Activities: Technical Developments*

1. The candidate for promotion should have demonstrated her/his ability to design, manage, operate, improve, and repair research equipment,
2. The quality of the candidate's technological expertise should be reflected in her/his national and international reputation, publication record and papers presented at professional meetings,
3. She/he should have worked constructively to bring outside support for new research developments through assisting respective Principal Investigators write proposals to provide the funds for the new developments, and through individual or collective efforts.

## *3. Service and Professional Activities*

The candidate for promotion should have served as an effective member of Departmental committees in her/his area of research or research group. She/he should demonstrate an ability to serve in other capacities which are described in Section II.C of this document.

# **IV. PROCEDURES CONCERNING THIS DOCUMENT**

## **A. Procedures for Reappointment**

### **a. Candidate's Responsibility**

The research faculty member will present to the respective Principal Investigator a completed evaluation form given in Appendix A. This form is due by April 1 of each calendar year.

### **b. Principal Investigator's Responsibility**

The Principal Investigator will elicit from every faculty member within the research group, impressions of the performance of the research faculty by April 15. The appropriate Principal Investigator will prepare an evaluation letter for the research faculty member, which will be also signed by the Department Head. This recommendation letter will be shown to the research faculty member, and sent to the Dean. If there are insufficient funds to support the reappointment, the Principal Investigator will notify the research faculty at the earliest possible time.

## **B. Procedures for Promotion to Associate Research Professor**

A person who has been an Assistant Research Professor at Kansas State University is eligible for promotion to Associate Research Professor under the following set of guidelines.

a. Candidate's Guidelines

The candidate:

1. has been an Assistant Research Professor for at least four years at Kansas State University or has a total of at least six years research or technical experience beyond the Ph.D. degree,
2. has demonstrated independent accomplishment of duties as an Assistant Research Professor,
3. is recognized on a national and international level as a research scientist for her/his scholarly activities in research and technical developments,
4. is recommended for promotion in writing by the respective Principal Investigator,
5. presents to the Physics Department Head a vita outlining her/his contributions to the Physics Department as well as the national and international community. The vita shall consist of a list of publications, names of students, research associates, and faculty directed or assisted with research, technical and research achievements, and future plans for research and/or technical development,
6. shall provide names of four references not members of KSU faculty who have knowledge of the professional contributions of the candidate, and
7. present a Colloquium to the Department of Physics.

b. Department's Responsibilities

Upon receiving a written nomination from the appropriate Principal Investigator, the Department Head will request the faculty who are qualified to vote on the matter to submit an additional list of potential external evaluators. The candidate's former mentors are specifically excluded as possible evaluators. The Department Head will inform the candidate of the names of all potential evaluators and provide her/him with an opportunity to comment on them. The candidate may, for cogent written reasons, request the Department Head to exclude certain individuals as external evaluators. With the advice of the faculty, the Department Head will choose the names of four evaluators from the two lists, and solicit written evaluations from them. Once these evaluations have been received and reviewed the Department Head will bring the nomination for promotion to the faculty for discussion and vote.

c. Faculty Vote

All faculty who hold rank equal to or higher than the rank being considered may vote on the question of promotion. If a qualified faculty member cannot be present during the discussion of the candidate's promotion review document or be present on the day that the vote is recorded, the qualified faculty member may leave her/his ballot and any statement that she/he may want incorporated into the discussion with the Department Head prior to the meeting and/or vote.

Within five business days subsequent to the faculty's discussion of the candidate, each qualified member of the faculty will submit a written recommendation/ballot to the Department Head. A recommendation form for the ballot is given in Appendix B. At the close of the voting period the Department Head will open the ballots and record the vote. A faculty member may abstain in this ballot; in this case that vote will not count. The results of the faculty vote and the Department Head's recommendation and justification for the recommendation will be transmitted to the candidate and the faculty.

d. Report of the Department Head

The Department Head will review the candidate's promotion document and the recommendations of the faculty and make an independent recommendation to the Dean supporting or failing to support promotion of the candidate. On the same date the Department Head will explain her/his recommendation in writing to the candidate and the faculty. The Department Head will report any new information or decisions concerning the candidate's status to the candidate and the appropriate Principal Investigator as soon as it becomes available.

e. Appeal Procedures

If the candidate should wish to appeal the nomination of the appropriate Principal Investigator, or the recommendation of the faculty or the Department Head, the request for reconsideration must be made in writing by the candidate within three normal working days of the candidate's notification of the recommendations. The candidate must present in writing the arguments for reconsideration and provide at that time to the Department Head any additional evidence that supports the candidate's position.

If the candidate requests reconsideration of the faculty's recommendation, the Department Head will convene a meeting of the qualified faculty to consider the candidate's written arguments and additional evidence. Within one business day of the conclusion of the meeting, each qualified faculty member will submit a second, written recommendation to the Department Head. Participation in a reconsideration vote will be restricted to members of the qualified faculty, and will be conducted in the same manner as the original vote. The recommendations of the faculty and the Department Head will be transmitted in writing to the candidate and to qualified faculty.

f. Forwarding Procedures

After the candidate has studied the recommendations, the candidate decides whether or not to withdraw her/his candidacy for promotion. If the candidate wishes to continue the process, then the promotion document is forwarded to the Dean. The Department Head will include the results of the secret ballot, the summary of the faculty's justifications, including verbatim comments from the ballots, and her/his written recommendation.



## **APPENDIX A**

### **FACULTY EVALUATION INFORMATION -- 199**

**NAME** \_\_\_\_\_

**Additional Sheets May be Used if Needed**

**A. Brief Review of Teaching and Training Activities, like seminars, short courses, and training of individuals.**

**B. Staff Supervised and/or Student Under Your Direction**

<b>NAME</b>	<b>POSITION</b>	<b>EXPECTED GRAD DATE</b>	<b>DEGREE</b>
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**C. Progress in New Research Equipment Development or Implementation**

**D. Equipment Repaired, Upgraded and Tested**

**E. Grant Proposals Submitted**

**F. Grants Presently Active**

G. Administration of Grant Activity

H. Departmental and University Committee Assignments

I. Positions or Responsibilities to Professional Societies

J. Concise Statement of Current Research Activities

K. Publications in Refereed Journals (Use abbreviated titles and last names only.)

L. Publications in Refereed Journals Accepted

M. Publications and Oral Presentations Given at Meetings (proceedings, etc.)

N. Colloquia and Seminars

O. Any Other Information (including professional service to the broader community, within and beyond the university)

Please credit faculty members who have contributed to your professional development during the last year by writing a concise paragraph concerning these contributions. Please use a separate sheet for each faculty member and sign each sheet. This information will be kept confidential.

**NOTE:** According to the faculty evaluation procedures adopted by the department the information supplied by each faculty member may either be designated as private information for the Department Head only or as public information to be placed in the library for review by other faculty members.