

**PROCEDURES FOR APPOINTMENT, EVALUATION,  
REAPPOINTMENT, AND PROMOTION OF  
RESEARCH FACULTY**

DEPARTMENT OF PHYSICS

KANSAS STATE UNIVERSITY

April 26, 2010

## I. INTRODUCTION

Research faculty hold the ranks of research assistant professor, research associate professor, and research professor as defined in [Section C12.1](#) of the [University Handbook](#). They 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 occasionally if they volunteer to do so and if the teaching is consistent with the goals of the research grant on which they are working. 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 and preparing proposals for external funds. They may also serve on Departmental or University committees when service on these committees is consistent with the goals of the research effort.

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 or 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 in the most recent *Procedures for Faculty Evaluation, Reappointments, Promotion, and Tenure*. The University's policies and procedures are stated in the KSU [University Handbook](#) and other documents which are accessible from the [Office of Academic Personnel web page](#).

## 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 mentoring. 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 related to the grant(s) under which the research faculty member is funded,
- designing or modifying equipment, computational methods or other tools related to the research program,

- development of proposals for funding of research,
- administration of research grants,
- supervision of post-docs, students, and support staff for research projects and laboratories,
- training of faculty, post-docs, students, and support staff,
- mentoring of students, research associates, junior faculty and/or visitors,
- providing support and consultation to other members of the Department, and
- other activities which support the research effort.

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 with other scholars and researchers,
- receiving external support for research efforts,
- the development of a reputation for high quality research, and
- 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: Mentoring students and post-docs

An important component of the Department's research efforts is the development of students and post-docs into members of the professional community. Research faculty will mentor students and post-docs informally by helping them understand physics related to the research effort. They may also mentor graduate students formally by serving on MS and PhD committees and by serving as the major professor for graduate students.

#### C. Service and Professional Activities

Research faculty members are expected to engage in service and professional activities which are consistent with the goals of his/her research effort and 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, 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 INITIAL APPOINTMENT

A research faculty member will be expected to meet approximately the same criteria for initial appointment as a tenure or tenure-track member of the faculty. Thus, a research faculty member will:

- Have earned a PhD in an appropriate area of physics or another closely related field;

- Have post-doctoral research experience which is appropriate for that research area;
- Have demonstrated research accomplishments;
- Have an interest in mentoring research students; and
- Be able to collaborate effectively.

All research faculty in the Department of Physics will be supported by grant funds. The grant can be external funding obtained by a tenure or tenure-track member of the faculty or external funding received by the research faculty member him/herself.

In rare cases a research faculty member who meets all of the criteria for appointment may be considered for a courtesy appointment while he/she seeks external funding for his/her research program. In these cases the appointment will not include a salary.

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

The University's criteria for reappointment and promotion of research faculty are given in the [University Handbook Section C12.1](#). In addition to these general criteria the Department of Physics by action of its faculty has established procedures and criteria to be considered in reappointment and promotion.

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

Research faculty are reappointed by the Principle Investigator with concurrence of the Department Head on an annual basis. Reappointment should be based on the research faculty member demonstrating reasonable progress in the areas mentioned in section IV.B or IV.C below. Reappointment of a research faculty member is also contingent upon available funds. If a research faculty member will not be reappointed, he/she must be notified as early as possible and in a manner that is consistent with the policies stated in the [University Handbook, Appendix A](#).

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

The criteria for promotion to Associate Research Professor are:

###### *1. Scholarly Activities: Research*

- a. The candidate for promotion should have demonstrated that he/she has the potential to acquire a national reputation in a sub-field of physics related to his/her funding source. The judgment of this potential will be made by the tenured faculty with the advice of faculty in the candidate's sub-field and external referees.
- b. He/she should have worked constructively to bring outside support to the Department through proposals which would provide extramural funding for research.

###### *2. Scholarly Activities: Mentoring of students and post-docs*

- a. The candidate for promotion to Research Associate Professor should have been active in the development of professionals related to the research for which he/she is funded.
- b. The candidate should have served on students' MS or PhD committees and may have served as a major professor for MS or PhD students, or
- c. The candidate can have served as the mentor or co-mentor for a post-doctoral research associate.

### 3. *Service Professional Activities*

The candidate for promotion should have served as an effective member of Departmental committees which have direct impact on 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.

The quality of his/her work in physics should be reflected by his/her publications. These publications should be, at least, similar in number and quality to those of other research faculty who are or were at a similar state in their careers, working in an equivalent sub-field of physics and at an institution which has an equivalent standing in the physics community. In making these comparisons the faculty will use its own judgments and seek the advice of external referees.

## **C. Promotion to Research Professor**

The promotion from Research Associate Professor to the rank of Research Professor is based on demonstrated distinction in research and other scholarly activities, and in service and professional activities. Considerations for promotion to the rank of Research Professor are:

### 1. *Scholarly Activities: Research*

- a. The candidate for promotion should have demonstrated that he/she has acquired a national reputation and preferably an international reputation in a sub-field of physics related to his/her funding source. The judgment of this reputation will be made by the tenured faculty with the advice of faculty in the candidate's sub-field and external referees.
- b. He/she should have contributed significantly to obtaining external support which would provide funding to support his/her research. He/she should have submitted proposals in which he/she is the Principal Investigator. Alternately, he/she should have served as a co-PI on a funded research effort.
- c. He/she should have worked collaboratively and effectively with other scientists in addition to the PI(s) under which he/she is funded. The judgment on the effectiveness of these collaborations will be made by the tenured faculty with the advice of faculty in the candidate's sub-field, the collaborators, and external referees

### 2. *Scholarly Activities: Mentoring of students and post-docs*

- a. The candidate for promotion to Research Professor should have contributed significantly to the development of professionals related to the research for which he/she is funded.
- b. The candidate will have served on students' MS or PhD committees and may have served as a major professor for PhD students,
- c. The candidate may have served as the mentor for a post-doctoral research associate.

### 3. *Service Professional Activities*

The candidate for promotion will have served in a significant capacity as an effective member of Departmental committees in her/his area of research or research group and on national or international committees as appropriate. She/he should have served in other service capacities which are described in Section II.C of this document.

The quality of his/her work in physics should be reflected by his/her publications. These publications should be, at least, similar in number and quality to those of other research faculty who are or were at a

similar state in their careers working in an equivalent sub-field of physics and at an institution which has an equivalent standing in the physics community. In making these comparisons the faculty will use its own judgments and seek the advice of external referees.

## **V. PROCEDURES CONCERNING THIS DOCUMENT**

### **A. Procedures for Initial Appointment**

The usual situation will be that a tenure or tenure-track member of the faculty will recommend to the Department Head that a person be appointed as a Research Faculty Member. Upon receiving the recommendation the Department Head will request that the recommending faculty provide a written statement concerning the candidate's qualifications for being appointed as a research faculty member.

Most initial appointments will be at the rank of Research Assistant Professor. If a PI recommends appointment at a higher rank, he/she and the candidate will need to provide documentation to support such an appointment. That documentation must address the appropriate criteria listed in Section IV.

The candidate will provide an up-to-date CV, copies of or links to relevant publications and other documentation that he/she deems relevant. The Department Head will request that the candidate and the faculty who are qualified to vote on the matter submit separate lists 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. The Department Head will request letters from no fewer than three individuals on these lists.

Prior to faculty discussion and vote, the candidate will present a seminar or colloquium on his/her research that is relevant to the appointment.

The qualified faculty will meet to discuss the candidate's appointment as a research faculty member. Within five business days subsequent to the faculty's discussion of the candidate, each qualified member of the faculty will submit a recommendation/ballot to the Department Head.

For the purposes of this procedure the qualified faculty will be all tenure and tenure track faculty who are at a rank equal to or higher than the equivalent proposed research appointment.

The Department Head will review the candidate's documentation, the external reviews, and the recommendations, and the vote of the qualified faculty. The Department Head will then formulate an independent recommendation either supporting or failing to support the appointment. The Department Head will forward his/her recommendation, a summation of the recommendations of the qualified faculty, and the results of the vote to the candidate, the physics faculty, and the Dean. The candidate and the recommending faculty member may append information to the recommendation submitted to the Dean.

If the candidate or the PI disagrees with the Department Head's recommendation, the appeal procedures described in section V.B below will be followed.

The University Handbook distinguishes between term and regular appointments. Because research faculty are supported by external funding, all appointments will be term appointments for a period that does not exceed the period of the grant under which they are appointed. As stated in the University Handbook faculty on these appointments have "no expectation of continued employment beyond the period stated in the contract."

## **B. Procedures for Annual Reappointment**

### *1. 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 at the same time as documentation for annual review of tenured and tenure-track faculty. This documentation will be posted by the Department Head in the same manner as other faculty documentation is posted.

### *2. 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. Other faculty members who have interacted with the research faculty may also comment on his/her performance. The appropriate Principal Investigator will prepare an evaluation letter for the research faculty member, which will also be signed by the Department Head. This evaluation 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 a time which is consistent with the policies stated in the [University Handbook, Appendix A.](#)

## **C. Procedures for Promotion**

A person who has been a Research Assistant Professor at Kansas State University is eligible for promotion to Research Associate Professor if he/she has been a Research Assistant Professor for at least four years at Kansas State University or has a total of at least six years research experience beyond the Ph.D. degree, and has demonstrated accomplishments as a Research Assistant Professor as described in Section IV.B.

A person who has been a Research Associate Professor at Kansas State University is eligible for promotion to Research Professor if he/she has been a Research Associate Professor for at least four years at Kansas State University or has a total of at least ten years research experience beyond the Ph.D. degree, and has demonstrated accomplishments as a Research Assistant Professor as described in Section IV.C.

In cases of extraordinary accomplishment the time in rank may be waived by a vote of the faculty.

To begin the consideration for promotion a tenured faculty member must recommend the promotion in writing to the Department Head. If the Research faculty member works on a grant for which a tenured or tenure grant faculty member is the PI, the PI must concur with the recommendation. If the Research faculty member is independently funded, no concurrence is needed.

### *1. Candidate's responsibilities*

- a. Present to the Physics Department Head a vita outlining her/his contributions to the research and mentoring missions of the Physics Department as well as the national and international research community. The vita shall consist of a list of publications, names of students and/or research associates mentored and faculty assisted with research, research

- achievements, and future plans for research and/or development,
- b. Provide names of four references who are not members of KSU faculty and are not former mentors and who have knowledge of the professional contributions of the candidate, and
  - c. Present a Colloquium to the Department of Physics during the year that the promotion is being considered and before the faculty discussion and vote on the promotion.

## *2. Department's Responsibilities*

Upon receiving a written nomination from a tenured faculty member, 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.

## *3. Faculty Vote*

The faculty who are qualified to vote are all tenured faculty who hold rank equal to or higher than the equivalent research rank being considered.

Within five business days subsequent to the faculty's discussion of the candidate, each qualified member of the faculty will submit a recommendation/ballot to the Department Head. 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.

## *4. Report of the Department Head*

The Department Head will review the candidate's promotion documents, the recommendations of the faculty and the external letters. He/she will 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.

## *5. Appeal Procedures*

If the candidate should wish to appeal 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 after 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 three business days 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.

#### *6. Forwarding Procedures*

After the candidate has studied the recommendations, the candidate can decide to withdraw her/his candidacy for promotion. If the candidate wishes to continue the process, then the promotion documentation will be 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**  
 Template for  
 Annual Report of Research Faculty Activities  
 for the Calendar Year 20xx

**Please submit your evaluation information as both PDF and Word (or equivalent) files.**

Name:

**MENTORING AND TRAINING**

A. Staff supervised and/or students under your direction

1. Students who completed their degrees during the past calendar year.

Name	Degree	Present position,

2. Present graduate and undergraduate students

Name	Expected graduation date	Degree

3. Staff

Name	Position

B. Other Mentoring and Training Activities

1. List any mentoring and/or training activities which are in addition to regular supervision of graduate students.
2. List any outreach activities which are not formal mentoring or training but are related to the research activities of your grants. (e.g. Lectures given in high school, at civic organizations, etc; work with school teachers, ...)

C. Special recognitions for your mentoring and training

**RESEARCH & SCHOLARLY ACTIVITIES**

D. Concise Statement (no more than 400 words) of Current Research Activities written so that a senior physics major can understand it. (This information may be used to describe your research

to the administration or potential donors *and* on the Departmental Web pages for recruiting proposes.)

- E. Grants Presently Active, include your role in the grant (e.g. PI, senior personnel)
- F. Grant Proposals Submitted
- G. Publications in refereed journals, include links to on-line versions when available.
- H. Papers accepted for publication in refereed journals, include links to on-line versions when available.
- I. Presentations given at professional meetings, include links to proceedings, abstracts, etc.
  - i. Invited presentations
  - ii. Contributed *and refereed*
  - iii. Contributed but not refereed
- J. Colloquia and Seminars
- K. Patents or copyrights applied for or received during the past year. (Do not include copyrights on published papers which are listed above.)
- L. Collaborations with scholars outside KSU
- M. Research awards or special recognitions

#### **SERVICE**

- N. Positions or responsibilities to professional societies
- O. Departmental and university committee assignments
- P. Service awards or special recognitions
- Q. Any other information (including professional service to the broader community, within and beyond the university.)

#### **OTHER**

Provide any additional information which you would like to have included in your annual evaluation.

#### **CONTRIBUTIONS OF OTHER FACULTY**

*In a separate document or e-mail*, please credit faculty members who have contributed to your professional development during the last year by writing a concise paragraph concerning these contributions. This information will be kept confidential.