
RPT GUIDELINES

**UNIVERSITY OF CINCINNATI
COLLEGE OF ENGINEERING AND APPLIED SCIENCE
DEPARTMENT OF CIVIL AND ARCHITECTURAL ENGINEERING AND
CONSTRUCTION MANAGEMENT**

**REAPPOINTMENT, PROMOTION AND TENURE
POLICIES AND PROCEDURES**

Approved by CAECM Faculty January 22, 2014

The purpose of this document is to outline guidelines for reappointment, promotion and tenure of faculty members in the Department of Civil and Architectural Engineering and Construction Management (CAECM). Because of the choices that each faculty member must make as he or she strives to achieve a fully-developed professional status, no faculty member's academic performance will exactly parallel that of a colleague. Individual differences should be taken into account, but at the same time, adherence to the highest professional standards in every area of consideration is expected.

I. TENURE TRACK FACULTY

A. GUIDELINES FOR REAPPOINTMENT

Reappointment in a tenure track position requires evidence of professional growth sufficient that the candidate may eventually achieve promotion or tenure. The areas to be considered in making a recommendation for reappointment are listed in Section D.

B. GUIDELINES FOR PROMOTION

1. From Assistant Professor to Associate Professor: There should be clear demonstration of significant ability in teaching and research. In addition, a limited amount of service should be demonstrated, particularly in the area of professional service. Initiative in all three areas (teaching, research and service) should be demonstrated. There must be documented evidence of progressive and sustained accomplishment and growth in teaching, research and service during the period of appointment. Promotion to the rank of Associate Professor is not necessarily linked to the amount of time spent at the rank of Assistant Professor.

2. From Associate Professor to Professor: There should be clear demonstration of significant accomplishment in teaching, research and service over a sustained period of time, especially during the time period at the rank of Associate Professor. Attainment of national and international recognition for scholarly and professional activities is a major consideration in granting the rank. This must be clearly demonstrated by identifying the impact of the individual's accomplishments on his/her profession. In addition to external professional activities, it is important that Professors offer service to their Department, the College and the

University. As members of an academic community, participation on committees is a vital part of the University governance system. Assuming leadership positions at the Department, College and University level and assisting with the administrative and governance functions is important and will be considered when assessing promotion from Associate Professor to Professor.

Promotion to the rank of Professor is an honor. Mere possession of the title Associate Professor for a given number of years does not entitle one to the rank of Professor.

C. GUIDELINES FOR TENURE

Tenure is granted when it has been ascertained that the individual's performance will be sustained at an acceptable level of excellence throughout the course of his/her academic career. The granting of tenure at the Assistant Professor level is normally accompanied by promotion to the Associate Professor level. Specific guidelines include:

1. Excellent teaching has been demonstrated.
2. Excellent student advising has been demonstrated by role as Major Advisor for M.S. graduates, and at least one Ph.D. student who has shown demonstrated progress and significant potential to graduate.
3. Sustained growth has been demonstrated in research and/or education funding leading to an appropriate level, based upon the individual's discipline, of externally funded contracts and grants.
4. Sustained publications in peer-reviewed journals.

D. AREAS OF CONSIDERATION

1. Teaching

In as much as the mission of the College of Engineering and Applied Science (CEAS) is "to educate graduates of recognized quality," teaching is of great importance to the Department. Teaching is defined as not only the traditional classroom instruction, but also advising of undergraduate students, directing of graduate students in both M.S. and Ph.D. work, developing teaching laboratories and experiments, preparing educational texts or laboratory manuals, and integrating computer software in courses for instructional purposes.

Concern for the students' well being, which is clearly demonstrated by accessibility and by integrity in one's dealings with students, should be an indispensable part of the faculty member's commitment to the profession.

Student evaluations of the faculty member's classroom teaching performance are an important part of the overall assessment of the instructional process and all courses taught

over the past three years must be documented. While the limitations of the student evaluations are clearly understood, they can be a valuable tool in evaluating technique. The type and form of the evaluations to be included are primarily those which have been approved by the CEAS. Faculty may include any other teaching evaluations (student, alumni, peer, etc.) in addition to those evaluations conducted by the Department/College.

Evaluations should be considered as a whole over a period of time, i.e. individual evaluations are less indicative than is the trend. Comparisons should be made to the historical averages, when available, for the classes. The CEAS expects all College faculty to have good to excellent ratings from the students. Innovative methods to be used in instruction are encouraged at every stage of the faculty member's career. Evidence of excellence in instruction should naturally result in pertinent publications in recognized educational journals, especially peer reviewed journals, and/or publication of textbooks. These metrics are particularly expected for those who expect instructional activities to carry a major portion of their justification for professional advancement.

2. Research and Scholarly Activity

A spirit of inquiry is the essential core of every academic institution. Research supports this spirit in a very direct fashion and is also interwoven with the process of stimulating learning. Thus, quality research is to be highly valued in determining reappointments, promotions, and the granting of tenure, and every dossier must include evidence that the candidate is involved in quality research.

The Department of Civil and Architectural Engineering and Construction Management has a diverse faculty made up of both engineers and architects. The research and scholarly activities of each are recognized to be different and are to be evaluated via different metrics. To accomplish this, the Department defines research and scholarly activity quality metrics for engineers below, but will utilize the criteria currently in force in the College of Design, Art, Architecture and Planning to evaluate architects.

- Publication of research results and of extended scientific and engineering reviews in peer refereed journals of the profession, so that the results become a part of the archival literature.
- Positive evaluations of scholarship by independent external reviewers.
- Ability to attract funds to support research efforts of the candidate (including support of graduate students), particularly from sources external to the University.
- Publication of scientific and engineering books and research monographs.
- Impact on technology development, engineering practice and/or scientific progress.
- Publication in journals with students

And to a lesser degree:

- Presentations at conferences, with subsequent publication in proceedings.
- Invited presentations, workshops and seminars at other universities or research institutes.
- Technical communications, communications on ongoing research, book reviews.
- Solicited reviews of manuscripts, reviews of research proposals.

3. Service and Professional Activities

Since committees are a vital part of the University's governance system, it is expected that each faculty member will serve on committees and in other leadership positions at the Department, College, and/or University levels. Consistent attention to duty and/or leadership in the administrative and governance functions is a valuable asset.

However, for Junior Faculty prior to the receipt of tenure, participation in Department, college and university committees should be limited so that the candidate can focus his/her energies on the development of their Teaching and Research/Scholarship credentials as well as developing professional service relationships. Other forms of service to the University community and to the community at large are also important.

Significant participation in appropriate professional, technical and educational activities is important for the development of faculty members. Such activities must be documented in every dossier which is presented for reappointment, promotion or consideration for tenure, and may include, among others:

- Organizing and participating in conferences and meetings.
- Service to state, national and international organizations.
- Reviewing proposals.
- Serving as referee or editor for national or international journals.
- Service in professional associations.
- Collaboration with other institutions.
- Service to industry or other organizations as a consultant; etc.

II. NON-TENURE TRACK FACULTY (RESEARCH AND TEACHING FACULTY)

Non-Tenure Track Faculty are those faculty that hold faculty titles and rank referred to by the UC/AAUP Collective Bargaining Agreement as Qualified Faculty (Article 6). The UC/AAUP Collective Bargaining Agreement applies to every bargaining unit member holding any faculty title unless specific exclusion occurs. This includes the right for reappointment and promotion review by the five levels of review. The right to tenure review, however, is excluded for Non-Tenure Track Faculty, (Article 6). Other rights, including governance rights, apply to all faculty as defined by the UC/AAUP Collective Bargaining Agreement (Article 1).

A. GUIDELINES FOR REAPPOINTMENT

Reappointment for Non-Tenure Track Faculty shall be based upon the same sequence of review and recommendations as with Tenure Track Faculty.

Since Non-Tenure Track Faculty are hired to perform specific duties (research, teaching, etc.), reappointment will be based primarily upon the conditions of hiring, as documented by the initial hiring offer letter and/or subsequent conditions specified and agreed upon in writing by both the Non-Tenure Track Faculty and the College. In all cases, whether the primary responsibility is teaching or research, performance in the area of service to the

Department, College, University and/or professional area of expertise is expected and must be documented.

B. GUIDELINES FOR PROMOTION

Promotion for Non-Tenure Track Faculty will be based upon the same guidelines as promotion for Tenure Track Faculty, with the areas of consideration being focused on the primary area of responsibility (teaching, research, etc.). In all cases, whether the primary responsibility is teaching or research, performance in the area of service to the Department, College, University and/or professional area of expertise is expected and must be documented.

APPENDIX I

POLICIES AND PROCEDURES

A. LIMITATIONS

Evidence of the faculty member's teaching, publications, research, or funding record should primarily be demonstrated for the employment period at this university. Exceptions will be granted only for a candidate who has spent time in rank or at a comparable position at another teaching or research institution and who can document his/her past achievements. These limitations are not intended to preclude the hiring of a faculty member into an advanced level within a given rank.

B. LEVELS OF REVIEW

The University system of review for reappointment, promotion, and tenure is designed to provide five levels of review:

1. Department RPT Committee
2. Department Head
3. College RPT Committee
4. Dean of College
5. Provost

Information from each level is to be shared among the levels, but recommendations are to be made independently.

C. COMMITTEES

1. Role

Department RPT committees have the primary responsibility for verifying the accuracy (e.g. whether journals are refereed, whether "substantial reports" have become part of the archival literature, etc.) and sufficiency and completeness of the dossiers before presentation to the Department Head. All levels of review may request clarification to be added to the dossier and all levels of review may check accuracy, sufficiency and completeness of the dossier.

The Department RPT Committee will summarize the rationale for its recommendation in a letter to the Department Head. The letter should clearly outline major contributions of the candidate in teaching, research and service. The impact of the applicant's activities should be identified.

If a new faculty member is appointed at the rank of Associate Professor or Professor and is to be granted tenure upon his/her appointment, the appointment requires the review and consent of the Department RPT Committee as part of the employment process.

2. Constitution

- a) Department RPT Committees will be constituted according to the individual Department's rules, consistent with Article 7 of the UC/AAUP Collective Bargaining Agreement.
- b) Members of the Department RPT Committee may participate at only one level of the review process.
- c) The Department Committee shall consist of 5 faculty members (3 full & 2 associate professors.)

3. Operational Directives

It is expected that all reviews (Department RPT Committee, Department Head, College RPT Committee and Dean) will be performed based on the record of the applicant and, according to the UC/AAUP Collective Bargaining Agreement, will be carried out independently at each level.

- a) The Department and College Committee deliberations will be confidential and decisions made by a majority vote.
- b) During the review process at all levels of consideration, interference by Faculty, Department Heads, Administrators and others is unprofessional and inappropriate.

D. EXTERNAL REVIEWS

The Department Head will be responsible for soliciting external reviews. This process should begin three months prior to the submission of the dossier.

1. For tenure consideration: the candidate must provide a list of five external reviewers to the Department Head. The Department Head will select three names from the list of five provided by the Candidate, and four additional reviewers (not in the list provided by the Candidate) in consultation with the Department RPT Committee, and solicit letters of recommendations. The external reviewers will have access to at least the candidate vitae. The total number of letters solicited should not exceed seven. The list of reviewers (with a brief, one paragraph summary of credentials, address and telephone number) from whom letters are solicited should be included in the Dossier. It is the responsibility of the Department Head to ensure that these letters are received in a timely manner. Reviewers from academic institutions should hold a superior rank to the candidate's. Reviewers may not be collaborators, mentors, or former advisors of the candidates. Reviewers may not be collaborators, mentors, or former advisors of the candidate. (For Emeriti reviewers, the rank is considered as that at the time of retirement.) Reviewers from industry, funding agencies, professional organizations or other non-academic entities should hold significant positions; i.e., principal, director, chief administrator, etc.

2. For promotion to Associate Professor: these guidelines are the same as for those for tenure consideration. (See 2).
3. For promotion to Professor: guidelines are similar to those listed in 2, with academic reviewers holding the rank of Professor. In addition, the reviewers should have attained a national and/or international reputation.

E. RESPONSIBILITY FOR PROCESS

1. The primary responsibility for meeting the deadline for submission of the dossier and following the Department RPT Guidelines lies with the faculty member; however, it is the role of the Department Head to provide continuing mentoring for new faculty and guidance to all candidates for reappointment, promotion and tenure.
2. Candidates seeking Tenure and/or Promotion will follow the RPT College deadlines.
3. The RPT Committee Chair is responsible for forwarding *completed* dossiers of the candidates to the next level of review on time.

F. PREPARATION OF DOSSIERS FOR TENURE TRACK FACULTY

Candidates coming up for RPT review through CEAS must prepare their dossiers in accordance to the format provided by the eRPT provostal guidelines. If any additional information is deemed necessary, this information may be requested by any level of review. Additional information must be dated and added to the dossier, not simply transmitted to the level of review that initiated the request.

It is the responsibility of the faculty member under review to submit his/her dossier for reappointment, promotion, or tenure containing the following information in the order indicated as follows. The information should be complete but as clear and as concise as possible.

1. Curriculum Vitae
 - a) Standard College format
 - b) Maximum of 35 pages
2. Self Evaluation Statement
 - a) Discussion of teaching, research and service as appropriate
 - b) A career plan may be included
 - c) Maximum of 5 pages
3. External Review Letters
 - a) List of External reviewers
 - b) Letters from external reviewers
4. Teaching
 - a) Classroom Teaching

- i) Place the following information in a table for courses taught: Title of course, quarter/semester, graduate or undergraduate, number of students completing the course, students completing the evaluation, student evaluation score for course and instructor and College average for each quarter/semester taught.
- ii) Peer evaluations of teaching activities.
- iii) Alumni evaluations of teaching, if possible, from alumni who were students of the candidate.
- iv) Course innovations such as new course and laboratory development.
- b) Undergraduate Student Advising
 - i) Curricular advising responsibilities (e.g., advisor to the Class of 2008)
 - ii) Name and date of graduation of students advised for senior research projects, individual or collective projects, design clinics, etc.
- c) Graduate Student Advising
 - i) Names of Ph.D. students graduated as major advisor including date of graduation and dissertation title, list co-advised students as such.
 - ii) Names of Ph.D. students in progress, list date started, date the qualifying exam was passed, whether part or full-time, on campus or off.
 - iii) Names of M.S. students graduated as major advisor including date of graduation; if thesis, give title; if not, list as non-thesis. List co-advised students as such.
 - iv) Names of M.S. students in progress and other information as above.
 - v) Names of students on whose committee faculty member participated.
 - vi) Include Ph.D. or M.S. status, graduation date or in-progress designation.

5. Scholarly Research

a) Publications

Copies of selected refereed journal publications and refereed proceedings must be enclosed in the dossier. In addition, they must be listed using the standard accepted bibliographical form indicating the senior author and any junior authors. Publications with students should be clearly identified. Publications in preparation should not be included. The listing should clearly differentiate among:

- i) Peer reviewed Articles published in refereed journals. (The three highest impact articles, as determined by the Candidate, should be identified by *s in the Vitae.) Inclusion of impact factors for the Journals from the Science Citation Index or other recognized rating methods is required and citation data for articles is encouraged.
- ii) Articles in refereed journals, accepted, not yet published; include a copy of the letter of acceptance from editor.
- iii) Articles submitted, not yet accepted; include copy of letter of transmittal to editor.
- iv) Articles published in refereed proceedings (letter of invitation if invited).
- v) Articles and/or abstracts published in non-refereed proceedings.
- vi) Presentations (letter of invitation if invited)
- vii) Books and/or book chapters
- viii) Substantial reports that have become part of the archival literature. This claim must be substantiated factually.

- b) Proposal
 - i) Proposals in preparation should not be included. The listing should include:
 - ii) Proposals submitted as PI: Title, date, to whom submitted, level of funding requested and time period, status, (accepted/when, rejected/when, pending).
 - iii) Proposals submitted as co-PI: same information as above and percentage contribution to the research effort.
 - c) Awards of Contracts and Grants
 - i) The listing should include:
 - ii) Grants received as PI: Topic, funding agency, amount, time period, beginning date.
 - iii) Grants received as co-PI: same information as above and percentage contribution to the research effort.
 - iv) The UC Database report must be included along with the date the report was downloaded from the Office of Graduate Studies and Research (available on-line). Any omissions or discrepancies between this report and awards claimed must be clearly documented.
6. Service and Professional Activity
- a) Professional organizations in which candidate is a member.
 - b) Professional organizations in which candidate is an officer.
 - c) Professional organizations in which candidate is an elected Fellow.
 - d) Conferences/meetings organized, other conference activities (organizing committee, session chair, etc.)—date, place.
 - e) Referee/editor duties—journal, dates.
 - f) Consulting—detail ways in which the consulting is of service to the university, the college, or the profession.
 - g) Department, College and University Committee membership—give name of committee, dates served and status (member, chairperson, co-chairperson, etc.). Guidance and mentoring of undergraduate students is encouraged.
7. The Initial Offer Letter
- All past reviews and/or recommendation letters from all levels of RPT review (Department RPT Committee, Department Head, College RPT Committee, Dean and Provost) must be included in the dossier. Candidate responses to any review letter must also be included. These documents will not count towards the page limit of the dossier.

G. CALENDAR FOR PROMOTION, TENURE AND REAPPOINTMENT ACTIONS

The Department will adopt the calendar approved by the College RPT Committee for submission of the RPT dossiers. This calendar constitutes notice for early review deadlines (Article 7 of the UC/AAUP Collective Bargaining Agreement).