


June 15, 2009

Memorandum to: Chancellors, Deans, Directors, and Department Chairs

From: Philip Furmanski   
Executive Vice President for Academic Affairs

Subject: 2009-2010 Academic Reappointment/Promotion Instructions

### Introduction

These instructions, which govern faculty reappointments, promotions, and new faculty hires with tenure for the academic year **2009-2010**, are also available on the Internet. They can be downloaded in Microsoft Word format. To access the instructions, **forms and appendices** from the Rutgers University home page ([www.rutgers.edu](http://www.rutgers.edu)) click on *Faculty & Staff*, then on *Academic Reappointments/Promotions* under the *Policies & Procedures* heading (<http://ruweb.rutgers.edu/oldqueens/FACpromotions.shtml>). If you have difficulty downloading the instructions, please contact the office of the Camden (ext. 6095) or Newark (ext. 5541) chancellor, or the Office of the Executive Vice President for Academic Affairs (ext. 2-7174).

Forms 1-a through II-4 are available from the output menu of the online Faculty Survey Database (<https://surveys.rutgers.edu/facsurv>). This is the suggested and preferred method to generate Forms 1-a through II-4. If you have questions concerning the Faculty Survey Database, please contact Richard Tedesco ([Tedesco@instlres.rutgers.edu](mailto:Tedesco@instlres.rutgers.edu) or 732-932-7305).

### I. Instructions

- A. Applicability of these Instructions
- B. Reappointment/Promotion Materials
- C. Persons Responsible for Initiating Actions
- D. Notification to Candidate
- E. Responsibilities of the Candidate
- F. External Confidential Letters of Evaluation
- G. Materials to be Used in Review
- H. Additions to the Packet and the Right to Rebut or Respond
- I. Responsibilities of the Initiating Department
- J. Responsibilities of the Department Chair
- K. Responsibilities of the Advisory Committee on Appointments and Promotions
- L. Responsibilities of the Dean
- M. Responsibilities of the Promotion Review Committee
- N. The President and the Board of Governors

- O. Notification of Final Action
- P. Final Levels of Review
- Q. Withdrawal from Consideration
- R. Special Guidelines for Faculty Affiliated with More than One Department or with a Department and a Separately Budgeted Research (SBR) Unit or Degree-Granting Program
- S. Special Instructions to Deans of the Liberal Arts Colleges in New Brunswick in regard to Fellows
- T. Technical Requirements for Assembling Packets

## II. Forms

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|---------------|---|
| Form No. 1-a  | Recommendation Information Form for General Teaching/Research Faculty   |
| Form No. 1-b  | Recommendation Information Form for Faculty Members with Appointments in the Creative or Performing Arts                                    |
| Form No. 1-c  | Recommendation Information Form for County Agents   |
| Form No. 1-d  | Recommendation Information Form for Extension Specialists   |
| Form No. 1-e  | Recommendation Information Form for Clinical Faculty  |
| Form No. II-1 | Recommendation Information Form for Candidates for Promotion to Professor II (General Teaching/Research Faculty)                            |
| Form No. II-2 | Recommendation Information Form for Candidates for Promotion to Professor II (Faculty with Appointments in the Creative or Performing Arts) |
| Form No. II-3 | Recommendation Information Form for Candidates for Promotion to Professor II (County Agents)  |
| Form No. II-4 | Recommendation Information Form for Candidates for Promotion to Professor II (Extension Specialists)  |
| Form No. 2    | Criteria Applicable to this Candidate   |
| Form No. 3    | Report on External Confidential Letters   |
| Form No. 3-a  | Confidential Letter Cover Sheet   |

Form No. 4 Narrative Summary of Departmental Recommendation

Form No. 5 Narrative Summary of Dean's Recommendation

### III. Appendices

Appendix A University Policy Concerning Notice of Non-Reappointment

Appendix B Evaluation Pathway for Academic Reappointments and Promotions Involving Tenure or the Tenured Ranks

Appendix C Evaluation Pathway for Academic Reappointments and Promotions Not Involving Tenure or the Tenured Ranks

Appendix D University Policy with Respect to Academic Appointments and Promotions

Appendix E Rutgers University Statement on Tenure

Appendix F-1 Sample 30-Day Notification Letter to Individuals to be Considered for Reappointment or Promotion

Appendix F-2 Sample 30-Day Notification Letter to Individuals Eligible for Consideration for Promotion Pursuant to the Provisions of Rank Review

Appendix G Sample Letter - Preliminary Solicitation of Service as External Confidential Referee

Appendix G-1 Sample Letter – Solicitation of External Confidential Evaluation for Individuals who are Members of the General Teaching/Research Faculty

Appendix G-2 Sample Letter – Solicitation of External Confidential Evaluation for Individuals who are Members of the Creative or Performing Arts Faculty

Appendix G-3 Sample Letter – Solicitation of External Confidential Evaluation for Individuals who are Members of the County Agent Faculty

Appendix G-4 Sample Letter – Solicitation of External Confidential Evaluation for Individuals who are Members of the Extension Specialist Faculty

- Appendix G-5 Sample Letter – Solicitation of External Confidential Evaluation for Individuals who are Members of the Clinical Faculty
- Appendix G-II Sample Letter – Solicitation of External Confidential Evaluation for Individuals who are Candidates for Promotion to Professor II
- Appendix H Sample – Inventory Listing of Materials to be Included in Package for Reappointment or Promotion

Please note that completed recommendations for appointment, reappointment or promotion to or within the tenured ranks are due in the office of the Camden and Newark chancellors or the Executive Vice President for Academic Affairs no later than **December 1, 2009**.

The schedule for receipt of all other recommendations will be set by the appropriate chancellor or Executive Vice President for Academic Affairs. Questions concerning these instructions should be directed to the office of the Camden (ext. 6095) or Newark (ext. 5541) chancellors, or to the Office of the Executive Vice President for Academic Affairs (ext. 2-7174).

The purpose of these instructions and the difficult and time-consuming process undertaken by the University as described herein is to provide for a rigorous and fair review of the qualifications and accomplishments of candidates for promotion and reappointment. In turn, members of the faculty have an obligation to cooperate fully with their University colleagues in the evaluation process and to meet their responsibilities, as outlined in these instructions, in a timely and professional manner.

#### A. Applicability of these Instructions

These instructions are applicable for all reappointment/promotion recommendations at and to the ranks of Assistant Professor and above. They are also applicable for recommendations for promotion to Professor II, and for new faculty hires with tenure.

#### B. Reappointment/Promotion Materials

A candidate's reappointment/promotion packet shall consist of the appropriate forms, those materials generated pursuant to Sections F, G and H below, and those supplementary materials submitted by the candidate pursuant to Section E below.

All of the information requested shall be provided carefully, and judgments at each level of evaluation shall be independent, shall be based on all the evidence submitted to that level, and shall not merely rely on or concur in judgments made at earlier levels. For availability and distribution of

materials, refer to Section E, Responsibilities of the Candidate, and Section J, Responsibilities of the Department Chair.

Supplementary materials will be returned to the candidate when they are no longer needed for the evaluation or for a re-evaluation of the same candidacy.

### C. Persons Responsible for Initiating Actions

Department chairs, in consultation with the appropriate tenured members of their departments, are normally responsible for initiating recommendations for faculty appointments, reappointments or promotions. However, a faculty dean, the campus chancellor, the Executive Vice President for Academic Affairs, or a departmental or similar personnel committee may request that a department evaluate an individual. The unit Advisory Committee on Appointments and Promotions may also make such a request, but only by directing that request to an appropriate dean. It shall be the obligation of the department to complete the appropriate forms even when the candidacy has been initiated at a level other than the department.

A tenured faculty member may request of the department chair that he/she be evaluated for promotion. The request shall be granted for tenured faculty members who have been at least six years in rank and have not been evaluated for at least four years.<sup>1</sup> Such evaluation shall be carried through each level of review, including that of the Promotion Review Committee, unless withdrawn by the candidate. Withdrawal after the candidate signs Form 1 constitutes an evaluation for purposes of determining the four year period.

When a candidate is the department chair, the departmental members constituting the appropriate "peer group" for evaluation of the candidate (that is, those who hold appointment at or above the academic rank for which an individual is to be considered for reappointment or promotion) will agree upon a senior faculty member within the department to fulfill all of the functions of the department chair described in these procedures.

In departments having fewer than six tenured faculty members at or above the rank for which candidates are to be considered for reappointment or promotion, the dean shall appoint an appropriate number of tenured faculty members at or above the appropriate rank from related disciplines in the same faculty, college, or school or from the same discipline in other units of the University, to act as ad hoc members of the department for the purpose of obtaining and reviewing documented evidence of the candidates' professional qualifications. Such ad hoc department members, together with any tenured member of the department of appropriate rank, shall total not fewer than six persons. In selecting the ad hoc members, the dean shall consult

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<sup>1</sup>All other requests from tenured faculty members may be granted at the department's discretion.

with the chair of the department.<sup>2</sup> In instances in which the majority of the departmental members are ad hoc, such members may wish to meet with the candidate before making their recommendation.

#### D. Notification to Candidate

Each faculty member who is to be considered for reappointment or promotion shall be notified by the department chair at least thirty (30) days in advance that such consideration will take place. Also, each tenured faculty member who is eligible for evaluation pursuant to Section C above shall be notified of his/her eligibility and shall respond appropriately, as shall all other candidates, within the 30-day period.

#### E. Responsibilities of the Candidate

A specific responsibility of the candidate is to insure the accurate preparation, presentation, and certification of Form 1, Recommendation Information Form, which is to be signed by both the candidate and the chair and circulated to the appropriate departmental peer group by the chair.

In preparing Form 1, the candidate is responsible for insuring that:

- 1) the distinction is made on the form between refereed and other publications;
- 2) the status of material in process of review or publication is precisely characterized, attaching available documentation;
- 3) publications are cited in full and in the form standard for the candidate's discipline (including the names of all authors in the order of appearance in the journal), with volume, year, page numbers, and explanation of jointly authored works. The candidate should also insure that the form fully presents his/her teaching and service activities;
- 4) in the case of foreign publications, there is sufficient explanation of the value or quality of the journal or press, especially if the publication is important to the candidacy.

The candidate shall provide the department chair with a signed and completed Recommendation Information Form (Form 1). Within ten (10) days of its receipt, the department chair will sign and return the Form to indicate concurrence with its content, or, if

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<sup>2</sup>This provision of the Instructions does not set a quorum requirement for any particular meeting of a department.

there is a dispute between the candidate and the department chair as to the content of the Form which they are unable to resolve, the department chair shall so indicate in the space provided above his/her signature, attaching an explanation to the Form.

At the time the faculty member submits a signed Recommendation Information Form, he/she shall submit to the department chair one copy of any documents or materials he/she wishes to have considered. A brief personal statement identifying the candidate's major contributions may be included among these. A list, compiled by the faculty member, of the documents submitted to the chair shall be attached to the promotion packet (Appendix H). It shall be the responsibility of the chair to circulate that list and all documents or materials submitted by the candidate, together with any other relevant material to the appropriate reviewing bodies.

The candidate may suggest potential outside evaluators and may discuss with his/her department chair qualified persons from whom letters may be solicited. The candidate, in addition, may prepare a list of persons in his/her field from whom he/she prefers letters of evaluation not be solicited. The candidate shall provide a written explanation for the exclusion of each person on that list. If a letter of evaluation is solicited from an individual on the candidate's "not for" solicitation list, the candidate's written explanation shall be attached to the individual's letter of recommendation. A department chair or dean may, at his/her discretion, also attach an explanation for his/her decision to solicit a letter from the individual. Such attachments, whether prepared by the candidate, the department chair, or the dean, shall be held, like the letters to which they refer, in confidence.

A candidate who has had time excluded from the probationary period may, upon written request, choose to have University evaluators, evaluative bodies, and outside evaluators informed that his/her record is to be reviewed in the same manner as the record of a faculty member with the normal probationary period.

If the faculty member wishes to include a lengthy unpublished manuscript and requires copying services, he/she should contact his or her dean or department chair at least 30 days prior to the date on which copies are needed. The faculty member will be charged the prevailing rate for services so provided. If the service cannot be provided, the candidate will be notified promptly.

#### F. External Confidential Letters of Evaluation

A minimum of seven external confidential letters of evaluation from qualified persons shall be obtained by the candidate's department chair and/or by the candidate's dean. External referees should be selected on the basis of their standing in the field and the institutions with which they are associated, and should normally be at the rank of full professor. All letters obtained in regard to this candidacy must be included in the promotion packet and forwarded to all levels of review. Preliminary solicitation letters and the responses thereto, unsolicited letters,

and letters from within the University are not included within this category. External letters are not required for reappointment without tenure, but are required for non-tenure track appointments to the senior ranks and for new hires with tenure.

Prior to the solicitation of external letters, the department chair shall submit to the dean a recommended list of referees for each candidate, accompanied by a clear explanation of the suitability of the referee, the relationship of the referee to the candidate and his/her field of study, and documentation demonstrating the referee's professional standing. The department chair shall make available to the dean any list submitted by the candidate of persons from whom he/she prefers letters not be solicited. Chairs, in developing lists of appropriate referees to submit to the dean, shall consult the candidate about appropriate experts in his/her field of study, but the selection of external referees must be made by the department chair and dean. After consultation with the candidate and dean, the department chair shall send a preliminary solicitation letter (Appendix G) to individuals he/she has selected to serve as external referees. The preliminary solicitation letter may be sent via e-mail. The text of the preliminary solicitation letter shall not be modified and use of the preliminary solicitation letter is required. The preliminary solicitation letter and the responses thereto do not become part of the promotion packet. It is the chair's responsibility to keep a copy of the preliminary solicitation letters or e-mails, a list of recipients of the preliminary solicitation letter, dates sent, and responses, confidentially, in the department until evaluations, grievances, remands, etc. are completed. Under no circumstances shall the candidate contact experts whose names he/she has submitted for consideration, or engage in any substantive discussion about his/her promotion case with any individual whom he/she knows to be serving as an external referee. The presumption is that a chair and his/her dean will reach a consensus as to an appropriate list of referees. However, in the event of a disagreement, a chair is neither obliged to solicit, nor prohibited from soliciting, any particular referee. Similarly, in conducting his/her evaluation of the candidacy as set forth in Section L. below, the dean, at his/her discretion, may solicit letters from additional external referees. Such additional letters shall be submitted to evaluative bodies in accord with the procedures set forth in Section H, in which case all letters received after December 1, and until the addition of the dean's letters, shall be submitted.

Sample letters of solicitation are attached in Appendices G-1 through G-II. Letters of solicitation for confidential outside letters of recommendation shall be consistent with the promotion criteria applicable to the candidate. A department, with the prior approval of the dean and chancellor, or the Executive Vice President for Academic Affairs, may modify the text of the sample letter of solicitation.

No reference which might identify the writers of the confidential letters shall be made in any portions of the promotion materials. Letters will be numbered and may be referred to by their respective number in the narrative statements. Letters of solicitation shall be sent to external referees early enough to permit the referee to complete an appropriately analytical and informative review of the candidate's credentials and to permit reviewing bodies adequate time to consider evaluators' responses.

The original external confidential letters of evaluation, together with a brief explanation of the suitability and professional standing of the referee and the relationship of the referee to the candidate (Form 3-a), and one copy only of the sample letter of solicitation (attached to Form 3), must accompany the original promotion packet forwarded to the dean.<sup>3</sup> Do not include the vitae of referees. All letters received must be submitted for review to all levels of evaluation, except that letters which are received after the December 1 deadline for submission to the chancellor or the Executive Vice President for Academic Affairs will not be considered unless the dean has requested additional letters during his/her consideration of the packet.

External confidential letters solicited in a previous year may be used again and included under Form 3. However, selectivity of such letters is not permitted even if the candidacy was later withdrawn pursuant to Section Q; therefore, either all or none of the letters solicited in a previous year must be included, and they must be covered by a copy, supplied by the dean's office, of the earlier Form 3. Preliminary solicitation letters and the responses thereto are not included in this category. If new letters are solicited and if any of the external referees solicited in a prior year are solicited again, then all of the external referees previously solicited (excluding those who declined to evaluate the candidate in response to the preliminary solicitation letter) must be resolicited when the packet being reviewed is the same packet used in a prior evaluation and/or the prior solicitation occurred in either of the two immediately prior years.<sup>4</sup>

In all circumstances, copies of the external confidential letters are to remain in the department chair's office, and the chair shall inform the appropriate tenured members of the department that such letters are available for review.

#### G. Materials to be Used in Review

With the exception of confidential outside letters of recommendation solicited in accordance with these Instructions and those documents that are generally public knowledge such as published student evaluations, published articles, and other similar documents, only those materials in the official personnel file and other materials added to the packet as described in Section H below may be used in conducting the review. The official personnel file for each faculty member is maintained in the office of the appropriate dean.

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<sup>3</sup> When a referee relies on a telefaxed letter or an electronic transmission, these may be considered originals in the absence of the original.

<sup>4</sup> If there is good cause for an exception, it can be made only with the approval of the chancellor, or the Executive Vice President for Academic Affairs, upon the recommendation of the dean.

Documents bearing on the candidate and his/her evaluation which are introduced in the review process are subject to the strictures outlined in the next Section.

## H. Additions to the Packet and the Right to Rebut or Respond

If any document or documents, other than confidential outside letters of recommendation, the official reappointment/promotion forms, continuation pages added to these forms as described in these instructions, reports of reading committees, supplements to confidential letters (Section E, paragraph 3), and materials submitted by the candidate, are added to the promotion packet during the evaluation, a copy of said document(s) shall be transmitted immediately to the candidate; the candidate shall have the right to submit a response or rebuttal within six (6) working days. The response shall be directed to that level of the evaluation at which the added document was received and shall become a part of the promotion packet. Any documents that are (1) physically present during the evaluation and (2) specifically referred to during the deliberations of the evaluative body and (3) which a majority of the evaluative body agrees have a direct bearing on the evaluation must be added to the packet in accordance with this procedure.

Subsequent to the commencement of the evaluation and prior to final recommendation of the Promotion Review Committee, the department chair shall, upon request of the candidate, add to the packet evidence of a significant change in the status of materials originally **included in the packet** if: 1) the Dean concurs that a significant change has occurred; and 2) such change has occurred since the initiation of the evaluation. If there is a dispute between the candidate and the Dean as to whether a significant change has occurred in the status of materials originally submitted by the candidate, the Office of the Chancellor or in New Brunswick, the Office of the Executive Vice President for Academic Affairs, shall make the final determination as to whether evidence of the change shall be added to the packet.

Such additions to the packet, as provided above, shall, in all instances, be submitted to the level of review at which the candidate is then being evaluated. However, if the addition occurs on or before December 1, the addition to the packet shall also be circulated to each earlier level of review so that each earlier level may revise its evaluation should it deem such revision warranted by the addition. If the addition occurs after December 1, but on or before January 25, it shall be circulated only to the dean and the Promotion Review Committee, unless the department has made a negative recommendation concerning the candidacy in question, in which case it shall also be circulated to the department. The department, the dean, and/or the Promotion Review Committee may revise the evaluation made at that level should such revision be deemed by the department, the dean, or the Promotion Review Committee to be warranted by the addition.

Except as provided above, no other materials or documents may be introduced by the candidate after the review process has commenced.

## I. Responsibilities of the Initiating Department

The departments have the specific responsibility to meet in appropriate peer groups (see Section C, &4) to evaluate the candidate for reappointment and/or promotion: tenured members at the rank of Associate Professor, Professor or Professor II, or their equivalents, shall meet to evaluate candidates for promotion to the rank of Associate Professor (or equivalent); only tenured members at the rank of Professor (or equivalent) or Professor II shall meet to evaluate candidates for promotion to Professor (or equivalent). Only Professors II shall evaluate candidates for that rank. The only exception to these provisions is the chair of the department who will participate in all promotion deliberations in the department and who will be responsible for completing the evaluation forms in consultation with the relevant peer group. Chairs will vote on all personnel actions except those concerning ranks higher than their own.

It is the responsibility of the appropriate peer group to arrive by vote at a recommendation with respect to each candidate. A positive departmental recommendation requires a positive vote by a minimum of two-thirds of those voting. (Those voting include those voting positively, negatively, or abstaining.) If fewer than two-thirds of those voting support the candidacy, the recommendation of the department shall be recorded as a negative recommendation. Only those faculty who attend the meetings in which the candidate is considered are to be accorded a vote; a vote by an absent faculty member is not permitted under any circumstances.

## J. Responsibilities of the Department Chair<sup>5</sup>

The department chair is responsible for ensuring that a thorough, rigorous and appropriately informed process of evaluation takes place for each candidate. The department chair shall provide all candidates with a copy of the current academic reappointment/promotion instructions and, upon request, will provide a copy of the instructions to any other member of the faculty.

Other specific responsibilities of the department chair in regard to the provision of notice to candidates, the preparation of materials for the evaluation, and the solicitation of external confidential letters of evaluation are set forth in Sections D, E and F above.

The department chair has additional responsibilities in regard to the matters set forth below:

Applicable Criteria - Form 2: The department chair shall complete and sign Form 2 which specifies the criteria applicable to the candidate, and obtain the signature of the candidate.

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<sup>5</sup> In the Law Schools the responsibilities of the department chair are executed by the dean in addition to the dean's other responsibilities as set forth in these instructions.

Reading Committee: The department chair, in consultation with tenured members of the department, shall determine whether there should be a reading committee and who should be appointed to it. The process by which tenured members of the department are consulted is within the department chair's discretion. Whichever approach with respect to the utilization of a reading committee a department determines to follow shall apply to all candidates in that department who are being reviewed for reappointment or promotion in that year.<sup>6</sup>

The reading committee report, if there is one, may be either (1) confidential for the sole information of the department, or (2) an attachment to the department report. The function of a reading committee is to review the candidate's scholarly work and prepare a written assessment of that work for the department's consideration. The reading committee shall not make a recommendation on the reappointment or promotion.

Collegiate Dean's Evaluation: The department chair has the responsibility to make available, with the candidate's reappointment or promotion materials to be considered by the department, the collegiate dean's evaluation for each candidate who is a fellow of a college.

Department Evaluation: The department chair has the responsibility to convene the department, as set forth in Section I. above, and to encourage as open and complete a discussion of the candidates as possible. The department chair should be a vigorous participant in such discussions, sharing his or her views with colleagues and providing them with an opportunity to respond.

Departmental Report: The department chair has the responsibility to draft the departmental report, reflecting both majority and minority views if there is a division, describing the candidate's contributions to collaborative efforts and adding any explanatory commentary the chair deems necessary for later levels to understand the departmental proceedings and viewpoints. While the narrative should be structured to present a rigorous evaluation of the candidate's record it need not comment on every item listed on Form 1. However, the departmental report shall present specific evaluations of the candidate's contributions to and performance in, as applicable, 1) undergraduate instruction and research supervision and 2) graduate instruction and research supervision, as indices of teaching effectiveness. Summaries of teaching evaluations and evaluations of teaching effectiveness in the narratives shall reflect accurately the teaching evaluations for the appropriate period of time available for scrutiny. The summaries shall reference, where available, objective evidence concerning the candidate's

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<sup>6</sup> For the Law School-Camden the appropriate faculty personnel committee, augmented by as many additional members as the dean may determine are needed to provide advice to him and the faculty on candidates for reappointment and promotion, will constitute the Reading Committee. The committee shall prepare a full report to the faculty addressing each of the three criteria: teaching, scholarship and service. This report, with any changes suggested by the faculty, becomes the department's report.

effectiveness as a teacher, including comparative measures of teaching performance through such means as peer reviews and student evaluations over the entire period under consideration. The chair shall provide to all participants in the department evaluation the opportunity to review the final departmental report prior to its submission. In the case of fellows, the collegiate dean's evaluation shall be attached to the departmental report by the department chair. In the case of candidates partially budgeted to or affiliated with other departments, SBR units or degree-granting programs, the chair shall implement the instructions set forth in section R below.

Department Representative: The department chair shall serve as the representative of the department in communications with the Advisory Committee on Appointments and Promotions and with the dean.

Distribution of Packet: Subsequent to completion of the departmental report, the department chair shall forward the original packet and the number of copies required by the dean to the office of the dean in whose faculty the candidate's tenure is located.

Notification to Candidate of Department's Action: It is the responsibility of the department chair to notify the candidate, in writing, of the recommendation of the department within five working days after the department has met and voted on its recommendation. This notification will be the only notice to the candidate until final notice described in Section O.

Provision of these Instructions: It is the responsibility of the department chair to provide a copy of these Instructions to each candidate for reappointment and promotion. Members of the faculty who are not candidates may obtain copies upon request to the department chair.

## K. Responsibilities of the Advisory Committee on Appointments and Promotions<sup>7</sup>

Upon receipt of a candidate's official packet from a department, the dean of the candidate's academic unit shall forward all documents to the appropriate Advisory Committee on Appointments and Promotions for review and recommendation. The Committee is advisory to the dean. Its responsibility is to conduct a substantive and independent evaluation of the candidacy as presented in the packet prepared by the department, including the supplementary materials. In the course of its review, the Advisory Committee on Appointments and Promotions, at its discretion, may invite the department chair to meet with the committee to amplify the department's report.

The Advisory Committee on Appointments and Promotions shall meet with the dean to provide its advice about the candidate and shall incorporate that advice in a detailed written

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<sup>7</sup> Certain units of the University do not have Advisory Committees on Appointments and Promotions.

report, in the form of a memorandum to the dean, explaining its recommendations. The memorandum shall include the names of all members of the A&P Committee.

Members of the Committee shall participate in the review of candidates in their own department at the departmental level and shall not participate in any manner in the consideration of those candidates by the Advisory Committee on Appointments and Promotions.

## L. Responsibilities of the Dean

It is the responsibility of the dean to ensure that a thorough, rigorous and appropriately informed process of evaluation takes place for each candidate. Following the recommendations of both the department and the Advisory Committee on Appointments and Promotions, the dean shall make his/her independent recommendation and report it on the Dean's Recommendation Form (No. 5). All pertinent information on a particular candidate must be considered, and the dean shall provide specific justification based on the record for his/her recommendation. The dean shall have primary responsibility for insuring the quality and the rigor of evaluations in his or her unit. However, if a dean intends to make a recommendation different from that of the department, prior to completing his or her recommendation, the dean will meet with the department chair to discuss the matter. The dean will include the written advice of the Advisory Committee on Appointments and Promotions as an attachment to the dean's recommendation. In those instances where neither the department nor the dean has recommended the candidate, the packet is not forwarded to the PRC unless the candidacy is being conducted pursuant to "rank review" (see Section C of these instructions).

When the reappointment/promotion evaluations have been completed as described above, the dean shall forward the packet to the office of the campus chancellor or the Executive Vice President for Academic Affairs. The packet shall include the following completed documents: Forms 1, 2, 3, 3-a (for reappointments with tenure and promotions and appointments to and within the tenured ranks), 4 and 5.

For responsibilities of the dean upon completion of the evaluation process, see Section O, Notification of Final Action.

## M. Responsibilities of the Promotion Review Committee

The function of the Committee is to advise the President from a University-wide perspective on appointments, reappointments and promotions involving award of tenure and on promotions to or within the tenured ranks.

The Committee was reconstituted on June 15, 2006. The membership of the Committee consists of the Vice President for Research and Graduate Education, the Vice President for Undergraduate Education, the Chancellor-Camden, the Chancellor-Newark, and five faculty members at or above the rank of Professor to be named by the President of the University. The

Committee shall be chaired by the Executive Vice President for Academic Affairs, who shall preside without vote except in the event of a tie vote of the voting members. The five faculty members are appointed by the President. Faculty appointments are made typically for four-year terms with the possibility of reappointment. They are chosen for their scholarly distinction as individuals and, collectively, to reflect the diversity of the academic enterprise at Rutgers. Members of the Committee do not participate at any other level of the evaluation process. Membership on the Committee carries co-equal responsibility; no member is responsible for representation of a particular unit or discipline.

The responsibility of the Committee is to examine the evidence in each case in relation to the criteria for evaluation established by Rutgers Policy, section 60.5.14 and to assure the President that the prior process of decanal judgment and peer review has integrity, in the sense that the peers in the same or adjacent fields who have expressed their judgment are indeed at the leading edge of their fields, that appropriate evidence and analysis have been presented of accomplishment and impact on the field to support these judgments, and that the dean has applied the highest, University-wide standard of quality. Finally, the Committee has the responsibility, on the basis of its assessment of these matters, to reach a recommendation concerning the candidate.

Each member of the Committee receives the packet of each candidate and assesses the degree to which the record submitted demonstrates satisfaction of the University's standards for the action proposed as described above. The members meet to discuss their individual assessments of the evidence, and, in light of this discussion, the Committee reaches a judgment concerning the proposed action. In instances where the Committee, on first review, is inclined to differ with a dean's recommendation, the Committee will provide an opportunity for the dean to meet with the Committee to explain his/her views before the Committee makes a final recommendation in regard to the candidate. If the Promotion Review Committee requires additional information for a determination, it shall return the packet to the appropriate level for completion and resubmission to the Committee via all intervening levels.

The Committee records its recommendation, clearly explaining its basis, in a memorandum to the President attached to the candidate's packet. The Executive Vice President for Academic Affairs, as chair of the Committee, or such member of the Committee as he may, from time to time, designate, shall be its sole spokesperson.

#### N. The President and the Board of Governors

After considering all the evidence from these diverse sources, the President makes his own recommendations for reappointments and/or promotions involving the tenured ranks to the Board of Governors. The President will discuss with the Promotion Review Committee those cases where it is his intention to present to the Board of Governors a recommendation different from that of the Promotion Review Committee. The Board of Governors also considers all available information in reaching its own final decision.

## O. Notification of Final Action

### 1) Reappointments, New Appointments and Promotions Involving the Tenured Ranks:

The dean of the unit will be notified by the appropriate chancellor or the Office of the Executive Vice President for Academic Affairs of the decisions on reappointments, new appointments, and promotions involving the tenured ranks following the Board of Governors actions. Deans may then notify candidates informally. Formal notification from the President directly to the candidate will follow in the case of a positive action by the Board. Deans are responsible for notification to candidates when the action is negative. In decisions on reappointment with tenure, and promotions involving the tenured ranks, where both the department and decanal levels of review are negative, the candidate will be notified in writing by the dean (or his/her designee) of the final decision in the particular personnel action within ten (10) days of the final decision by the dean, excluding cases being considered pursuant to the rank review provision. For unsuccessful candidacies, such notification shall include an invitation to meet with the dean or director.

### 2) Non-tenure Track Promotion (NTTs) and Reappointment Without Tenure Cases:

Deans and academic directors will be informed by the Chancellor in Newark and Camden of decisions on promotions and reappointments to the non-tenured ranks. In New Brunswick, the Executive Vice President for Academic Affairs will inform deans and academic directors of decisions on promotions to the non-tenured ranks. Final decisions on reappointments without tenure will rest with the deans.

In all cases the candidate will be notified in writing by the dean (or his/her designee) of the final decision in the particular personnel action within ten (10) days of receipt of the knowledge that the final decision by the appropriate person or body has been made. For unsuccessful candidacies, such notification shall include an invitation to meet with the dean or director.

## P. Final Levels of Review

The dean shall be the final level of evaluation for all personnel actions when both the departmental recommendation and the dean's recommendation are negative.<sup>8</sup> All other personnel actions that do not involve tenure decisions or promotion within the tenure ranks require the formal approval of the Chancellor or the Executive Vice President for Academic Affairs, except that in New Brunswick final decisions on reappointments without tenure will rest with the deans.

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<sup>8</sup> For the only exception to this rule, see the second paragraph of Section C above.

The Promotion Review Committee shall be the final level of evaluation for all personnel actions that involve tenure decisions or promotion within the tenure ranks and for which either or both the departmental or the dean's recommendation are positive. Such personnel actions also require formal action by the President and the Board of Governors.

**Q. Withdrawal from Consideration**

Prior to consideration by the Advisory Committee on Appointments and Promotions, the reappointment and/or promotion evaluation of any candidate may be withdrawn by mutual consent of the candidate and department chair after the chair consults with both the candidate and the appropriate tenured members of the department. Subsequent to the commencement of consideration of the packet by the Advisory Committee on Appointments and Promotions, withdrawal of a candidacy requires the approval of the Chancellor or the Executive Vice President for Academic Affairs. (Withdrawal after a candidate has requested promotion evaluation and signed Form 1 constitutes an evaluation for purposes of determining the four-year period: see Section C). In the event of a decision to withdraw, the department chair shall advise the dean, in writing, of the decision, with a copy of the letter sent to the campus chancellor and to the Executive Vice President for Academic Affairs.

**R. Special Guidelines for Faculty Affiliated with More than One Department or with a Department and a Separately Budgeted Research (SBR) Unit or Degree-Granting Program**

These guidelines are intended to insure that the total assignment of a faculty member is considered during the reappointment and promotion process.

**Faculty Currently Affiliated with More than One Department or with a Department and an SBR Unit or Degree-Granting Program:**

A personnel action may be initiated for a faculty member by his/her primary department (that is, the department in which the faculty member has tenure) or by the secondary department, SBR unit, or degree-granting program in which the individual has a significant or principal assignment. In both instances the primary department shall have responsibility for the personnel action in consultation with the secondary department, unit or program as described herein. The choice of external confidential evaluators for such candidates shall be made by the candidate's primary dean, in consultation with the primary chair and the secondary chair or unit or program director. The letters from external evaluators shall be jointly solicited by the primary chair and the secondary chair or unit or program director. The chair of the secondary department or the unit or program director shall evaluate the candidate in consultation with the appropriate peers in the department, unit, or program and shall forward the evaluation, in the form of a memorandum, for consideration by the candidate's primary department. The evaluation shall be included as an attachment to the primary department's report. Faculty members who participate in the evaluation of the candidate at the primary department, unit or program level shall not participate in the secondary department, unit or program evaluation.

In those instances where a primary department intends to make a recommendation different from that of the secondary department, unit or program, the primary department shall provide the chair of the secondary department or the unit or program director an opportunity to meet with the primary department to discuss the candidate.

Faculty Previously, but Not Currently, Affiliated with More than One Department or with a Department and an SBR Unit or Degree-Granting Program:

If the candidate does not currently have an affiliation with a secondary department, unit or program, but did so for a substantial part of the probationary period or a substantial part of the interval since the last promotion, the candidate's chair will solicit an evaluation of the candidate from the secondary chair or unit or program director. The chair of the secondary department or the unit or program director shall evaluate the candidate in consultation with the appropriate peers in the department, unit or program and shall forward the evaluation, in the form of a memorandum, for consideration by the candidate's primary department. The evaluation shall be included as an attachment to the primary department's report. Faculty members who participate in the evaluation of the candidate at the primary department, unit or program level shall not participate in the secondary department, unit or program evaluation. (In instances where the period of affiliation with a secondary department, unit or program was not substantial, the candidate's chair may, at his/her discretion, seek an evaluation from the secondary chair or unit or program director.)

S. Special Instructions to Deans of the Liberal Arts Colleges in New Brunswick in Regard to Fellows

The liberal arts college deans in New Brunswick shall receive from the office of the Executive Vice President for Academic Affairs in August of each year a list of all candidates being considered for promotion. The dean will identify those individuals on the list who are fellows of his or her college and will evaluate the candidate's service to the college. The liberal arts college dean will send his/her evaluation to the dean of the candidate's faculty, with a copy to the candidate's department chair, in time to inform the department's deliberations. The evaluation of the liberal arts college dean will be in the form of a memorandum to the candidate's dean. It will not contain a specific recommendation on promotion, but its contents will have the effect of strengthening or weakening a particular candidacy for promotion. The liberal arts college dean's evaluation will form an attachment to the department report.

## T. Technical Requirements for Assembling Packets

Please keep the following requirements in mind when preparing original promotion packets:

**Whenever possible, promotion packet material, including supporting documents, should be made available in electronic format, e.g. include the Digital Object Identifier (DOI) or a link to the full text publication in your citations. Use the Faculty Survey and RUcore to store citations and publications.**

When you input your data to the online Faculty Survey Database: <https://surveys.rutgers.edu/facsurv/> you can use the output menu to produce the official promotion form with one click. When you are ready to produce the final version, choose Word format output and save it to your local drive as a .doc file. You can also output a customized CV.

When you deposit your publications in the Rutgers Library RUcore digital repository project, each publication will be converted for you to PDF format and have a unique permanent link that can be added to your citation. Also, the Faculty Survey, in collaboration with RUcore, will add a search box to "My Web Page" (your customizable personal web site), allowing you to provide search and display of your collection. See example: <http://surveys.rutgers.edu/facsurv/html/RUcoreExample.html>

To see how RUcore works visit: <http://rucore.libraries.rutgers.edu/about/participate.php>  
To start depositing your work login here: [https://facsub.libraries.rutgers.edu/FS\\_Login.php](https://facsub.libraries.rutgers.edu/FS_Login.php)  
For further information regarding RUcore, please contact: Rhonda Marker [rmarker@rci.rutgers.edu].

Avoid the use of sheets other than the standard 8-1/2" x 11" size. Sheets larger or smaller than 8-1/2" x 11" should be copied onto a standard size page. Use one side of the page only.

Please keep in mind also that the confidential letters, as well as any other officially signed documents, must be submitted in their original form. When an evaluator relies on a faxed or e-mailed letter, both the fax or e-mail and the original, if available, should be included.

Include one copy only of the sample letter used to solicit external confidential evaluations (Appendix G1-GII). The sample should be clearly marked to indicate that the same letter was sent to all external confidential referees, listing them by name. Preliminary solicitation letters are not to be included.

Include one copy of the personal statement (if applicable), the candidate's CV, and inventory listing (Appendix H).

Deans may notify departments of additional requirements.