**Table of Contents**

|  |  |
| --- | --- |
| [Appendix A](#_APPENDIX_A) | Notice of Non-Reappointment |
| [Appendix B](#_APPENDIX_B) | Evaluation Pathway for Academic Reappointments and Promotions Involving Tenure or the Tenured Ranks |
| [Appendix C](#_APPENDIX_C) | Evaluation Pathway for Tenure-Track Reappointments to The Rank of Assistant Professor and Promotions to Tenure-Track Associate Professor |
| [Appendix D](#_APPENDIX_D) | Statement on Professional Ethics (Rutgers Policy 60.5.1) |
| [Appendix E](#_APPENDIX_E_1) | Policies and Guidelines Governing Appointments, Promotions, and Professional Activities of the Faculty  |
| [Appendix F](#_APPENDIX_E) | Rutgers University Statement on Tenure  |
| [Appendix G](#_APPENDIX_F) | Sample 30-Day Notification Letter to Individuals to be Considered for Reappointment or Promotion  |
| [Appendix H](#_APPENDIX_G) | Sample Letter – Preliminary Solicitation of Service as External Confidential Referee  |
| [Appendix H-I](#_APPENDIX_H-I) | Solicitation of External Confidential Evaluation for Individuals who areCandidates for Promotion to Associate Professor or Professor  |
| [Appendix H-II](#_APPENDIX_H-II) | Sample Letter – Solicitation of External Confidential Evaluation forIndividuals who are Candidates for Promotion to Distinguished Professor |
| [Appendix I](#_APPENDIX_I) | Sample – Inventory Listing of Materials |

# APPENDIX A

**NOTICE OF NON-REAPPOINTMENT**

Written notice that a term appointment is not to be renewed upon expiration shall be given to a faculty member by the University as soon as possible and not less than: a) four months prior to the expiration of a one-year appointment; b) six months prior to the expiration of a two-year appointment; and c) twelve months prior to the expiration of an appointment longer than two years.

Coterminous faculty shall be given written notice that the appointment will end not less than (a) ninety (90) calendar days prior to the expiration of an appointment; or (b) ninety (90) calendar days following receipt of notice that funding is ending/reduced for the faculty member, whichever is sooner.

 - Article XXVII of Collective Negotiations Agreement Between Rutgers and the AAUP-BHSNJ

# APPENDIX B

EVALUATION PATHWAY FOR ACADEMIC REAPPOINTMENTS

AND PROMOTIONS INVOLVING TENURE OR THE TENURED RANKS

Candidate

Appropriate Departmental

Faculty Peer Group

Dean

Promotion Review Committee

# President

Board of Governors

Notification to Candidate

of Final Decision

# APPENDIX C

EVALUATION PATHWAY FOR TENURE-TRACK REAPPOINTMENTS TO THE RANK OF ASSISTANT PROFESSOR AND PROMOTIONS TO TENURE-TRACK ASSOCIATE PROFESSOR

Candidate

Appropriate Departmental

 Faculty Peer Group

Dean

Chancellor

# APPENDIX D

**Statement on Professional Ethics (Rutgers Policy, Section 60.5.1)**

Since the very nature of a university and its value to society depend upon the free pursuit and dissemination of knowledge and free artistic expression, all members of the faculty and teaching staff of the University, whether tenured or nontenured, full-time or part-time, are expected, whenever and wherever they engage in teaching, research, service, professional practice or clinical practice, as well as in their research and professional publication, freely to discuss subjects with which they are competent to deal, to pursue inquiry therein, and to present and endeavor to maintain their opinions and conclusions relevant thereto. In expressing those ideas which seem to them justified by the facts, they are expected to maintain standards of sound scholarship and competent teaching.

1. They shall conduct themselves in accordance with the standards of professional ethics, set forth in paragraphs I to V inclusive, of the following Statement on Professional Ethics adopted by the American Association of University Professors at its annual meeting in April 1966 and revised in June 1987.

Statement on Professional Ethics

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for the students as individuals and adhere to their proper role as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

B. Outside the fields of instruction, artistic expression, research, professional and clinical practice, and professional publication, faculty members, as private citizens, enjoy the same freedoms of speech and expression as any private citizen and shall be free from institutional discipline in the exercise of these rights. The conduct of the faculty member shall be in accordance with standards dictated by law.

# APPENDIX E

Rutgers Biomedical and Health Sciences

Policies and Guidelines Governing Appointments, Promotions, and Professional

Activities of the Faculty

<https://academiclaborrelations.rutgers.edu/sites/default/files/Appointments%20%20%20Promotions%20Guidelines%20%2800385501xB0A50%29.pdf>

# APPENDIX F

Rutgers University Statement on Tenure

Adopted by the University Senate

on November 23, 1976

I. Rutgers University adheres to the 1969 University Senate Statement entitled "Policy with Respect to Academic Appointments and Promotions."[[1]](#footnote-1) The University understands this statement as it relates to tenure to assert that tenure is not an automatic right to be awarded to all faculty members after a suitable probationary period nor does the statement mean that advancement to a higher rank is an automatic movement. It has been and continues to be the policy of the University to consider for promotion those members of the faculty who have made the most important contributions to the University, and who have discharged their duties with the greatest distinction.

II. The University recognizes that the award of faculty tenure is not automatic and that there are two kinds of factors which must be considered in the selection process leading to tenure: (1) the application of criteria for the advancement of individual faculty members,[[2]](#footnote-2) and (2) the determination of educational needs for faculty projected over a period of years.[[3]](#footnote-3)

III. The determination of the educational needs of a School or College for full-time tenurable faculty should be made primarily by the faculty of the respective academic unit subject to the approval of the appropriate administrative officers whose judgment should reflect the needs of graduate and undergraduate education, including the needs of the professional and non-degree programs. These determinations should be adjusted to the fiscal resources and responsibilities of the University as set out by the Administration.

IV. The determinations require long-range planning coupled to the goals of the academic unit and require the estimation of the financial resources, enrollments, faculty turnover and attrition, and the relative needs of the programs of the school or college. The long-range planning should control the growth of programs and the number of faculty in the programs and should prevent or minimize over-expansion or reduction of faculty except through attrition.

V. With regard to the question of the distribution of tenured and non-tenured faculty, the University subscribes to the assertion of Committee A of AAUP that the "ratio of tenured faculty is itself the dynamic consequence of a complex of academic decisions and developments, each of which can be reconsidered. These include (1) the rate of growth of the institution and its faculty; (2) the fraction of those appointed initially to tenured or probationary positions; (3) the use of visiting faculty; (4) the use of graduate assistants; (5) the average length of the probationary period of non-tenured faculty members who ultimately achieve tenure; (6) the fraction of non-tenured

faculty members who ultimately achieve tenure; (7) the institutional policy on retirements; and (8) the age distribution of the total faculty."[[4]](#footnote-4)

# APPENDIX G

 SAMPLE 30-DAY NOTIFICATION LETTER

 TO INDIVIDUALS TO BE CONSIDERED FOR

 REAPPOINTMENT OR PROMOTION[[5]](#footnote-5)

Dear (name):

I am writing to inform you that your evaluation for (reappointment/promotion) will commence in thirty (30) days. Prior to the expiration of that period, please forward to me, for use in your evaluation, one copy of the following materials: a current curriculum vitae (in RBHS format or from the Faculty Survey) and any publications, manuscripts, documents, other relevant information, teaching portfolio, or personal statement you wish to be included for consideration in your evaluation. In addition, prior to the expiration of that period, please discuss with me the deadline for your submission to me of a completed Recommendation Information Form (Form 1). If you wish to include a lengthy unpublished manuscript and need copying services, you should contact my office or the office of the dean. You will be charged the prevailing rate for copying services.

In addition, you may, if you wish, discuss with me the names of potential outside evaluators, and you may also prepare a list of individuals from whom you prefer letters of evaluation not be solicited. You must provide a written explanation for the proposed exclusion of any individuals.

If you have had time excluded from the probationary period, you may, upon written request, choose to have University evaluators, evaluative bodies, and outside evaluators informed that your record is to be reviewed in the same manner as the record of a faculty member with the normal probationary period.

Due to the COVID-19 crisis, you may request that external evaluators be asked to appropriately take into account the impact of the crisis on your scholarship, teaching and/or service for academic year 2019/2020 as may be reflected in the record for review. You may also elect to address the impact of the crisis on your productivity during academic year 2019/2020 by discussing same in a written personal statement that you may include with your packet. If you wish to have external evaluators asked to take the COVID-19 crisis into account when reviewing your materials, please complete Supplemental Form 2. Additionally, due to the COVID-19 crisis, you have the option of excluding teaching evaluations from the Spring 2020 semester from your packet. If you elect to do this, please complete Supplemental Form 1.

If you have any questions about the reappointment/promotion process, please contact me promptly. The current Academic Reappointment/Promotion Instructions, forms and appendices can be accessed at the [Appointment & Promotions](https://facultyaffairs.rbhs.rutgers.edu/appointments-promotions/academic-reappointment-promotion-instructions/) section of the RBHS Faculty Affairs webpage

 Sincerely,

 (Chairperson)

c: (Dean)

# APPENDIX H

**THE TEXT OF THIS LETTER CANNOT BE MODIFIED**

SAMPLE LETTER – PRELIMINARY SOLICITATION OF SERVICE AS EXTERNAL CONFIDENTIAL REFEREE

(may be sent via e-mail)

Dear (name):

We are reviewing the dossier of (name), currently (tenured/untenured, rank) at Rutgers University for potential promotion to the rank of (tenured/untenured, rank). I am contacting you in my role as department chair to ask if you would be willing to review Professor (name)’s scholarly materials and provide us with a substantive and rigorous evaluation of their work.

If you agree to help, we will send you the official request, Professor (name)’s cv and samples of their research. We would need to receive your evaluation by (date), and we ask that you consider the specific questions in the cover letter as well as all of the materials that we will send you.

At this time, we would appreciate if you let us know by (date) whether or not you are able to participate in the evaluation. In fairness to the process, any substantive comments to be presented to our committees of evaluation must be based on a reading of the full packet of materials mentioned above.

Your evaluation letter will be maintained in confidence as stipulated by University policy, and it is important to the integrity of our process that this request be kept confidential.

I know that you have many demands on your time, so let me express in advance our appreciation for your assistance in this critically important endeavor.

Thank you very much for considering this request.

 Sincerely,

 (Chairperson)

# APPENDIX H-I

**THE TEXT OF THIS LETTER CANNOT BE MODIFIED WITHOUT APPROVAL**

SAMPLE LETTER

SOLICITATION OF EXTERNAL CONFIDENTIAL EVALUATION

FOR INDIVIDUALS WHO ARE CANDIDATES FOR

PROMOTION TO ASSOCIATE PROFESSOR OR PROFESSOR

Dear (name):

The (department) of the (college/school/faculty) is considering the promotion of (tenured/untenured) (current rank and name) to (associate professor/professor) (with/without tenure) effective July 1, 20 . Guidelines, including criteria, for RBHS are found here: <https://facultyaffairs.rbhs.rutgers.edu/appointments-promotions/faculty-appointments-and-promotions-guidelines/>. The guidelines for faculty on the tenure track/ with tenure begin on page 6.

To assist the department and the University in this consideration, it is the University's practice to solicit written evaluations from specialists outside the University in the candidate's field. These letters are essential in assisting us to evaluate Professor (name)'s scholarly achievements and professional standing in comparison with colleagues in their field.

I am writing to ask if you would send me a confidential letter assessing Professor (name)'s scholarship. We would especially like your evaluation of the originality and quality of their achievements, their impact upon the field, and the value of their contributions to the profession. We would also appreciate your assessment of Professor (name)'s accomplishments relative to others in comparable positions in the discipline nationally and internationally, as well as your judgment of whether their work meets the requirement for someone being considered for promotion at your institution. In addition, if you are able to comment upon Professor (name)'s clinical activity, teaching and/or service to the profession, we would appreciate receiving your assessment in these areas.

We would also appreciate it if you would provide us with a short biosketch, including a brief description of your areas of expertise and current research interests, and/or curriculum vitae.

Finally, please advise us of your relationship to the candidate, if any, and the prior basis of your knowledge of the candidate’s work, if any.

For your information, I am enclosing a copy of Professor (name)'s curriculum vitae. If you would like to have copies of any of the publications beyond those which I have enclosed, I will be happy to send them to you. Because our departmental deliberations must be concluded by (date), I would appreciate your response by no later than (date). If you are unable to respond by then, please let me know.

**[If a faculty member submits in Supplemental RBHS Form 2, then the following highlighted language should be included in the applicable solicitation letters to external evaluators.]**Also, please take into account the impact of the COVID-19 crisis on the candidate’s scholarship, teaching, and/or service for academic year 2019/2020, as may be reflected in the record under review.

I want to assure you that the University will make every effort to maintain the confidentiality of the letter you write. Let me express in advance our deep appreciation for your assistance in this matter. Thank you again for your time, effort, and contribution to this critically important review process.

 Sincerely,

 (Chairperson)

Enc.

# APPENDIX H-II

**THE TEXT OF THIS LETTER CANNOT BE MODIFIED WITHOUT APPROVAL**

SAMPLE LETTER

SOLICITATION OF EXTERNAL CONFIDENTIAL EVALUATION

FOR INDIVIDUALS WHO ARE CANDIDATES FOR

PROMOTION TO DISTINGUISHED PROFESSOR

Dear (name):

The (department) of the (college/school/faculty) is considering the promotion of tenured (current title and name) to Distinguished Professor effective July 1, 20 . The designation of Distinguished Professor is reserved for those selected faculty in the University who have achieved scholarly eminence in their discipline and fields of inquiry. The standard for promotion to Distinguished Professor is significantly higher than that applied to promotion to Professor. The guidelines for promotion to Distinguished Professor can be found here: <https://facultyaffairs.rbhs.rutgers.edu/appointments-promotions/faculty-appointments-and-promotions-guidelines/>. The guidelines for faculty on the tenure track/ with tenure begin on page 10.

The most significant area of consideration for promotion to Distinguished Professor is scholarship. Only those faculty who have demonstrated outstanding achievement in that area by earning significant recognition inside and outside the University are eligible for promotion to Distinguished Professor. Typically, such recognition is reflected in clearly demonstrable national and international reputation in one's discipline.

To assist the department and the University in this consideration, it is the University's practice to solicit written evaluations from specialists outside the University in the candidate's field. These letters are essential in assisting us to evaluate (title and name)'s scholarship and professional standing in comparison with colleagues in their field. I am writing to ask if you would send me a confidential letter assessing (title and name)'s accomplishments in accordance with the standard described above. I would also appreciate your comments on whether their work would meet the requirements for someone being considered for promotion at your institution. In addition, if you are able to comment upon Professor (name)’s teaching and/or service to the profession, we would appreciate receiving your assessment in these areas.

We would also appreciate it if you would provide us with a short biosketch, including a brief description of your areas of expertise and current research interests, and/or curriculum vitae.

Finally, please advise us of your relationship to the candidate, if any, and the basis of your prior knowledge of the candidate’s work, if any.

For your information, I am enclosing a copy of (title and name)'s curriculum vitae. If you would like to have copies of any of the publications beyond those which I have enclosed, I will be happy to send them to you. Because our departmental deliberations must be concluded by (date), I would appreciate your response by no later than (date). If you are unable to respond by then, please let me know.

**[If a faculty member submits in Supplemental RBHS Form 2, then the following highlighted language should be included in the applicable solicitation letters to external evaluators.]**Also, please take into account the impact of the COVID-19 crisis on the candidate’s scholarship, teaching, and/or service for academic year 2019/2020, as may be reflected in the record under review.

I want to assure you that the University will make every effort to maintain the confidentiality of the letter you write. Thank you again for your time, effort, and contribution to this critically important review process.

 Sincerely,

 (Chairperson)

Enc.

# APPENDIX I

SAMPLE – INVENTORY LISTING OF MATERIALS

TO BE INCLUDED IN

PACKAGE FOR REAPPOINTMENT OR PROMOTION

**To the Candidate**:

Please list the materials which you are submitting to the department for its review of your credentials. The list must be comprehensive and descriptive of the material submitted. Please number the materials by item and affix the Inventory Listing number to the cover or first page of the item itself. This list will assure all reviewing bodies that they have your complete package available to them.

Items included, listed separately:

1.Curriculum Vitae

2.

3.

4.

5.

6.

7.

8.

9.

10.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date Received by Department

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of Chair or Convener & Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Candidate’s Signature & Date

1. The University's Policy with Respect to Academic Appointments and Promotions has been revised since 1969. The current Policy is contained in Appendix D to these Instructions. [↑](#footnote-ref-1)
2. Rutgers Policy, Section 60.5.14. [↑](#footnote-ref-2)
3. Rutgers Policy, Section 50.1.9(5) [↑](#footnote-ref-3)
4. On the Imposition of Tenure Quotas, Statement of Committee A, AAUP, AAUP Bulletin, Vol. 59, No. 4, Winter Issue, December 1973, Washington, D.C., 1973, p. 429. [↑](#footnote-ref-4)
5. Exclude paragraphs 2 and 3 from the 30-Day Notification Letter to individuals to be considered for reappointment without tenure [↑](#footnote-ref-5)