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Memorandum to: Chancellor Strom, Provosts, Deans, Directors, and Department Chairs

From: Prabhas V. Moghe, Ph.D.
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Subject: 2023-2024 Academic Reappointment/Promotion Instructions For Tenured and Tenure-Track Faculty with Appointments in Rutgers Biomedical and Health Sciences (RBHS)[1]

Introduction

These instructions govern tenured and tenure-track faculty reappointments, promotions, including promotions to tenure-track Assistant Professor and Associate Professor, and new faculty appointments with tenure in Rutgers Biomedical Health Sciences (RBHS) for the academic year 2023-2024. These instructions are also available on the internet at https://facultyaffairs.rbhs.rutgers.edu/appointments-promotions/academic-reappointment-promotion-instructions/where they can be downloaded in Microsoft Word format.

1. These instructions do not apply to faculty in the School of Pharmacy or to faculty in School of Nursing, in the AAUP-AFT bargaining unit

II. Forms

RBHS Form No. 1	Recommendation Information Form
Supplemental RBHS Form No. 1	Recommendation Information Form
RBHS Form No. 2	Criteria Applicable to this Candidate
Supplemental RBHS Form No. 2	Considerations/Exclusions Applicable to this Candidate
RBHS Form No. 3	Report on External Confidential Letters
RBHS Form No. 3-a	Confidential Letter Cover Sheet
RBHS Form No. 4	Narrative Summary of Departmental Recommendation
RBHS Form No. 5	Narrative Summary of Dean's Recommendation
RBHS Form No. 6	Narrative Summary of Chancellor's Recommendation Denial (*for denials only*)

III. Appendices

Appendix A	RBHS Policy Concerning Notice of Non-Reappointment
Appendix B	Evaluation Pathway for Academic Appointments, Reappointments and Promotions Involving Tenure or the Tenured Ranks

Appendix C	Evaluation Pathway for Tenure-Track Reappointments to the Rank of Assistant Professor
Appendix D	Statement of Professional Ethics
Appendix E	RBHS Policies and Guidelines Governing Appointments, Promotions, and Professional Activities of the Faculty
Appendix F	Rutgers University Statement on Tenure
Appendix G	Sample 30-Day Notification Letter to Individuals to be Considered for Reappointment or Promotion
Appendix H	Sample Letter - Preliminary Solicitation of Service as External Confidential Referee
Appendix H-I	Sample Letter – Solicitation of External Confidential Evaluation (use sample letter GII for candidates for promotion to Distinguished Professor)
Appendix H-II	Sample Letter – Solicitation of External Confidential Evaluation for Individuals who are Candidates for Promotion to Distinguished Professor
Appendix I	Sample – Inventory Listing of Materials to be Included in Package for Reappointment or Promotion

Please note that completed recommendations for appointment with tenure, reappointment with tenure, or promotion with tenure are due in the Office of the Executive Vice President for Academic Affairs no later than November 1, 2023; completed recommendations for promotion within the tenured ranks are due no later than December 1, 2023. The schedule for receipt of completed recommendations for tenure-track reappointments to the rank of Assistant Professor and tenure-track promotions to the rank of Associate Professor will be set by the RBHS Chancellor and/or Dean.

Questions concerning these instructions should be directed to the RBHS Office of Faculty Affairs 973-972-7595 or rbhsfacultyaffairs@ca.rutgers.edu.

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 reappointment and/or promotion. 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 to all tenure-track reappointment recommendations at the rank of Assistant Professor and Associate Professor all tenure-track promotion recommendations to the rank of Assistant Professor and Associate Professor, all promotion recommendations to and within the tenured ranks of Associate Professor, Professor and Distinguished Professor, and all reappointment recommendations involving tenure. These instructions are also applicable to new faculty appointments 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.

Rank Review

A tenured faculty member may request of the department chair that they 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. 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 signed Form 2 constitutes an evaluation for this purpose.

All other requests for evaluation for promotion from tenured faculty members may be granted at the department's discretion.

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 a tenured 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.

A minimum of six tenured faculty members at or above the rank for which candidates are to be considered for reappointment or promotion are required to vote on the recommendation with respect to each candidate. All eligible tenured faculty within the candidate's department who are at or above the appropriate rank are expected to participate in the departmental review. Faculty members who have a conflict of interest with the candidate should be recused from the meeting. The departmental recommendation must include a list of those eligible members that participated, and a list of those unable to attend, together with a brief explanation of each absence. Eligible faculty serving at another level of review, and those who recuse themselves due to a conflict of interest between themselves and the candidate, should be included in the list of faculty unable to attend.

If necessary, 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 voting persons. In selecting the ad hoc members, the dean shall consult with the chair of the department. 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 recommendations.

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, and shall respond appropriately within the thirty (30) day period.

E. Responsibilities of the Candidate

A specific responsibility of the candidate is to ensure 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 ensuring 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 Include the names of all authors in the order of appearance in the publication, with volume, year, and page numbers (or, for a book, number of pages). Candidates must explain their responsibility for jointly authored works. Using a narrative and/or quantitative breakdown of roles, candidates should indicate their contribution to the conception/design, acquisition, analysis, interpretation of data, writing or revised drafting etc., of the joint scholarship, including whether they were the primary contact or corresponding author. The candidate should also ensure that the form fully presents his/her clinical (if applicable), 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).

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. Candidates are required to include evidence of effective teaching and/or mentoring in applications for tenure and/or promotion. Student instructional ratings scores (such as SIRS) are considered an essential component of this evidence but are not sufficient to satisfy this requirement. **One or more additional pieces of evidence of effective teaching must be provided.** Examples include, but are not limited to: peer review, mentoring, scholarship of learning, statement of teaching philosophy, and/or a teaching portfolio.

While not required, a personal statement is helpful to levels of review that may not be familiar with the discipline of the candidate. **The personal statement should speak to all relevant criteria for tenure and/or promotion** (e.g. teaching, scholarship, service). Departments are advised to send the personal statement, together with the candidate's CV and samples of scholarship, to the external evaluators to assist with their review of the candidate. A list,

compiled by the faculty member, of the documents submitted to the chair shall be attached to the promotion packet (Appendix I).

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 due to (i) the COVID-19 pandemic, (ii) a parental or medical leave of absence, or (iii) a leave of absence without pay, may 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. Additionally, a candidate may request that external evaluators be asked to appropriately take into account the impact of the COVID-19 pandemic on scholarship, teaching and/or service for academic year 2019/2020 and/or academic year 2020/2021 as may be reflected in the record for review. To exercise either option, the candidate should submit a written request by completing Supplemental Form 2 and making the appropriate selection.

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.

A faculty member in a probationary period for tenure as of July 1, 2020 may opt to exclude teaching evaluations from one, two or all of the following semesters from their reappointment and/or tenure packet or promotion packet: Spring 2020, Fall 2020 and Spring 2021. Faculty may make such a request by completing Supplemental Form 1.

F. External Confidential Letters of Evaluation

For this academic year only, each promotion packet is currently required to have a **minimum number of five** external confidential **arm's length** letters of evaluation from qualified persons. Non-arm's length letters will not count towards the minimum requirement. These letters must obtained by the candidate's department chair and/or by the candidate's dean.

Arm's length letters are defined as those from external referees who are NOT the candidate's dissertation or thesis chair or mentor, the candidate's coauthor or collaborator, the candidate's former professor, a family member of the candidate, or a personal friend of the candidate. Letters from individuals with whom the candidate has worked closely in the past would not be considered arm's length. For instance, co-authored papers, collaborative grants and co-advised students are examples of prior candidate-referee interactions that disqualify arm's length referees. If a non-arm's length letter is included, it must be in addition to the minimum requirement, and the department chair should indicate the reason for soliciting a letter from that individual on Form 3-a.

External referees should be selected on the basis of their standing in the field and the institutions with which they are associated. **Referees should be at the rank of tenured full professor or above, but must at least be at the proposed rank or equivalent**. 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 or promotion to tenure-track Assistant Professor, but are required for promotions to tenure-track Associate Professor, reappointments with tenure, promotions with tenure, promotions to the ranks of Professor and Distinguished Professor, and for new appointments with tenure.

Prior to the solicitation of external letters, the chair creates a list of experts relevant to the candidate. The candidate then meets the chair to informally discuss any experts the candidate contemplates recommending on their list, which they will then provide to the chair for consideration. The candidate also submits to the chair a list of persons from whom they prefer letters not be solicited. The only experts deemed "recommended by the candidate" will be those included in the list submitted to the chair for consideration that do not already appear on the chair's list. The department chair shall first verify that the list of referees satisfies the eligibility criteria stipulated in the guidelines, and then submit it to the dean, accompanied by a clear explanation of the suitability of the referee, the relationship of the referee to the candidate and their 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 H) 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. Similarly, the Chair and other faculty members shall not engage in any substantive discussion about the candidate's 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 recommendation form (form 5), shall become part of the packet.

Sample letters of solicitation are attached in Appendices H-1 through H-II. Solicitation letters may be sent via e-mail. Letters of solicitation for confidential outside letters of recommendation shall be consistent with the promotion criteria applicable to the candidate. A department chair, with the prior approval of the dean and 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 external referees should be referred to by their respective number only 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. Submission of an e-mailed or faxed copy of the external confidential letters of evaluation is acceptable provided that the e-mailed or faxed copy is on official letterhead with the referee's electronic signature. 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 Executive Vice President for Academic Affairs will not be considered unless the dean has requested such 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.[2]

In all circumstances, copies of the external confidential letters are to be maintained by the department chair as part of the chair's record, 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, the written peer review(s) of the candidate's teaching (if submitted), the teaching portfolio (if submitted) 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. Form 5 (the dean's narrative) contains boxes to check to certify that the dean has reviewed the contents of the personnel file and the written peer review of teaching.

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 Documents, and Updates to the Packet

Documents Added to the Packet

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

[2] If there is good cause for an exception, it can be made only with the approval of the Executive Vice President for Academic Affairs, upon the recommendation of the dean.

these instructions, reports of reading committees, supplements to confidential letters (Section E, paragraph 5), 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 are considered additions to the packet within the meaning of this Section and thus the above-prescribed procedures must be followed.

Evidence of a Significant Change in the Status of Materials

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 shall make the final determination as to whether evidence of the change shall be added to the packet. The Recommendation Form (RBHS Form 1) submitted by the candidate shall not be changed to reflect such additions to the packet. The evidence of the significant change shall be added to the packet by way of an addendum.

Updates 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 update 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 update. If the update occurs after December 1 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 update.

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, Paragraph 4) to evaluate the candidate for reappointment and/or promotion. That is, only tenured members at the rank of Associate Professor or above shall meet to evaluate candidates for reappointment at the rank of Assistant Professor and promotion to the rank of Associate Professor. Only tenured members at the rank of Professor or Distinguished Professor shall meet to evaluate candidates for promotion to the rank of Professor. Only tenured members at the rank of Distinguished Professor shall evaluate candidates for promotion to 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. A minimum total of six peer group votes is required **(total votes include those voting positively, negatively, or abstaining.)** Chairs should ensure that faculty members who have a conflict of interest with the candidate are recused from the participating in the discussion or vote; recusals must be listed with faculty not attending the meeting and do not count towards the total votes. If fewer than two-thirds of those voting support the candidacy, the recommendation of the department shall be recorded as a negative recommendation. Meetings held to consider a candidate may be conducted via video conference provided the identity of each faculty member can be verified. Only those faculty members whose identity can be verified are to be accorded a vote. A vote by an absent faculty member is not permitted under any circumstances.

The record of a faculty member opting to have time excluded from the probationary period due to (i) the COVID-19 pandemic, (ii) a parental or medical leave of absence, or (iii) a leave of absence without pay, shall be evaluated in the same manner as the record of a faculty member without such an exclusion

J. Responsibilities of the Department Chair

The department chair is responsible for ensuring that a thorough, rigorous and appropriately informed process of evaluation takes place for each candidate.

Within ten (10) days of the department chair's receipt of the candidate's completed Form 1, the department chair will sign and return the Form to indicate concurrence with its content, or, if there is a dispute between the department chair and the candidate 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.

It shall be the responsibility of the chair to circulate Appendix I and all documents or materials submitted by the candidate, together with any other relevant material to the appropriate reviewing bodies.

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

Supplemental Form- 2: The department chair shall sign Supplement Form 2 which documents the considerations/exclusions applicable to the candidate.

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. If the expertise regarding the scholarship of the faculty member being evaluated is lacking within the Department, the evaluation of the scholarship by a reading committee of experts is strongly recommended to aid in assessing the quality of the candidate's scholarship.

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.

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. **The report must address any negative votes or abstentions**. 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, 2) graduate or postdoctoral instruction and research supervision, as indices of effective teaching, mentoring, training and/or career development, and 3) a written assessment of the scholarly work. With the exception of those teaching evaluations a faculty member may have opted to exclude from their reappointment and/or tenure packet or promotion packet as specified by the faculty member in Supplemental Form 1, 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 effectiveness as a teacher, including comparative measures of teaching performance through such means as peer review of teaching, evaluations of teaching portfolios and syllabi, and other evidence of the quality of the candidate's teaching, in addition to student evaluations over the entire period under consideration.**

The departmental report shall also provide a written assessment of the candidate's scholarly work and service contributions. 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 candidates **partially budgeted to or affiliated with other departments, centers, bureaus, institutes, decanal units or degree-granting programs,** the chair shall implement the instructions set forth in section R below (solicitation of letters and report from the secondary departments, centers, bureaus, institutes, decanal units or degree-granting programs).

The departmental report should acknowledge, and where possible explain, any negative votes or abstentions. Faculty members who were absent from the meeting should be listed and a brief explanation of the absence included.

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 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 P.

Provision of these Instructions: It is the responsibility of the department chair to inform each candidate for reappointment and promotion of the uniform resource locator (URL) where a copy of these Instructions can be accessed by the candidate.

The record of a faculty member opting to have time excluded from the probationary period due to (i) the COVID-19 pandemic, (ii) a parental or medical leave of absence, or (iii) a leave of absence without pay, shall be evaluated in the same manner as the record of a faculty member without such an exclusion.

K. Responsibilities of the Advisory Committee on Appointments and Promotions[3]

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. A&P committee meetings may be conducted via video conferencing provided the identity of each individual can be verified. Only those committee members who attend the A&P meeting in which the candidate is considered are to be accorded a vote; a vote by an absent A&P committee member is not permitted under any circumstances.

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 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 and the date of the meeting.

Members of the Committee who participate in the review of candidates in their own department at the departmental level shall not participate in any manner in the consideration of those candidates by the Advisory Committee on Appointments and Promotions. A&P Committee members must be at or above the rank for which candidates are to be considered for reappointment or promotion.

[3] Certain units of the University do not have Advisory Committees on Appointments and Promotions

The record of a faculty member opting to have time excluded from the probationary period due to (i) the COVID-19 pandemic, (ii) a parental or medical leave of absence, or (iii) a leave of absence without pay, shall be evaluated in the same manner as the record of a faculty member without such an exclusion.

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. Accordingly, before the commencement of each reappointment and promotion cycle, the dean shall ensure that each faculty evaluative body, i.e., the departmental committee and the Advisory Committee on Appointments and Promotions, has received and has reviewed the criteria for the candidates under review, as set forth in Appendix D: Statement on Professional Ethics (Rutgers Policy 60.5.1) and the relevant portions of Appendix E: Policies and Guidelines Governing Appointments, Promotions, and Professional Activities of the Faculty of these Academic Reappointment/Promotion Instructions.

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.

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, including information contained in the candidate's personnel file, and the dean must check the box on Form No. 5 that they have reviewed its contents and the dean shall provide specific justification based on the record for his/her recommendation. The dean shall have primary responsibility for ensuring 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.

When the reappointment/promotion evaluations have been completed as described above, the dean shall forward the packet as follows: to the office of the chancellor in cases involving reappointment without tenure or promotion to tenure-track Associate Professor; to the Executive Vice President for Academic Affairs in cases involving tenure and/or promotion within the tenured ranks. The packet shall include the following: Forms 1, 2, 3, 3-a, one copy of the sample letter used to solicit external confidential evaluations (Appendix H-I or H-II), external confidential letters of evaluation, Forms 4 and 5, Supplemental Forms 1 and 2, the report of the

Advisory Committee on Appointments and Promotions (if applicable), the personal statement (if applicable), evidence of effective teaching, the candidate's CV, and inventory listing (Appendix I). Forms 3, 3-a, sample solicitation letter and external confidential letters of evaluation apply to reappointments with tenure, promotions to tenure-track Associate Professor, and promotions and appointments to and within the tenured ranks.

The packet for reappointment without tenure shall include the following: Forms 1, 2, 4, and 5, Supplemental Forms 1 and 2, the report of the Advisory Committee on Appointments and Promotions (if applicable), the personal statement (if applicable), evidence of effective teaching, the candidate's CV, and inventory listing (Appendix I). Deans may notify departments of any additional requirements.

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

The record of a faculty member opting to have time excluded from the probationary period due to (i) the COVID-19 pandemic, (ii) a parental or medical leave of absence, or (iii) a leave of 15 absence without pay, shall be evaluated in the same manner as the record of a faculty member without such an exclusion.

M. Responsibilities of the Promotion Review Committee[4]

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 membership of the Committee consists of the Provost–Camden, the Provost–Newark, the Chancellor-Provost–New Brunswick (or their designee), one Provost–Rutgers Biomedical and Health Sciences, and eight tenured 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. Faculty appointments are made typically for four-year terms with the possibility of reappointment. They are chosen for their scholarly distinction as individuals and,

6 For reappointments with tenure, promotions to and within the tenured ranks, and for new faculty appointments with tenure.

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 the RBHS Policies and Guidelines Governing Appointments, Promotions, and Professional Activities of the Faculty (A&P Guidelines) 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, seeks additional information from the dean or may be 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 s/he may, from time to time, designate, shall be its sole spokesperson.

N. The President and the Board of Governors[5]

5 For reappointments with tenure, promotions to and within the tenured ranks, and for new faculty appointments with tenure.

After considering all the evidence from these diverse sources, the President makes his own recommendations for appointments, 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. Final Levels of Review

1) Tenure-Track Reappointments and Promotions to Tenure-Track Assistant Professor and Tenure-Track Associate Professor (without tenure).

   Final decisions on reappointments without tenure and promotions to tenure-track Assistant Professor and tenure-track Associate Professor will rest with the Chancellor.

2) Reappointments with award of Tenure, Promotions to the Rank of Associate Professor, Professor, and Distinguished Professor with Tenure, and New Appointments with Tenure

   The Promotion Review Committee shall be the final level of evaluation for all such personnel actions where either or both of the departmental or the dean's recommendation are positive or where both the departmental and dean’s recommendation are negative but the review is initiated by the candidate pursuant to rank review. These personnel actions also require formal action by the President and the Board of Governors.

P. Notification of Final Action

1) Tenure-Track Reappointments and Promotions to Tenure-Track Assistant Professor and Tenure-Track Associate Professor (without tenure).

   Deans will be informed by the chancellor of decisions on reappointments without tenure and promotions to tenure-track Assistant Professor and tenure-track Associate Professor. Deans are responsible for notification to the candidate in writing within ten (10) days of the final decision by the Chancellor. For unsuccessful candidacies, such notification shall include an invitation to meet with the dean and a written statement from the RBHS Chancellor as to the reason for the denial. In the case of a denial, the Chancellor will complete Form 6.

2) Reappointments with award of Tenure, Promotions to the Rank of Associate Professor, Professor, and Distinguished Professor with Tenure, and New Appointments with Tenure

The dean of the unit will be notified by the 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 cases where both the department and dean's level of review are negative, the candidate will be notified in writing by the dean (or his/her designee) within ten (10) days of the final decision. For unsuccessful candidacies, such notification shall include an invitation to meet with the dean.

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. (Withdrawal after a candidate has requested promotion evaluation and signed Form 1 constitutes an evaluation.) 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 Chancellor and to the Executive Vice President for Academic Affairs.

R. Special Guidelines for Faculty Affiliated with More than One, Center, Bureau, Institute, Decanal Unit or Degree-Granting Program

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

Faculty Currently Affiliated with More than One Department, Center, Bureau, Institute, Decanal 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, center, bureau, institute, decanal 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, center, bureau, institute, decanal unit or degree-granting 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 applicable chair or director of the secondary department, center, bureau, institute, decanal unit or degree-granting program. The letters from external evaluators shall be jointly solicited by the primary chair and the applicable chair or director of the secondary department, center, bureau, institute, decanal unit or degree-granting program. The applicable chair or director of the secondary department, center, bureau, institute, decanal unit or degree-granting program shall evaluate the candidate in consultation with the appropriate peers in the department, center, bureau, institute, decanal unit or degree-granting 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, center, bureau, institute, decanal unit or degree-granting program evaluation.

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

Faculty Previously, but Not Currently, Affiliated with More than One Department, Center, Bureau, Institute, Decanal Unit or Degree-Granting Program:

If the candidate does not currently have an affiliation with a secondary department, center, bureau, institute, decanal unit or degree-granting 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 applicable chair or director of the secondary department, center, bureau, institute, decanal unit or degree-granting program. The applicable chair or director of the secondary department, center, bureau, institute, decanal unit or degree-granting program shall evaluate the candidate in consultation with the appropriate peers in the department, center, bureau, institute, decanal unit or degree-granting 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, center, bureau, institute, decanal unit or degree-granting program evaluation. (In instances where the period of affiliation with a secondary department, center, bureau, institute, decanal unit or degree-granting program was not substantial, the candidate's chair may, at his/her discretion, seek an evaluation from the applicable chair or director of the secondary department, center, bureau, institute, decanal unit or degree-granting program.)

S. Technical Resources for Assembling Packets

To facilitate assembling your packet, you may input your data to the online Faculty Survey Database: https://oirap.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 or Personal Web Page, both with a permanent link (the Web Page will have a search box to your SOAR publications).

For recommendations regarding teaching portfolios, please visit https://ctaar.rutgers.edu/wiki/pages/D8A0H32/Improving_the_Evaluation_of_Teaching.html.

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.

Because external web links often change, it is recommended that you deposit your publications in SOAR (Scholarly Open Access at Rutgers): http://soar.rutgers.edu. Go to the SOAR website, click Deposit Your Work, and you will receive a unique permanent link (DOI) that can be added to your citation. For further information, contact the SOAR Librarian (848-445-5950) or email SOARhelp@rutgers.edu)

Chart 1 – **APPROVAL STEPS REQUIRED FOR TENURE-TRACK REAPPOINTMENTS AS ASSISTANT PROFESSOR OR ASSOCIATE PROFESSOR AND PROMOTIONS TO TENURE-TRACK ASSISTANT PROFESSOR AND ASSOCIATE PROFESSOR**

Title	External Letters* Required	Department Reading Committee	Department Recommendation** (Form 4)	School Advisory Committee on Appointments & Promotions***	Dean's Recommendation (Form 5)	Chancellor
Reappointment as Assistant Professor or Associate Professor, tenure-track	NO	X	X	X	X	X
Promotion to Assistant Professor, tenure-track	NO	X	X	X	X	X
Promotion to Associate Professor, tenure-track	5 at a minimum	X	X	X	X	X

*Arm's length letters are defined as those from external referees who are **NOT** the candidate's dissertation or thesis chair or mentor, the candidate's coauthor or collaborator, a family member of the candidate, or a personal friend of the candidate. Ordinarily, letters from individuals with whom the candidate has worked closely in the past would not be considered arm's length.

**A minimum of six tenured faculty members at or above the rank for which candidates are to be considered are required to vote on the recommendation with respect to each candidate.

***Members voting on any action must be tenured faculty at or above the rank for which the candidate is considered. Members of the department committee who participate in the review of the candidate in their own department shall not participate in any manner in the consideration of those candidates by the Advisory Committee on Appointments and Promotions.

Chart 2 – **STEPS REQUIRED FOR NEW FACULTY APPOINTMENTS WITH TENURE, REAPPOINTMENTS WITH TENURE AND PROMOTIONS TO AND WITHIN THE TENURED RANKS**

Action	External Letters* Required	Department Reading Committee	Department Evaluation ** (Form 4)	School Advisory Committee on Appointments & Promotions***	Dean's Evaluation (Form 5)	Promotion Review Committee	President	Board of Governors
New Faculty Appointment with Tenure	5 at a minimum	X	X	X	X	X	X	X
Reappointment at Same Rank with Tenure	5 at a minimum	X	X	X	X	X	X	X
Promotion to Associate Professor with Tenure	5 at a minimum	X	X	X	X	X	X	X
Promotion to Professor with Tenure	5 at a minimum	X	X	X	X	X	X	X
Promotion to Distinguished Professor with Tenure	5 at a minimum	X	X	X	X	X	X	X

*Arm's length letters are defined as those from external referees who are **NOT** the candidate's dissertation or thesis chair or mentor, the candidate's coauthor or collaborator, a family member of the candidate, or a personal friend of the candidate. Ordinarily, letters from individuals with whom the candidate has worked closely in the past would not be considered arm's length.
**A minimum of six tenured faculty members at or above the rank for which candidates are to be considered are required to vote on the recommendation with respect to each candidate
***Members voting on any action must be tenured faculty at or above the rank for which the candidate is being considered. Members of the department committee who participate in the review of the candidate in their own department shall not participate in any manner in the consideration of those candidates by the Advisory Committee on Appointments and Promotions.