

Appendices

Appendix A: Academic Appointment Manual.....	2
Appendix B: Appropriate/ Inappropriate Interview Topics & Questions.....	56
Appendix C: Inclusive Excellence Recruitment Report.....	58
Appendix D: Evaluation Tools.....	61

Appendix A

Academic Appointments Manual_July 21

ACADEMIC APPOINTMENTS MANUAL*

This PDF document has been bookmarked to enable you to quickly jump to and within the relevant sections.

* Updated as of July 2021

Introduction

This Manual brings together the various policies and procedures relating to all aspects of academic appointments to aid individuals who are responsible for administering them. This Manual is intended to be a plain-language instructional guide for following and implementing the policies and/or procedures with respect to academic appointments, and is not meant to supersede applicable policies or provisions of collective agreements.

This Manual applies only to academic appointments within the legacy Rutgers University entities. Questions relating to academic appointments within the legacy UMDNJ entities should be directed to the appropriate Dean or Chancellor, or to the Office of Academic Labor Relations (opalr@og.rutgers.edu) or RBHS Office of Academic Affairs (rbhsfacultyaffairs@ca.rutgers.edu).

This Manual is organized topically into the broad sections of Recruitment and Appointment, Reappointment and Promotion, Termination and Non-reappointment, Leaves of Absence, and miscellaneous items that pertain to faculty personnel, with specific information by faculty type, i.e.

- Tenured/Tenure-Track
- Non-Tenure Track (“NTTs”)
- Teaching Assistants and Graduate Assistants
- Postdoctoral Associates and Fellows
- Part-Time Lecturers
- Winter/Summer Instructors
- Coadjutants
- Visiting Faculty
- Other Faculty Titles

SECTION I – RECRUITMENT AND APPOINTMENT

The University is committed to attracting and maintaining a highly talented and diverse faculty. Therefore, all vacancies are to be filled by an open, competitive search that will result in a nondiscriminatory applicant pool. If the candidate pool for a faculty position is not diverse or the pool does not contain qualified candidates then additional outreach should be taken, which may include networking, advertising in more targeted publications and websites, or extending the job search.

ROCS

Rutgers' *Recruitment, Onboarding and Classification System* is an integrated job posting, application, EEO data collection and onboarding system for all faculty and staff positions. With very limited exception as indicated in this Manual, all faculty positions must be posted within ROCS. All postings in ROCS will automatically be advertised with NJHERC (New Jersey Higher Education Recruitment Consortium), as well as all sites that NJHERC automatically links to.

Tenured/Tenure-Track Faculty

Recruitment and Selection

The Position Description

The department should first meet to discuss the position for which it would like to advertise. Various issues should be addressed at this meeting including rank, desired research and instructional areas, expectations, perceived role in the department, and the department's immediate and future needs. The result of these deliberations should be brought to the Dean for his/her consideration. The Dean must approve the search before any further action can be taken. Decanal units should also consult with their respective Chancellor's offices if such level of approval is required.

The recruitment effort then continues with a written position description that includes the position and rank - which should accurately and clearly describe the full range of responsibilities and duties for the position - and a brief description of desired research and instructional areas as well as required skills or experience.

Recruitment and Appointment

Advertisement

After receiving the appropriate approval to recruit, the department must post the advertisement in ROCS. In addition, the department may place an advertisement in any other venue such as professional and scholarly journals, the unit's website, and other sources appropriate to the position. Many units choose to post advertisements in *The Chronicle of Higher Education*, *Academe*, and *The New York Times*, or elect to advertise on career websites such as <https://jobs.chronicle.com> and www.HigherEdJobs.com. Units are responsible for the expenses related to these advertisements; however, there is no cost for advertising on www.NJHERC.org.

Advertisements should specify what is required for a complete application (e.g., cover letter, statement of research and teaching interests, publications, writing sample, list of references, etc.); when review of the applications will begin and any deadlines; and any relevant instructions for how to submit for the position. If the department plans to interview at a particular professional meeting, pertinent contact information should also be included.

All position announcements and all classified advertising should be written in gender-neutral language and contain the following statement:

It is university policy to provide equal employment opportunity to all its employees and applicants for employment regardless of their race, creed, color, national origin, age, ancestry, nationality, marital or domestic partnership or civil union status, sex, pregnancy, gender identity or expression, disability status, liability for military service, protected veteran status, affectional or sexual orientation, atypical cellular or blood trait, genetic information (including the refusal to submit to genetic testing), or any other category protected by law. As an institution, we value diversity of background and opinion, and prohibit discrimination or harassment on the basis of any legally protected class in the areas of hiring, recruitment, promotion, transfer, demotion, training, compensation, pay, fringe benefits, layoff, termination or any other terms and conditions of employment. For additional information please see the Non-Discrimination Statement at the following web address: <http://uhr.rutgers.edu/non-discrimination-statement>.

The Search Committee

Each unit establishes its own policies and procedures for reviewing applications, selecting candidates for campus visits and recommending candidates for hire. Typically, there will be a search committee that will have representatives from the field in which the school is looking to hire. Membership on the search committee varies. In some departments the entire department constitutes the search

Recruitment and Appointment

committee, in other departments only the tenured members of the department participate, and in others a representation of fields and ranks is desired. Prior to compiling a list of possible committee members the department should establish what the role of the committee will be.

Interviewing

The search committee should develop a list of clearly defined criteria arranged in order of importance by which applicants will be evaluated. These criteria, based on the position description, must relate to the essential functions of the position and be applied uniformly to all candidates. It is the responsibility of the Search Committee to make every effort to treat all candidates who are interviewed in an equal fashion. All candidates should be seen by a reasonable and representative number of voting members of the department or discipline. Although conversations with candidates take their own directions, the format and content of the interview should be uniform. All questions directed to applicants should be related to the position for which they have applied. The committee should consider drafting a list of questions and topics in advance to discuss during the interview and agreeing on a rating system for the candidates. Questions concerning race, religion, national origin, ancestry, sex, sexual orientation, marital status, age, or disability should not be asked during an interview. After each interview, the interviewers' evaluations should be put in writing and retained in department files with all other documents related to the search for three years. In most schools, the dean will make the final selection of the candidate to hire. For further details about this process, consult the bylaws of specific units.

EEO Data Collection

As a Federal contractor, Rutgers is required to complete federally-mandated Affirmative Action reports. These reports utilize data that is collected on applicants with respect to race, gender, ethnicity, disability and veteran status. This data has historically been compiled by way of the *UPF-1F* form; however, ROCS integrates the data collection into the recruitment process, so for all positions posted in ROCS the units will not need to separately invite applicants to self-identify, nor will units need to separately collect the data and manually complete the *UPF-1F*.

Appointment and Offer Letter

Appointment

Each unit will have its own process for determining if there is an open tenured or tenure-track position, the priority of open positions and the qualifications and credentials of the candidates who the department would like to attract to the position opening.

Recruitment and Appointment

Recommendations for academic appointments with tenure to a particular rank normally originate at the department level and are made to the president through the chancellor or other appropriate officer by deans of faculties, with the advice of a faculty committee on appointments and promotions, and with the recommendation of the tenured faculty at, or above, that particular rank in the appropriate department.

New tenure-track appointments (i.e. to the rank of assistant professor and equivalent) are made for a finite term, typically three years. Faculty so appointed are then to be evaluated for reappointment, with notice of reappointment or non-reappointment provided consistent with Rutgers Policy [60.5.12](#).

Special Note for Appointment with Tenure to Rank of Associate Professor, Professor and Distinguished Professor:

New appointments to the rank of associate professor and professor are usually made with tenure and should be made very carefully to exceptional candidates. Because the President refers to the Board of Governors all appointments which involve the acquisition of academic tenure, once the tenured offer has been accepted the department and the candidate must prepare a packet pursuant to the current Academic Reappointment/Promotion Instructions.

Offer Letter

Once the recruitment process is complete and the department decides to extend an offer to a candidate, the chair must consult the Dean to verify that the candidate and the financial terms the department recommends are satisfactory to the Dean. The Dean should ensure that the salary level and any start up costs are consistent with what is being offered in similar departments at Rutgers and comparable universities. If applicable, the Dean should also consult with the Chancellor to obtain final approval to extend the offer.

Each newly appointed faculty member should receive a formal letter of appointment from the appropriate administrative officer documenting the terms of appointment. The appointment letter must contain at a minimum: salary and salary period, percent effort of the position, whether the position is with or without tenure (if without tenure, the number of years of the initial appointment), service requirements, research requirements, office and equipment being provided and other resources that the candidate can expect to have access to. If the appointment is a joint appointment, the offer letter must be signed by all the units involved. The offer letter for a joint appointment also must indicate the percent effort in each of the units. In cases where the appointment is with tenure, the closing paragraph should include a line that indicates that the offer cannot be formally accepted until the Board of Governors has granted the appointee's tenure.

Special Note Regarding Foreign Nationals:

If the candidate is not a U.S. citizen or permanent resident, the department should consult with the appropriate campus office for international faculty, students, and scholars before a job offer can be made, and the department may have to complete immigration and labor certification paperwork. **Thus, the offer letter must have a contingency statement that appropriate employment eligibility is to be obtained.**

In addition to the above criteria, the duties required of an appointee in the areas of teaching, scholarship and service, or the alternative areas relevant to the appointment as set forth in Rutgers Policy [60.5.14](#), should be made known to the candidate at the time of appointment. As such, the appointment letter should include a statement regarding when and who will be speaking to the appointee regarding these criteria, the appointee's specific teaching responsibilities (if any) and any other departmental matters.

The appointment letter should include a statement that the candidate must present certain documentation to establish identity and employment eligibility as required by the Immigration Reform and Control Act. Offer letters should also include a statement that the offer is contingent upon successful completion of all pre-employment screenings. In addition to the offer letter, all newly hired faculty must be provided with the Faculty Employment Agreement (UPF-5) that must be signed and returned to the unit.

Related Information

- Benefits: <http://uhr.rutgers.edu>
- Direct Deposit: <http://payroll.rutgers.edu/payroll-resources/direct-deposit>
- Net ID: <https://netid.rutgers.edu/index.htm>
- Rutgers ID Card: <https://ipo.rutgers.edu/publicsafety/iam>
- Parking: <https://ipo.Rutgers.edu/dots>
- The [New Jersey Law Against Discrimination \(LAD\)](#) prohibits job discrimination on the basis of race, creed, color, national origin, ancestry, age, and marital status, affectional or sexual orientation, sex, atypical hereditary cellular or blood trait, liability for service in the Armed Forces of the United States, or familial status. The law also applies to physical disability unless the nature and extent of the disability "reasonably precludes the performance of the particular employment."

Recruitment and Appointment

- [Title VII of the Civil Rights Act of 1964](#) prohibits discrimination against any individual with respect to hiring, discharge, compensation, and all terms, conditions, and privileges of employment because of race, color, religion, sex, or national origin.
- [Title IX Education Amendments of 1972](#) prohibits discrimination based on sex in education programs and activities that receive federal financial assistance. Title IX covers all programs of a school or college that receives financial assistance including academics, extracurricular, and athletics.
- [Presidential Executive Order No 11246 \(1965\)](#) prohibits discrimination by federal contractors against any employee or applicant for employment on the basis of race, color, religion, sex, or national origin. Requires the employer to take affirmative action to expand employment opportunities for women and members of minority groups - defined as American Indian or Alaskan Native, Asian or Pacific Islander, Black, and Hispanic - and to eliminate practices that have the effect of excluding or limiting their employment. Also requires a written affirmative action plan, including goals for overcoming the underutilization of minorities and women in the employer's workforce.
- The Rehabilitation Act (1973), [Section 503](#) prohibits discrimination against any employee or applicant for employment because of physical or mental disability regarding any position for which he or she is qualified. Requires the employer to take affirmative action to employ, promote, and otherwise treat qualified individuals with disabilities without discrimination based on their disability. Also requires a written affirmative action plan, but hiring goals need not be established. Affirmative action does require that an employer take steps to accommodate a qualified worker with a disability unless accommodation poses an undue hardship.
- The [Equal Pay Act \(EPA\) of 1963](#) prohibits employers from discriminating on the basis of sex in paying salaries for equal work requiring equal skill, effort, and responsibility and performed under similar work conditions.
- The [Vietnam Era Veteran's Readjustment Act of 1974](#) prohibits discrimination by federal contractors against applicants or employees because they are covered veterans in regard to any position for which they are qualified. Requires that employers take affirmative action to employ, advance in employment, and otherwise treat covered veterans without discrimination based on their disability or veteran's status. Also requires a written affirmative action plan, but hiring goals need not be established. Covered veterans are: disabled veterans, recently separated veterans (veterans within 3 years of their discharge or release from active duty), veterans who served on active duty during a war or in a campaign or expedition for which a campaign badge has been authorized (referred to as "other protected veterans"), and Armed Forces service medal veterans.
- The [Age Discrimination in Employment Act \(ADEA\) of 1967](#) prohibits employers from failing or refusing to hire, or from discharging, or from

Recruitment and Appointment

- otherwise discriminating against any individual with respect to compensation and all terms, conditions, and privileges of employment because of the individual's age. Exceptions to the prohibition against forced retirement include certain high-level executives, public safety personnel, and until 1994, tenured faculty age 70 and over.
- [Title I of the Americans with Disabilities Act \(ADA\) of 1990](#) prohibits employers from discriminating against any qualified employee or applicant for employment because of physical or mental disability. In addition, it requires employers to make reasonable accommodations for qualified individuals with disabilities unless doing so would impose undue hardship.

Non-Tenure Track Faculty

Recruitment and Selection

The Position Description

The department should first meet to discuss the position for which it would like to advertise. Various issues should be addressed at this meeting including rank, desired research and instructional areas, expectations, perceived role in the department, and the department's immediate and future needs. The result of these deliberations should be brought to the Dean for his/her consideration. The Dean must approve the search before any further action can be taken. Decanal units should also consult with their respective Chancellor's office if such approval is required.

The recruitment effort then continues with a position description that includes the position and rank - which should accurately and clearly describe the full range of responsibilities and duties for the position - and a brief description of desired research and instructional areas as well as required skills or experience.

Advertisement

After receiving the appropriate approval to recruit, the department must post the advertisement in ROCS. In addition, the department may place an advertisement in any other venue such as professional and scholarly journals, the unit's website, and other sources appropriate to the position. Many units choose to post advertisements in *The Chronicle of Higher Education*, *Academe*, and *The New York Times*, or elect to advertise on career websites such as <https://jobs.chronicle.com> and www.HigherEdJobs.com. Units are responsible for the expenses related to these advertisements; however, there is no cost for advertising on www.NJHERC.org.

Recruitment and Appointment

Advertisements should specify what is required for a complete application (e.g., cover letter, statement of research and teaching interests, publications, writing sample, list of references, etc.); when review of the applications will begin and any deadlines; and any relevant instructions for how to submit for the position. If the department plans to interview at a particular professional meeting, pertinent contact information should also be included.

All position announcements and all classified advertising should be written in gender-neutral language and contain the following statement:

It is university policy to provide equal employment opportunity to all its employees and applicants for employment regardless of their race, creed, color, national origin, age, ancestry, nationality, marital or domestic partnership or civil union status, sex, pregnancy, gender identity or expression, disability status, liability for military service, protected veteran status, affectional or sexual orientation, atypical cellular or blood trait, genetic information (including the refusal to submit to genetic testing), or any other category protected by law. As an institution, we value diversity of background and opinion, and prohibit discrimination or harassment on the basis of any legally protected class in the areas of hiring, recruitment, promotion, transfer, demotion, training, compensation, pay, fringe benefits, layoff, termination or any other terms and conditions of employment. For additional information please see the Non-Discrimination Statement at the following web address: <http://uhr.rutgers.edu/non-discrimination-statement>.

The Search Committee

Each unit establishes its own policies and procedures for reviewing applications, selecting candidates for campus visits and recommending candidates for hire. Typically, there will be a search committee that will have representatives from the field in which the school is looking to hire. Membership on the search committee varies. In some departments the entire department constitutes the search committee, in other departments only the tenured members of the department participate, and in others a representation of fields and ranks is desired. Prior to compiling a list of possible committee members the department should establish what the role of the committee will be.

Interviewing

The search committee should develop a list of clearly defined criteria arranged in order of importance by which applicants will be evaluated. These criteria, based on the position description, must relate to the essential functions of the position and be applied uniformly to all candidates. It is the responsibility of the Search Committee to make every effort to treat all candidates who are interviewed in an

Recruitment and Appointment

equal fashion. All candidates should be seen by a reasonable and representative number of voting members of the department or discipline. Although conversations with candidates take their own directions, the format and content of the interview should be uniform. All questions directed to applicants should be related to the position for which they have applied. The committee should consider drafting a list of questions and topics in advance to discuss during the interview and agreeing on a rating system for the candidates. Questions concerning race, religion, national origin, ancestry, sex, sexual orientation, marital status, age, or disability should not be asked during an interview(s). After each interview, the interviewers' evaluations should be put in writing and retained in department files with all other documents related to the search for three years. In most schools, the dean will make the final selection of the candidate to hire. For further details about this process, consult the bylaws of specific units.

EEO Data Collection

As a Federal contractor, Rutgers is required to complete federally-mandated Affirmative Action reports. These reports utilize data that is collected on applicants with respect to race, gender, ethnicity, disability and veteran status. This data has historically been compiled by way of the *UPF-1F* form; however, ROCS will integrate the data collection into the recruitment process, so for all positions posted within ROCS the units will not need to separately invite applicants to self-identify, nor will units need to separately collect the data and manually complete the *UPF-1F*.

Appointment and Offer Letter

Appointment

All non-tenure track faculty appointments are renewable, subject to successful evaluation for reappointment, with the exception of faculty in the Lecturer title, who shall be offered non-renewable appointments. With the exception of Lecturer titles, appointment terms must be between one and seven years if non-grant funded or six months to five years if grant funded. Lecturer titles shall be used when an appointment is expected to be of temporary or limited duration, and the appointment shall not exceed three consecutive years. Faculty appointments against grant funds automatically conclude at the expiration or reduction of funding, and individuals appointed or reappointed to these positions should be clearly told of the specific limitations of such appointments.

Special Note Regarding Appointment as Non-Tenure-Track Assistant Professor:

Although not typical, an individual may be appointed as a Non-tenure track Assistant Professor. Rutgers Policy [60.5.10\(C\)](#) outlines the criteria and

conditions with respect to such appointments. That is, they are appointments for a **single three-year term** and shall carry no expectation of appointment beyond the appointment term. The appropriate titles are either *Assistant Professor AY Non-Tenure-Track* or *Assistant Professor CY Non-Tenure-Track*, and these titles should be used in all formal and contractual correspondence. The appointment letter should explicitly state the fixed term of appointment and the specific responsibilities of the position, and well as contain the requisite termination notice. Faculty members serving as non-tenure track assistant professors are not precluded from applying for or being offered other University positions, including tenure-track appointments; however, no preference should be accorded to them in the selection process for other positions. If an individual who has held a non-tenure track assistant professorship is subsequently appointed to a tenure-track position, service in the non-tenure-track position may be credited to service in a tenure-track position only on the written request of the faculty member.

Offer Letter

Each newly appointed faculty member should receive a formal letter of appointment from the appropriate officer of the unit documenting the terms of appointment. The appointment letter must contain, at a minimum: salary and salary period (i.e. AY or CY), title and rank, effective dates and term of the appointment, the faculty member's responsibilities (such as teaching loads, service and/or research requirements), notification date for reappointment and the evaluation criteria for reappointment and/or promotion¹, office and equipment being provided, notification that the position is covered under the Recognition clause of the collective negotiations agreement between the AAUP-AFT and the University, and other resources to which the candidate can expect to have access. The appointment letter should also clearly state that consideration of reappointment will be subject to a continuing need for the position, adequate funding for the position, and a positive formal evaluation by the department. If the appointment is a joint appointment, the offer letter must be signed by all the units involved; the offer letter for a joint appointment also must indicate the percent effort in each of the units. In addition, if the appointment is non-renewable (i.e., Lecturer), the appointment letter should clearly state the term of the appointment, that no evaluation or reappointment will be possible, and that no further notice of termination of employment should be expected. Appointment letters must be provided to the AAUP-AFT.

Special Note Regarding Foreign Nationals:

If the candidate is not a U.S. citizen or permanent resident, the department should consult with the appropriate campus office for international faculty, students, and scholars before a job offer can be

¹ Except for faculty in the lecturer title

made, and the department may have to complete immigration and labor certification paperwork. **Thus, the offer letter must have a contingency statement that appropriate employment eligibility is to be obtained.**

The appointment letter should include a statement that the candidate must present certain documentation to establish identity and employment eligibility as required by the Immigration Reform and Control Act. Offer letters should also include a statement that the offer is contingent upon successful completion of all pre-employment screenings. In addition to the offer letter, all newly hired faculty must be provided with a Faculty Employment Agreement (UPF-5) that must be signed and returned to the unit.

Related Information

- Benefits: <http://uhr.rutgers.edu>
- Direct Deposit: <http://payroll.rutgers.edu/payroll-resources/direct-deposit>
- Net ID: <https://netid.rutgers.edu/index.htm>
- Rutgers ID Card: <https://ipo.rutgers.edu/publicsafety/iam>
- Parking: <https://ipo.Rutgers.edu/dots>
- The [New Jersey Law Against Discrimination \(LAD\)](#) prohibits job discrimination on the basis of race, creed, color, national origin, ancestry, age, and marital status, affectional or sexual orientation, sex, atypical hereditary cellular or blood trait, liability for service in the Armed Forces of the United States, or familial status. The law also applies to physical disability unless the nature and extent of the disability “reasonably precludes the performance of the particular employment.”
- [Title VII of the Civil Rights Act of 1964](#) prohibits discrimination against any individual with respect to hiring, discharge, compensation, and all terms, conditions, and privileges of employment because of race, color, religion, sex, or national origin.
- [Title IX Education Amendments of 1972](#) prohibits discrimination based on sex in education programs and activities that receive federal financial assistance. Title IX covers all programs of a school or college that receives financial assistance including academics, extracurricular, and athletics.
- [Presidential Executive Order No 11246 \(1965\)](#) prohibits discrimination by federal contractors against any employee or applicant for employment on the basis of race, color, religion, sex, or national origin. Requires the employer to take affirmative action to expand employment opportunities for women and members of minority groups - defined as American Indian or Alaskan Native, Asian or Pacific Islander, Black, and Hispanic - and to

eliminate practices that have the effect of excluding or limiting their employment. Also requires a written affirmative action plan, including goals for overcoming the underutilization of minorities and women in the employer's workforce.

- The Rehabilitation Act (1973), [Section 503](#) prohibits discrimination against any employee or applicant for employment because of physical or mental disability regarding any position for which he or she is qualified. Requires the employer to take affirmative action to employ, promote, and otherwise treat qualified individuals with disabilities without discrimination based on their disability. Also requires a written affirmative action plan, but hiring goals need not be established. Affirmative action does require that an employer take steps to accommodate a qualified worker with a disability unless accommodation poses an undue hardship.
- The [Equal Pay Act \(EPA\) of 1963](#) prohibits employers from discriminating on the basis of sex in paying salaries for equal work requiring equal skill, effort, and responsibility and performed under similar work conditions.
- The [Vietnam Era Veteran's Readjustment Act of 1974](#) prohibits discrimination by federal contractors against applicants or employees because they are covered veterans in regard to any position for which they are qualified. Requires that employers take affirmative action to employ, advance in employment, and otherwise treat covered veterans without discrimination based on their disability or veteran's status. Also requires a written affirmative action plan, but hiring goals need not be established. Covered veterans are: disabled veterans, recently separated veterans (veterans within 3 years of their discharge or release from active duty), veterans who served on active duty during a war or in a campaign or expedition for which a campaign badge has been authorized (referred to as "other protected veterans"), and Armed Forces service medal veterans.
- The [Age Discrimination in Employment Act \(ADEA\) of 1967](#) prohibits employers from failing or refusing to hire, or from discharging, or from otherwise discriminating against any individual with respect to compensation and all terms, conditions, and privileges of employment because of the individual's age. Exceptions to the prohibition against forced retirement include certain high-level executives, public safety personnel, and until 1994, tenured faculty age 70 and over.
- [Title I of the Americans with Disabilities Act \(ADA\) of 1990](#) prohibits employers from discriminating against any qualified employee or applicant for employment because of physical or mental disability. In addition, it requires employers to make reasonable accommodations for qualified individuals with disabilities unless doing so would impose undue hardship.

TAs and GAs

Appointment

Posting and/or advertising is not required for Teaching Assistantships or Graduate Assistantships.

Teaching Assistants (“TA”) and Graduate Assistants (“GA”) are appointed by the individual academic unit. Each year, the Office of Academic Labor Relations sends a memorandum to the units that include the guidelines for appointment and non-reappointment for TAs and GAs. Within those guidelines are sample appointment letters that detail all of the terms and conditions of these appointments. Consult those guidelines each year, as there may be important changes to some of the procedures or required material.

All job offers must be documented in an appointment letter. The appointment or reappointment letter, at a minimum, needs to contain: the appointment title, appointment ratio, effective dates and duration of the appointment, hiring unit, hiring unit contact, summary of the nature of required duties, salary, health and other applicable benefits, costs of tuition or fees that are required as a condition of employment (if any), tuition and fee waiver or exemption information, response requirements (if any), a statement that the position is covered by the Agreement between Rutgers University and the AAUP-AFT, the current collective agreement website address, and the Rutgers AAUP-AFT website.

Full-time PhD students who are paid a salary by Rutgers University to teach courses in a Rutgers University academic program during an academic year, and prior to the PhD student’s admission to candidacy, or through the completion of the fifth year of the doctoral program, whichever is sooner, shall be appointed as Teaching Assistants for such assignments.

TAs and GAs offered appointments must document their eligibility to work in the U.S. If the TA or GA holds an F-1 or J-1 visa, additional coordination with the appropriate campus office for international students and scholars may be required.

Full-time TAs and GAs are entitled to full tuition remission and fee waiver. Part-time TAs and GAs may be responsible for certain costs of tuition and fees as a condition of their employment. [Student Accounting and Financial Services](#) can provide further information regarding tuition and fees for TAs and GAs. Both full-time and part-time TAs and GAs are eligible for health and certain other benefits and must be enrolled in and continue in good standing in the school or graduate program. Specific information regarding benefits for full-time TAs and GAs can be found on the [University Human Resources student website](#).

Notification of Criteria

Academic departments that have employed TAs in each of the three previous semesters are required to give notice in writing of the departmental criteria for such appointments and reappointments. The statement of criteria should be included with all letters of appointment, reappointment and notice of waiting list status.

Notification of Status

Reappointment or Non-reappointment

Teaching and Graduate Assistants who are being reappointed for the coming academic or calendar year, or the fall semester only, should be sent an appropriately modified version of the Form A appointment letter and the consent Form B. The same letter and consent form must also be sent to all newly appointed TAs and GAs.

All other currently employed TAs and GAs must be sent Form C-1 or C-2 non-reappointment/waiting list letter. If an individual is not to be reappointed he or she must be provided with written explanation of the reasons for non-reappointment. The names of all TAs and GAs who receive notification of non-reappointment must be forwarded to the Office of Academic Labor Relations at the time such notification is given.

Waiting List

If a TA or GA is placed on the waiting list, notification shall indicate if reappointment is contingent upon the availability of funding, or meeting other previously established and announced criteria, or both. TAs and GAs with waiting list status shall also be notified of the number of TAs and GAs employed in the department in the **current** year and the number of appointments already offered in the department for the **coming** year.

Those students who are placed on waiting list shall be notified as soon as possible with respect to any changes in their status. If a student on a waiting list requests it in writing, he or she shall receive a second notification in writing on or before June 30 of the number of appointments already offered in the department for the coming year.

Should an assistantship become available for a student whose name is on the waiting list, he or she must be sent an appointment letter and the waiver (Forms A and B). Department chairs and program directors are encouraged to make full-time appointments to full-time graduate students, when appropriate.

Notification of Assignment

At the time they apply for a TA position, graduate students may indicate any preference they may have with respect to teaching assignments. At least four weeks prior to the beginning of the semester, Teaching Assistants who have primary responsibility for a section shall normally be notified of their teaching assignment. All other TAs and GAs shall be notified of their assignment at least 5 working days before the first day of classes. It is understood that unexpected circumstances may require modification of the assignment. If an assignment is changed substantially subsequent to notification, the TA or GA must be notified of the change in writing.

Workload

Although it is understood that weekly workload will fluctuate during the term of appointment, a TA or GA with a full-time appointment shall be required to work no more than an average of fifteen clock hours per week during the term of appointment on specifically assigned duties related to his/her appointment, excluding work associated with academic progress toward the degree. A TA or GA with less than a full-time appointment shall work a prorated portion of a full-time appointment on specifically assigned duties related to his/her appointment, excluding work associated with academic progress toward the degree. If at any time over the course of an appointment, a TA or GA reasonably believes that his or her specifically assigned duties routinely require hours that will cumulatively exceed the hours of effort required by the appointment percentage over its full term, he/she may raise the matter with the department chair, unit head, or appropriate graduate director. For more information regarding the workload of a TA or GA please refer to Article 12 of the [Agreement between Rutgers University and the AAUP-AFT](#).

Post-Doctoral Associates and Fellows

Appointment

There are two types of postdoctoral appointments: a Postdoctoral Fellow, which carries no employer/employee relationship with the University, and a Postdoctoral Associate, which is an employee of the university. The terms and conditions of each appointment are stated below.

Postdoctoral Fellow

Posting and/or advertising is not required for Postdoctoral Fellowships.

Postdoctoral Fellows are individuals holding a doctoral degree who are affiliated with Rutgers in order to continue their education, and they are receiving either an individual award or an institutional award:

- a. For individual awards, the individual must have been selected by a funding agency which specifically named him/her as the recipient of an individual training award which is transferrable to another institution.
- b. For institutional awards, the individual must have been selected by the University with the funding agency's concurrence.

Postdoctoral Fellows have no employee/employer relationship with the University. No services are required of postdoctoral fellows - either by Rutgers University or the funding agency - in exchange for this award; any benefit to Rutgers or the funding agency should be incidental to the purpose of continuing the Fellow's education. A Postdoctoral Fellow is usually appointed for periods not in excess of one year, but in no instance may an individual be appointed as a Postdoctoral Fellow for longer than three years.

An appointment to a Postdoctoral Fellowship requires the approval of the appropriate dean (for appointments within academic departments) or director (for appointments within research centers). The approving officer is responsible for ensuring that the requirements of such appointments (receipt of the doctoral degree, the amount of and appropriate distribution of the stipend, enrollment in the applicable health program) are fully met.

Special Note Regarding Dual Appointment: Certain Postdoctoral Fellows may be appointed as Rutgers employees under Payroll Type 7 or 8 while receiving their postdoctoral stipend, where not inconsistent with the terms set by their funding agencies. If there is a question regarding whether such type 7 or 8 appointment is permissible, please consult the Division of Grant and Contract Accounting and the regulations of the funding agency.

Postdoctoral Associate

A Postdoctoral Associate is an individual holding a doctoral degree who is employed by Rutgers University to perform research or scholarship, in continuation of his/her education, under the direction of a Principal Investigator (PI), in order to meet the research or scholarship goals established by the

Recruitment and Appointment

pertinent funding agency. The efforts of the Postdoctoral Associate must be certified to the funding agency.

An appointment as a Postdoctoral Associate requires the approval of the appropriate dean (for appointments within academic departments) or director (for appointments within research centers).

The approving officer is responsible for ensuring that the requirements of such appointments (receipt of the doctoral degree, the amount of and appropriate distribution of the salary, enrollment in the applicable health program) are fully met.

Postdoctoral Associates are usually appointed for periods not in excess of one year at a time for a total employment period of five years maximum. An extension beyond this period is permissible only if the dean/director and the campus Chancellor approve. The Postdoctoral Associate may not be affiliated with Rutgers as a Postdoctoral Fellow after the period of appointment.

Postdoctoral Associates are exempt ("NL") employees. Postdoctoral Associates are members of a negotiations unit that is governed by a [collective negotiations agreement](#) that sets forth certain terms and conditions of employment including salary and other benefits.

Special Note Regarding Dual Appointment: A Postdoctoral Associate may have a second appointment, but only as a Payroll Type 8, if the Postdoctoral Associate is teaching. Such appointment must be consistent with the regulations of the funding agency.

Visiting Faculty

There are two types of visiting appointments: visiting appointments with compensation, and visiting appointments without compensation.

Visiting Appointments With Compensation

Visiting appointments with compensation are typically for faculty who are affiliated with another institution - hence they are merely "visiting" Rutgers - but who are performing teaching or other compensable duties for Rutgers.

Visiting Appointments Without Compensation

Posting and/or advertising is not required for visiting faculty appointments without compensation.

Recruitment and Appointment

A visiting appointment without compensation, also sometimes referred to as a courtesy appointment, does not create an official employer/employee relationship because of the absence of remuneration. Typically, these appointments are utilized to memorialize an individual's affiliation with Rutgers notwithstanding a lack of compensation, such as faculty from other institutions who are here to collaborate with colleagues. In extraordinary circumstances, visiting appointments without compensation are also given to individuals who will perform otherwise-compensable teaching and related functions but who are prohibited from receiving compensation due to prevailing laws or regulations; **units must consult with Academic Labor Relations before effecting such courtesy arrangements.**

Visiting faculty appointments are not on the tenure track or within an NTT Title Series, and can be made at any faculty rank/title for a specified period, not to exceed one year at a time, and not to exceed two successive appointments. Any exceptions require the approval of the Executive Vice President for Academic Affairs. Visiting appointments may be made by the Chancellor in Newark and Camden, upon recommendation of the department, and the Dean. In New Brunswick, these appointments may be made by the Dean, upon recommendation of the department. The prefix "visiting" shall be used in front of the specific faculty rank of the appointment. A faculty member in a visiting position is not precluded from applying or being offered other University positions, including tenure-track appointments.

Appointment Letter

Visiting faculty should be given a letter memorializing the extent of the appointment. There should be no expectation of continued appointment beyond the appointment term, and thus the letter for visiting faculty should specifically state the fixed term of the appointment, the specific responsibilities of the position, and indicate that the letter also constitutes the requisite termination notice.

Additional Useful Information for Visiting Faculty Appointments

- Net ID: <https://netid.rutgers.edu/index.htm>
- Rutgers ID Card: <https://ipo.rutgers.edu/publicsafety/iam>
- Parking: <https://ipo.Rutgers.edu/dots>

Part-Time Lecturers

Part-time Lecturers (“PTLs”) are individuals who are appointed to teach or co-teach a full course (regardless of instructional modality) or a recitation section for a full semester or its equivalent and who only perform duties associated with that course.

There is no University policy that limits the number of courses a PTL should teach during a particular semester. However, if a PTL is regularly going to be teaching greater than a 2/2 course load AY, consideration should be given by the unit to giving a part time or full time NTT appointment to the individual.

Part-time Lecturers (“PTLs”) who are available for employment in a particular semester may submit a written notification of availability to the department in which they want to be employed. However, availability does not guarantee appointment. Departments should acknowledge receipt of such notification and compile a list of available PTLs for each course to which PTLs may be assigned. PTLs who have served at least ten semesters as a PTL at Rutgers University should be given priority in appointment over a PTL who has not served at least ten semesters, where the appointment meets the academic and fiscal needs of the department, program and/or unit. When financial constraints necessitate the appointment of a PTL with less than ten semesters of service as a PTL at Rutgers, rather than a PTL with at least ten semesters of such service, there must also be educational reasons to do so.

Recruitment and Advertisement

Departments must demonstrate a recruitment effort for PTL hires. Departments do not, however, have to post each individual vacancy. Instead, departments should utilize ROCS to place a general call for submission of CVs and cover letters from anyone interested in appointment as a PTL in that Department. Departments should post these general announcements once each semester.

Appointment Letter and Other Documentation

PTLs should be provided the following information in writing before the first day of class or, in the case of mitigating circumstances, as soon thereafter as is feasible: title, salary, department, the period for which the appointment is effective, course(s) assigned, approximate number of students which he/she expected to teach in the section for which he/she is hired, services associated only with the course(s), any training or orientation required by the University, the decanal unit and/or the department, and other items which the department, decanal unit or University deem necessary for a PTL to carry out her/his duties. A sample PTL appointment letter can be found under the Resources tab on the Office of Academic Labor Relations [website](#).

Recruitment and Appointment

Upon each appointment (and reappointment), PTLs must complete the Declaration Form, to be used by the department in conjunction with the Determination of Titles Worksheet in order to determine if the PTL is eligible for the negotiations unit that is subject to the [collective negotiations agreement](#) between Rutgers and the Part-Time Lecturer Faculty Chapter Rutgers Council of the AAUP Chapters.

Winter/Summer Session Instructors

Winter/Summer Session Instructors (“WSIs”) are employees engaged in paid instruction during the Winter Session or Summer Session term. Winter Session term and Summer Session term are those separately budgeted terms during which courses are offered in the interval between the Fall and Spring Semesters (Winter Session) and between the Spring and Fall Semesters (Summer Session).

For information regarding the appointment of Winter or Summer Session Instructors please contact the office of Winter/Summer Session on your campus.

Camden:

Summer Session Office
(856) 225-6098
summercm@camden.rutgers.edu
<http://summer.camden.rutgers.edu>

Newark:

Office of Summer and Winter Sessions
(973) 353-5112
summersession@newark.rutgers.edu
<http://summer.newark.rutgers.edu>

New Brunswick:

Summer and Winter Sessions
(848) 932-7565 <https://wintersession.rutgers.edu/>
winter@docs.rutgers.edu

<http://summersession.rutgers.edu>
summer@docs.rutgers.edu

Coadjutants

Coadjutant titles are a subset of Class 8 classifications. **Coadjutant titles are only to be used in very limited circumstances.** Units should consult University Human Resources Compensation/Classification Services or the Office of Academic Labor Relations for specific guidance on the specific Coadjutant titles that are available and when their selection is appropriate.

Departments must demonstrate recruitment efforts for coadjutant hires and post the advertisement in ROCS. For certain coadjutant hires – i.e. appointments of Class 1 employees with a 50% or more appointment who also teach during the Fall or Spring semester – that effort may be satisfied if the department placed a general call for submission of applications (i.e. CVs and/or cover letters) from anyone interested in appointment as a PTL, and the chosen individual happens to be a Class 1 employee with a 50% or more appointment. For other coadjutant appointments the department must be able to point to a posting or the general call for submissions that led to the identification and appointment of the individual(s).

SECTION II – REAPPOINTMENT AND PROMOTION

Tenured and Tenure-Track Faculty

Promotion to and Within the Tenured Ranks – Non-Library²

Promotions to the tenured titles of Distinguished Professor, Professor I and/or Associate Professor (or their tenured equivalents) are granted by the Board of Governors upon conclusion of a review process that entails recommendations by the department, the dean, the Advisory Committee on Appointments and Promotions, the Promotion Review Committee and the President. Promotion reviews do not proceed to the Promotion Review Committee or higher levels of review when both the departmental recommendation and the dean's recommendation are negative ("double negative") unless the promotion is being reviewed pursuant to rank review. Rank review is when a tenured faculty member has been in the same rank for six years and has not been evaluated for at least four years and he/she has requested of the department chair that he/she be evaluated for promotion.

Completed recommendations for promotion with tenure are due in the Office of the Executive Vice President for Academic Affairs no later than November 1 of each year; completed recommendations for promotion within the tenured ranks are due no later than December 1 of each year.

The initiating department has the specific responsibility to meet in appropriate peer groups to evaluate a candidate for reappointment and/or promotion. That is, tenured members at the ranks of Associate Professor, Professor or Distinguished 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 ranks of Professor or Distinguished Professor (or their equivalents) shall meet to evaluate candidates for promotion to Professor or equivalent. Only tenured members at the rank of Distinguished Professors or equivalent shall evaluate candidates for promotion to Distinguished Professor or equivalent. The only exception to these provisions is that the chair of the department will participate in all promotion deliberations in the department and will be responsible for completing the evaluation forms in consultation with the

² Detailed governing instructions and procedures for promotion and all applicable forms are set forth in the [Academic Reappointment/Promotion Instructions](#) ("ARPI"). The content below, based on the ARPI, is for informational purposes only. In the event of a discrepancy, or where this Manual is silent, the ARPI prevails.

Reappointment and Promotion

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.

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. 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 the ARPI. 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.

The department chair has additional responsibilities as 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.

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.

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. While not required, a reading committee report is helpful to levels of review that may not be familiar with the discipline, sub-discipline, or specialization of the candidate. The function of a reading committee is to review the candidate's scholarly work

Reappointment and Promotion

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. 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 accurately reflect 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 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 candidates partially budgeted to or affiliated with other departments, Separately Budgeted Research (SBR) units or degree granting programs, the chair shall follow the process as set forth in the [Academic Reappointment/Promotion Instructions](#).

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

Reappointment and Promotion

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 the [Academic Reappointment/Promotion Instructions](#).

Provision of the Instructions:

It is the responsibility of the department chair to provide a copy of the current [Academic Reappointment/Promotion 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.

Responsibilities of the Advisory Committee on Appointments and Promotions

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 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 not participate in the Committee review of candidates from their own department; instead, such members of the committee shall participate in the review 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. A&P Committee members must be at or above the rank for which candidates are to be considered for reappointment or promotion. Only those committee members who are physically present at the A&P meeting in which the candidate is considered shall participate in the review of the candidate.

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. The dean shall have primary responsibility for ensuring the quality and the rigor of evaluations in his or her unit.

Reappointment and Promotion

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.

Subsequent to 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. 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. If a dean intends to make a recommendation different from that of the department, the dean must meet with the department chair to discuss the matter prior to completing his or her recommendation. The dean will include the written advice of the Advisory Committee on Appointments and Promotions as an attachment to the his/her recommendation.

When the reappointment/promotion evaluations have been completed as described above, the dean shall forward the packet to the office of the campus Chancellor. However, 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 reviewed pursuant to "rank review".

Responsibilities of the Promotion Review Committee

The function of the Promotion Review Committee is to advise the President from a University-wide perspective on appointments, reappointments and/or promotions involving the tenured ranks. The responsibility of the Committee is to examine the evidence in each case in relation to the criteria for evaluation established by Rutgers Policy [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 of accomplishment and impact on the field have been presented 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

Reappointment and Promotion

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 that is 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.

Responsibilities of the President and the Board of Governors

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 considers all available information in reaching its own final decision.

Notification of Final Action

Recommendations for promotion and/or tenure are not final until approved by the Board of Governors. Any announcement prior to the Board's decision is premature and must be avoided.

The dean of the unit will be notified of the decisions on appointments, reappointments or promotions involving the tenured ranks following the Board of Governors actions. Deans may notify candidates informally in the case of a positive action; formal notification from the President directly to the candidate will follow in such instance. In the case of a negative action, deans are responsible for notification to candidates. In double negative 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 the final decision by the dean - excluding rank review cases that nonetheless proceed to the PRC. For all unsuccessful candidacies, the notification shall include an invitation to meet with the dean or director.

Promotion to and Within the Tenured Ranks - Library³

Tenure criteria for the faculty Librarians at Rutgers University's three campuses are equivalent to teaching faculty, requiring outside peer evaluations and review by the Promotion Review Committee and the Board of Governors. Librarians are evaluated on librarianship, service, and research. Promotions to the tenured titles of Librarian II, I, and Distinguished Professor (Library Faculty) are granted by the Board of Governors on recommendation of the applicable unit personnel committee, the unit director, the Library Advisory Committee on Appointments and Promotions, the Vice President of Information Services and University Librarian, the Promotion Review Committee and the President. Promotion reviews do not proceed to the Promotion Review Committee or higher levels of review when the unit's recommendation, the unit director's recommendation and the Vice President for Information Services and University Librarian's recommendation are negative ("triple negative") unless the promotion is being reviewed pursuant to rank review. Rank review is when a tenured member of the library faculty has been in the same rank for six years and has not been evaluated for at least four years and he/she has requested that he/she be evaluated for promotion. 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-L constitutes an evaluation for purposes of determining the four year period.

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

In units having fewer than six tenured librarians at or above the rank for which candidates are to be considered for reappointment or promotion, the University Librarian shall appoint an appropriate number of tenured librarians from other Library units or knowledgeable faculty members from other units of the University, to act as ad hoc members of the unit for the purpose of obtaining and reviewing documented evidence of the candidates' professional qualifications. Such ad hoc unit members, together with any tenured member of the unit of

³ Detailed governing instructions and procedures for promotion and all applicable forms can be accessed in the [Academic Reappointment/Promotion Instructions](#). The content below, based on the ARPI, is for informational purposes only. In the event of a discrepancy, the ARPI prevails.

Reappointment and Promotion

appropriate rank, shall total not fewer than six persons. In selecting the ad hoc members, the University Librarian shall consult with the director of the unit. In instances in which the majority of the unit members are ad hoc, such members may wish to meet with the candidates before making their recommendations.

Responsibilities of the Initiating Unit

The library or service units have the specific responsibility to meet in appropriate peer groups to evaluate the candidate for reappointment and/or promotion: tenured members at the rank of Librarian II, Librarian I or Distinguished Professor shall meet to evaluate candidates for promotion to the rank of Librarian II; only tenured members at the rank of Librarian I or Distinguished Professor shall meet to evaluate candidates for promotion to Librarian I. Only Distinguished Professors shall evaluate candidates for that rank. Library and library service units will conduct evaluations of candidates in peer groups as specified below.

It is the responsibility of the appropriate peer group to arrive by vote at a recommendation with respect to each candidate. A positive unit 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 unit shall be recorded as a negative recommendation. Only those librarians who attend the meetings in which the candidate is considered are to be accorded a vote; a vote by an absent librarian is not permitted under any circumstances.

Responsibilities of the Unit Director

The unit director is responsible for ensuring that a thorough, rigorous and appropriately informed process of evaluation takes place for each candidate. The unit director 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 library faculty.

The unit director shall notify the appropriate peer group that there will be candidates for reappointment or promotion and shall schedule the initial meeting at which an ad hoc chair will be elected. Upon receipt of the peer group's recommendation, the unit director shall prepare a narrative summary of his or her recommendation which will be forwarded to the University Librarian. If, however, the unit director intends to make a recommendation different from that of the peer group, the unit director will meet with the ad hoc chair to discuss the matter prior to completing the recommendation. Other specific responsibilities of the unit director 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 within the [Academic Reappointment/Promotion Instructions](#).

Reappointment and Promotion

The unit director has additional responsibilities in regard to the matters set forth below:

Applicable Criteria - Form 2

The unit director shall complete and sign Form 2 which specifies the criteria applicable to the candidate, and obtain the signature of the candidate.

Reading Committee

The unit director, in consultation with tenured librarians of the unit, shall determine whether there should be a reading committee and who should be appointed to it. The process by which tenured librarians of the unit are consulted is within the unit director's discretion. Whichever approach with respect to the utilization of a reading committee a unit determines to follow shall apply to all candidates in that unit who are being reviewed for reappointment or promotion in that year.

The reading committee report, if there is one, may be either (1) confidential for the sole information of the unit, or (2) an attachment to the peer group 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 unit's consideration. The reading committee shall not make a recommendation on the reappointment or promotion.

Candidates Affiliated with More than One Library Unit or with a Library Unit and a University Department, SBR Unit or Degree-Granting Program

The unit director has the responsibility to implement the procedures set forth in the [Academic Reappointment/Promotion Instructions](#).

Unit Representative

The candidate's unit director shall serve as the representative of the unit in communications with the Library Advisory Committee on Appointments and Promotions and with the University Librarian.

Distribution of Packet

Subsequent to completion of the unit director's report, the candidate's unit director shall forward the original and two copies of the packet to the University Librarian.

Responsibilities of the Ad Hoc Chair

When there are candidates for appointment, reappointment or promotion the unit director shall schedule the initial meeting of the appropriate peer group, and at that meeting, an ad hoc chair will be elected to conduct the deliberations and to prepare the peer group's report. Once elected, the ad hoc chair shall serve for all reappointment and promotion actions appropriate to his or her rank. The ad hoc

Reappointment and Promotion

chair shall forward the completed Form 4 to the unit director. The ad hoc chair has additional responsibilities as set forth below:

Peer Group Evaluation

The ad hoc chair has the responsibility to encourage as open and complete a discussion of the candidates as possible. The ad hoc chair should be a vigorous participant in such discussions, sharing his or her views with colleagues and providing them with an opportunity to respond. Only those librarians who attend the meetings in which the candidate is considered are to be accorded a vote; a vote by an absent librarian is not permitted under any circumstances.

Peer Group Report

The ad hoc chair has the responsibility to draft the peer group report, reflecting both majority and minority views if there is a division, describing the candidate's contribution to collaborative efforts and adding any explanatory commentary the ad hoc chair deems necessary for later levels to understand the unit 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-L. The ad hoc chair shall provide to all participants in the unit evaluation the opportunity to review the final report prior to its submission. In the case of fellows, the collegiate dean's evaluation shall be attached to the unit report by the ad hoc chair. In the case of candidates affiliated with more than one library unit or with a library unit and a University department, SBR unit or degree-granting program, the ad hoc chair shall attach the appropriate evaluation, as described in section S of the [Academic Reappointment/Promotion Instructions](#), to the peer group report.

Notification to Candidate of Peer Group's Action

It is the responsibility of the ad hoc chair to notify the candidate, in writing, of the recommendation of the peer group within five working days after the peer group has met and voted on its recommendation.

Responsibilities of the Advisory Committee on Appointments and Promotions

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

Reappointment and Promotion

The Library Advisory Committee on Appointments and Promotions shall meet with the University Librarian 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 University Librarian, explaining its recommendations. The memorandum shall include the names of all members of the Library A&P Committee. Members of the Committee shall not participate in the Committee review of candidates from their own unit; instead, such members of the committee shall participate in the review at the unit level and shall not participate in any manner in the consideration of those candidates by the Library 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. Only those committee members who are physically present at the A&P meeting in which the candidate is considered shall participate in the review of the candidate.

Responsibilities of the University Librarian

It is the responsibility of the University Librarian to ensure that a thorough, rigorous and appropriately informed process of evaluation takes place for each candidate. Following the recommendations of the unit, the unit director and the Library Advisory Committee on Appointments and Promotions, the University Librarian shall make his/her independent recommendation and report it on the University Librarian's Recommendation Form (No. 6). All pertinent information on a particular candidate must be considered, and the University Librarian shall provide specific justification based on the record for his/her recommendation. The University Librarian shall have primary responsibility for ensuring the quality and the rigor of evaluations in the University Library. However, if the University Librarian intends to make a recommendation different from that of the unit director, the University Librarian will meet with the unit director to discuss the matter prior to completing his or her recommendation (Form 6). The University Librarian will include the written advice of the Library Advisory Committee on Appointments and Promotions as an attachment to the University Librarian's recommendation. In those instances where neither the unit nor the unit director has recommended the candidate, the packet is not forwarded to the PRC unless the candidacy is being evaluated pursuant to rank review.

When the personnel actions involving tenure decisions or promotion within the tenured ranks have been completed as described above, the University Librarian shall forward the packet to the Office of the Executive Vice President for Academic Affairs. The packet shall include the following completed documents: Forms 1-L (or II-L), 2, 3, 4, 5, and 6.

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/or promotions involving the tenured ranks.

Reappointment and Promotion

The responsibility of the Committee is to examine the evidence in each case in relation to the criteria for evaluation established by Rutgers Policy [60.5.14](#) and to assure the President that the prior process of judgment and peer review in the Library 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 of accomplishment and impact on the field have been presented to support these judgments, and that the University Librarian 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 submitted record 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 the University Librarian's recommendation, the Committee will provide an opportunity for the University Librarian 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 that is 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.

Responsibilities of The President and the Board of Governors

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.

Notification of Final Action:

The University Librarian will be notified of the individual decisions on appointments, reappointments and promotions involving the tenured ranks following the Board of Governors' actions. The University Librarian may then notify candidates informally in the case of a positive action; formal notification from the President directly to the candidate will follow in such instance. In the

Reappointment and Promotion

case of a negative action, the University Librarian is responsible for notification to candidates. In double negative cases, the candidate will be notified in writing by the University Librarian of the final decision in the particular personnel action within ten (10) days of the final decision by the University Librarian - excluding rank review cases that nonetheless proceed to the PRC. For all unsuccessful candidacies, the notification shall include an invitation to meet with the University Librarian.

Reappointment with Tenure

Reappointment with Tenure refers to the evaluation for reappointment, but with tenure, of individuals holding an untenured appointment in the tenured ranks. Such reappointments (both Library and non-Library titles) are governed by the applicable Academic Reappointment/Promotion Instructions.

Reappointment: Third Year Review - Library and Non-Library tenure-track titles

Third year reviews are conducted by the units to not only serve as the basis for a decision concerning a renewal of the appointment for an additional period of time, but also to provide the faculty member with an informed evaluation of her/his teaching, scholarship and service (or librarianship, scholarship and service, in the case of Library titles) and advice in regard to his/her focus for the next appointment period.

Non-Library: Third year reviews are to be undertaken by the Chair of each department and a departmental committee comprising the tenured faculty in the department. The third year review should cover all aspects of the faculty member's performance that would be considered during the tenure process. The department submits their recommendations to the Dean or to the Chancellor (in Newark or Camden). The Dean or Chancellor makes the final determination on the third year reappointment.

Library: Third year reviews are to be undertaken by the Director of each unit and a committee comprising the tenured faculty in the unit. The third year review should cover all aspects of the faculty member's performance that would be considered during the tenure process. The unit submits its recommendations to the University librarian. The University Librarian makes the final determination on the third year reappointment.

Reappointment and Promotion

The third year review of faculty members shall be conducted consistent with the applicable annual Academic Reappointment/Promotion Instructions. That is, the appropriate forms and steps as indicated shall apply. The faculty member will be asked to submit material relating to teaching, scholarship and service (or librarianship, scholarship and service in the case of Library titles) to the department/library unit, as prescribed by Rutgers Policy [60.5.14](#). A notice of the review's outcome must be provided in writing to the faculty member within the time frames specified by the Instructions.

Post-tenure Review

Rutgers Policy [60.5.6](#) calls for deans or directors of academic and library units to undertake reviews of each tenured faculty member at five year intervals and specifies that the results of the reviews should be communicated to the faculty member and placed in his or her official faculty personnel file.

Post-tenure review should be a positive device used to encourage all members of the University community to continue their professional growth and thereby strengthen their contribution to the University's mission of instruction, research, and service. The review process is an opportunity to enhance each faculty member's professional development, improve department and school effectiveness and efficiency, and contribute to institutional accountability.

Given the rigor of the evaluation which occurs in promotions to and within tenured positions, the aim of post-tenure reviews is not to reexamine the scholarly or academic merits of the individual faculty member. Instead, the purposes of the post-tenure review are to provide an opportunity for the individual faculty member and department chair to review and discuss the individual faculty member's recent academic interests and accomplishments and to determine ways in which the best match can be found between the current interests of the faculty member and the research, teaching, and service needs of the department and college or school. Accordingly, all faculty members who have been evaluated in connection with post-tenure promotions in rank (generally to Professor I or Professor II) shall be regarded as having met the once-every-five-years requirement. Only faculty members who have not been reviewed for this purpose within a five-year period shall complete a separate post-tenure review.

Periodic appraisals of the alignment between the needs of the department and the changing rhythms and shifting scholarly/academic interests of each faculty member provide them and the University with an opportunity to make constructive suggestions that are in the best interest of both. A reappointment and promotion review process that results in tenured appointments for only the very best faculty members, when combined with a post-tenure review process that optimizes the fit between faculty interests and University needs over the

Reappointment and Promotion

career of each faculty member, are a combination that promises to lead to greater faculty satisfaction, productivity, and morale.

With respect to the issue of recourse for individual faculty members who believe they have been done a disservice through post-tenure review, Article 9, Category 2 of the Agreement between the University and the AAUP-AFT shall serve as the grievance vehicle.

Deans and Department Chairs are responsible to ensure a post-tenure review is accomplished for all eligible faculty members.

Please refer to Rutgers Policy [60.5.6](#) for detailed information regarding post-tenure review procedure.

Non-Library Titles

It is the duty of the dean or director of each academic unit to solicit from each department chair a report indicating that a thorough review of each tenured faculty member has been undertaken at intervals of five years for each such faculty member, that its results have been communicated verbally and in writing to the faculty member concerned, and that a copy has been placed in his or her personnel file. In cases in which the dean or the department chair deems it advisable, the reports shall be available to the dean for reference. The implementation of this review shall be in accord with Rutgers Policy [60.5.6](#) "Required Reviews of Tenure-Track Faculty and Required Post-Tenure Reviews and Procedures for Tenured Faculty."

By September 1 each dean shall determine the list of tenured faculty members in the unit whose work has not been evaluated for promotion during the past five years and who are therefore eligible during the coming academic year for post-tenure review.

By September 15, the dean shall forward to the appropriate chairs a list of the faculty members in his or her department who are eligible for review. No later than October 1 of each year, each tenured faculty member shall be directed to review the statement of research, teaching and service needs of the department as set forth in the department's self-study, external departmental review, or any other appropriate document.

Faculty members who are on leave during a year in which they are identified as being eligible for a post-tenure review shall have the review deferred until their return from leave, or, at the discretion of the chair, upon request of the faculty member, may have the post-tenure review in the year prior to the leave. In the case of faculty members who are to be considered for promotion during the same year in which they are identified as being eligible for post-tenure review, the promotion evaluation shall take precedence and the post-tenure review will not be necessary for another five years.

Reappointment and Promotion

Each faculty member eligible for post-tenure review shall be notified by October 1 that the review is to take place. At that time he or she shall be provided with a copy of the current post-tenure review procedure and the date of the review. The date of the review shall not be sooner than 45 days following this notice.

The post-tenure review shall take place in a meeting between the faculty member and the department chair or, in units where there is no chair, the appropriate unit director or dean. When a department chair is due for a review, the review shall be conducted by the dean. Given the purposes of the post-tenure reviews, they will not require any other faculty or administrative participation.

The faculty member scheduled for review shall provide the chair with a current curriculum vitae, and outline of a five year plan setting forth the faculty member's goals for teaching, scholarship and service (use applicable criteria) and any other information (e.g., description of work in progress, activities scheduled for the year) that the faculty member would like to bring to the chair's attention.

The faculty member and chair shall review the faculty member's current and planned scholarship, teaching, and service interests and accomplishments, and examine their relationship to current departmental needs. When the interests and academic activities of the faculty member correspond with needs of the department, no changes are called for. When a gap between departmental need and individual faculty member interests is identified, the chair and the faculty member shall explore possible changes, so that the faculty member's strengths and interests can better serve the needs of the department and college.

The chair shall prepare a memorandum summarizing the review. The chair shall provide the faculty member with a copy of the summary memorandum. The faculty member may respond within 15 working days from the date of the memorandum. After 20 working days from the date of the memorandum, the department chair shall forward the memorandum to the appropriate dean, along with the faculty member's response, if any has been received, both of which will be placed in the faculty member's personnel file.

At the end of each academic year the chair shall provide his or her dean with a summary of the post-tenure reviews conducted within the department, and each dean shall similarly provide the chancellor with a unit-wide summary.

Library Titles

By September 1 the University Librarian shall determine the list of tenured faculty members in the unit whose work has not been evaluated for promotion during the past five years and who are therefore eligible during the coming academic year for post-tenure review.

By September 15, the University Librarian shall forward to the appropriate unit director a list of the faculty members in his or her unit who are eligible for review.

Reappointment and Promotion

Faculty members who are on leave during a year in which they are identified as being eligible for a post-tenure review shall have the review deferred until their return from leave, or, at the discretion of the unit director, upon request of the faculty member, may have the post-tenure review in the year prior to the leave. In the case of faculty members who are to be considered for promotion during the same year in which they are identified as being eligible for post-tenure review, the promotion evaluation shall take precedence and the post-tenure review will not be necessary for another five years.

Each faculty member eligible for post-tenure review shall be notified by October 1 that the review is to take place. At that time he or she shall be provided with a copy of the current post-tenure review procedure and the date of the review. The date of the review shall not be sooner than 45 days following this notice. At the time of the notice, each tenured faculty member scheduled for review shall be directed to review the Libraries' long range plan, updates to that plan, the mission and goals statement of the unit, and the campus long-range plans, as well as any other appropriate planning documents.

The post-tenure reviews shall take place in a meeting between the faculty member and the unit director and a committee of at least two tenured members of the unit, with the size and makeup of the committee to be determined by the tenured members of the unit. In instances where there is an insufficient number of tenured members at the unit to act in a particular review, the unit director and the tenured members may agree to have tenured members of other library faculty units seconded to the unit faculty for this purpose.

The faculty members scheduled for review shall provide the unit director and the faculty committee with a current CV, an outline of a five-year plan setting forth the faculty member's goals for librarianship, scholarship, and service and any other information (e.g. description of work in progress, activities scheduled for the year) that the faculty member would like to bring to the unit director and the faculty committee's attention.

The faculty member and the unit director and the faculty committee shall review the faculty member's current and planned librarianship, scholarship and service interests and accomplishments, and examine their relationship to current unit needs. When the interests and academic activities of the faculty member correspond with needs of the unit, no changes are called for. When a gap between unit need and individual faculty member interests is identified, the unit director, the faculty committee, and the faculty member shall explore possible changes, so that the faculty member's strengths and interests can better serve the needs of the unit and the libraries. The review may not be used to abrogate in any way the academic freedom of the faculty member.

The unit director, in consultation with the faculty committee, shall prepare a memorandum summarizing the review. The unit director shall provide the faculty

Reappointment and Promotion

member with a copy of the summary memorandum. The faculty member may respond within 15 working days from the date of the memorandum. After 20 working days from the date of the memorandum, the unit director shall forward the memorandum to the University Librarian, along with the faculty member's response, if any has been received, both of which will be placed in the faculty member's official personnel file.

At the end of each academic year, the unit director shall provide the University Librarian with a summary of the post-tenure reviews conducted within the unit, and the University Librarian shall similarly provide the University Vice President for Academic Affairs with a libraries-wide summary.

Annual Review – Tenure-Track Faculty

It is the duty of the dean or director of each academic unit (or the University Librarian) to solicit annually from each department chair (or unit director) a report indicating that a thorough review of each nontenured faculty member of the department has been undertaken, that its results have been communicated verbally and in writing to the faculty member concerned, and that a copy has been placed in his or her departmental personnel file.

Non-Tenure Track Faculty

Reappointment and Promotion – NTT Titles

This section applies to all NTT titles regardless of funding source. Reappointment⁴ is subject to a continuing need for the position, adequate funding for the position, a positive formal evaluation by the department, and approval by the dean.

There are two methods of evaluation for reappointment, depending on the intended goal of the evaluation.

- **Reappointment to the same rank:** For such evaluation, departments should use the Short Form. The short form calls for evaluations to be conducted by the department and principal investigator (if applicable), the chair/director, and the dean. A small standing departmental personnel committee, or an *ad hoc* advisory committee, may act in the place of the entire department. The criteria for evaluation shall be established in accordance with 60.5.14.

⁴ Other than Lecturer

Reappointment and Promotion

- **Promotion to the rank of Assistant Professor:** For such evaluation, departments may use either the Short Form or the applicable long form, i.e. the *Academic Promotion Instructions for Non-Tenure Track Faculty* or the *Academic Promotion Instructions for Non-Tenure Track University Library Faculty*, so long as the same form is used with respect to all candidates at that rank in that year. A small standing departmental personnel committee, or an ad hoc advisory committee, may act in the place of the entire department. The criteria for evaluation shall be established and applied in accordance with 60.5.14.
- **Promotion to the rank of Associate Professor or above:** For such evaluation, departments must use the forms and procedures set forth in the applicable long form instructions, i.e. the *Academic Promotion Instructions for Non-Tenure Track Faculty* or the *Academic Promotion Instructions for Non-Tenure Track University Library Faculty*

It is recommended that the review commence sufficiently in advance of the required date of notification of non-reappointment in order to comply accordingly. **The reappointment notification deadlines are: four months' notice for individuals in the first year of employment; seven months' notice for individuals in the second year of employment as a member of the faculty; and twelve months' for all others.** In addition, it is essential that the academic evaluation be conducted even if the need or funding for the position has not yet been determined. When an individual has received a positive evaluation, but the need or funding for the position has not yet been established, the unit must provide the individual with a clear and unequivocal notice of non-reappointment in accordance with the notification schedule. If, at a later date, the need and funding for the position is established, an offer of a new appointment may be made at that time. If the need or funding does not develop, no reappointment will occur, regardless of the outcome of the evaluation.

Reappointment- TAs and GAs

Teaching Assistants and Graduate Assistants who are currently appointed should be notified by the academic unit in writing of their status for the upcoming academic year on or before April 30 for fall semester appointments and October 31 for spring semester appointments. This notification will either reappoint, non-reappoint or inform the TA or GA that they are on the waiting list. It should be stated within the reappointment letters that reappointment is contingent upon the availability of funding or the meeting of other previously established and announced criteria. A graduate student who is placed on a waiting list should be

Reappointment and Promotion

notified by the academic unit as soon as possible of a change in his/her status. The graduate student may request to receive a second notification in writing from the department on or before June 30 of the number of appointments already offered in the department for the coming year.

Notification of Criteria for Reappointment

Academic departments that have employed Teaching Assistants and Graduate Assistants in each of the previous three semesters shall provide notice in writing of the departmental criteria for such appointments or reappointments. Individual contract letters shall be issued to Teaching Assistants and Graduate Assistants upon appointment and reappointment and, where written criteria for appointment or reappointment exist, they shall be included with the appointment letter.

The letter offering reappointment will include the following information, to the extent known at the time of the appointment letter:

- Appointment title
- Appointment ratio
- Effective dates and duration of appointment
- Hiring unit
- Hiring unit contact
- A summary of the nature of required duties
- Salary
- Health and other applicable benefits
- Costs of tuition or fees that are required as a condition of employment, if any
- Tuition and fee waiver or exemption information
- Response requirements, if any
- A statement that the position is covered by this collective agreement
- The current collective agreement website address
- The address of the Rutgers AAUP-AFT's website

Waiting List

Currently employed TAs and GAs must be notified in writing of their status for the coming year on or before April 30. Those TAs and GAs appointed only for the fall semester must be notified on or before October 31 of their status for the spring semester.

If currently a employed TA or GA's status is on the waiting list, they must be sent the either [Form C-1 or C-2](#) non-reappointment/waiting list letter. The notification shall indicate if reappointment is contingent upon the availability of funding, or meeting other previously established and announced criteria, or both. TAs and GAs with waiting list status shall also be notified of the number of TAs and GAs employed in the department in the current year and the number of appointments already offered in the department for the coming year.

Reappointment and Promotion

Those students who are placed on waiting list shall be notified as soon as possible with respect to any changes in their status. If a student on a waiting list requests it in writing, he or she shall receive a second notification in writing on or before June 30 of the number of appointments already offered in the department for the coming year.

Should an assistantship become available for a student whose name is on the waiting list he or she must be sent an appointment letter and the waiver (Forms [A](#) and [B](#).)

SECTION III – TERMINATION AND NON-REAPPOINTMENT

Terminations

The recommendation for dismissal or demotion of a tenured or tenure-track faculty member prior to the completion of his/her contract is made to the President through the Executive Vice President for Academic Affairs or the appropriate Chancellor, by Deans of colleges and schools with the advice of the faculty Committee on Appointments and Promotions and with the advice of the tenured faculty at or above the particular rank in the faculty member's department. Grounds for such dismissal are: 1) that the faculty member has failed to maintain standards of sound scholarship and competent teaching; 2) gross neglect of established University obligations appropriate to the appointment; or 3) incompetence, incapacitation, or conviction of a crime involving moral turpitude. For detailed procedural information relating to such terminations, consult Rutgers Policy [60.5.1](#).

A non-tenure track faculty member may only be removed from his or her position for reasons related to performance, conduct or other just cause. This does not apply to situations where a grant-funded position is terminated prematurely due to a reduction or cessation of funding. If the University determines to terminate an NTT faculty member during the term of the faculty member's appointment, the University shall provide the faculty member with a written statement of the reasons therefor, and afford the faculty member the opportunity to respond. For detailed procedural information relating to such terminations, consult the Office of Academic Labor Relations.

Non-reappointment

Regardless of funding source, faculty holding appointment of one year or more must be given notice of non-reappointment or of intention not to recommend reappointment as follows:

- four months prior to the expiration of the first year of academic service;
- seven months prior to the expiration of the second year of academic service;
- twelve months prior to the expiration of the appointment in all other cases.

Termination and Non-Reappointment

If notice is not timely given, the contract will automatically be extended for a six-month period.⁵

Notice of non-reappointment should be in writing from the appropriate department chair or dean. A template non-reappointment letter is available through the [Resources](#) tab on the Office of Academic Labor Relations website. A copy of all notices of non-reappointment shall be sent to the Office of Academic Labor Relations.

⁵ The notice and automatic six-month extension are not applicable if a grant-funded NTT faculty member is released during the term of a contract because funding has ended or is reduced during the term of the appointment.

SECTION IV - LEAVES

There are several different types of leaves of absence for faculty as provided by either University program or policy, applicable law or the collective agreement between Rutgers and the AAUP-AFT.

Sabbatical Leave

The Sabbatical Leave Program provides one- and two-semester leaves to eligible faculty members to undertake projects of academic significance to themselves, their departments and units. Sabbatical leaves may be granted to provide members of the faculty an opportunity to engage in an intensive program of research and/or study, thus enhancing their effectiveness to the University as a teacher and scholar. Sabbaticals and eligibility therefor are as follows:

- One-semester leave at 80% salary: three years (six semesters) of full-time service at the rank of Instructor (or equivalent) or above
- One-semester leave at 100% salary: six years (twelve semesters) of full-time service at the rank of Instructor (or equivalent) or above
 - **Special Note for Tenure-Track Assistant Professors:** the service requirement is three years (six semesters) of full-time service at the rank of Instructor (or equivalent) or above
- Two-semester leave at 80% salary: six years (twelve semesters) of full-time service at the rank of Instructor (or equivalent) or above

Individuals in the last year of the probationary period, or in a terminal year, are not eligible for a sabbatical leave.

For detailed program information please refer to the Sabbatical Leave Application and Instructions under the [Resources](#) tab on the Office of Academic Labor Relations website.

Competitive Fellowship Leave

The Competitive Fellowship Leave (CFL) program allows eligible faculty members the opportunity to take advantage of fellowship offers made through prestigious and highly competitive national and international programs e.g. Fulbright, Guggenheim, Mellon, Social Science Research Council, American Council of Learned Societies, without major financial detriment. Faculty members should ordinarily not be called upon to make major financial sacrifices

Leaves

in order to accept competitive fellowships; thus, every effort should be made to maintain faculty members' total income during the period of their fellowships.

It is expected that faculty members granted Competitive Fellowship Leaves will resume their duties at the University upon their return for not less than the period of their leaves. Additionally, the period of the leave from the University for a Competitive Fellowship Leave will be counted toward the faculty member's eligibility for consideration for the Sabbatical Leave Program in subsequent years. However, the length of a continuous leave of absence from the University for any and all reasons and on the basis of any and all combinations of leave programs is ordinarily limited to two successive academic years.

On the Camden and Newark campuses, a faculty member's request for a Competitive Fellowship Leave must be approved by the individual's department chair, dean or academic director, and Chancellor, who has final approval of CFL applications on those campuses. In New Brunswick, individual requests must be approved by the faculty member's department chair, academic director if appropriate, and academic dean, who has final approval of CFL applications in New Brunswick units. All requests will be subject to the University's fiscal situation in any given year.

For detailed program information please refer to the Competitive Fellowship Leave Program Guidelines, Agreement, and Authorization Form under the [Resources](#) tab on the Office of Academic Labor Relations website.

Family and Medical Leaves

Faculty may require leaves due to various familial and/or medical necessities. Faculty should notify University Human Resources of a request for such leave so that the University can make a determination as to eligibility for any applicable leaves pursuant to Rutgers Policy or prevailing collective agreements.

Leaves of Absence Without Pay

Article 17 of the Agreement between Rutgers and the AAUP-AFT provides for a leave of absence without pay in certain circumstances. Specifically, leaves of absence without pay are available for the purpose of professional development, personal convenience, or completion of a terminal degree. Such leaves may be for a period up to two consecutive years. The granting of a leave of absence without pay to members of the faculty is subject to the needs of the academic program and requires the approval of the department chairperson and the dean. Such approval may not be unreasonably withheld, and a written statement of the

Leaves

reasons for withholding approval shall be given to the faculty member upon request within ten working days of that request.

A request for a leave of absence without pay shall normally be made one year in advance and will specify the requested dates of the commencement and termination of the leave. The date for the commencement and termination of such leave shall be at the discretion of the University, but normally such leave shall commence on July 1 or on January 1 and shall terminate on December 31 or June 30.

A faculty member who has been on a leave shall receive on return any salary improvements he/she would have received had he/she been serving at Rutgers during the leave period. Normal University policy regarding benefits during a period of leave without pay shall apply. The University shall provide to faculty members who are beginning a leave of absence without pay the forms and instructions necessary to re-enrolling in those benefit plans for which they are eligible upon their return to paid employment.

In certain circumstances, a faculty member who takes a leave of absence without pay may have time excluded from his/her probationary period. Consult Article 17 of the Agreement between Rutgers and the AAUP-AFT for more detailed information.

SECTION V - MISCELLANEOUS

AY and CY appointments

Faculty members appointed for the academic year (AY) carry a normal teaching program for both fall and spring terms and must be available for related duties, committee assignments, and similar activities from September 1 until Commencement, or an equivalent period within the academic year. Faculty members appointed for a calendar year (CY) are expected to devote the entire year with the exception of one month's vacation⁶ to their university duties. In both cases, the work is done on campus except by special arrangement with the appropriate dean or director.

There is a salary differential of 15% between an AY and CY appointment. As such, when an appointment changes from AY to CY or CY to AY, the salary must be either multiplied or divided by the differential of 1.15, respectively, to adjust the salary appropriately.

Probationary Period

The probationary period is the period of full-time service at the rank of Assistant Professor and above, before which a faculty member is considered for promotion with tenure. The probationary period is typically six years, with faculty ordinarily considered for tenure during the sixth and final year of the probationary period; however, consideration for tenure may occur prior to the sixth and final year. The six years may include prior time at other institutions - up to a maximum of three years - when the faculty member has held a full-time appointment at the rank of Instructor, Lecturer or above after the Ph.D. - or the terminal degree normally required for the particular discipline - has been conferred.

There are certain circumstances where time is excluded from the probationary period. Consult Articles 16 and 17 of the collective negotiations agreement between Rutgers and AAUP-AFT for more detailed information.

Adjunct Status

A full-time faculty member engaged in study for a terminal degree may, at his or her option, exclude up to four years of service from the time counted toward tenure. This shall be agreed to in writing at the time of initial appointment or commencement of study, whichever is later, and filed in the faculty member's

⁶ Which may be forfeited in order to receive summer salary.

official personnel file. The prefix “Adjunct” shall be used in the title of a person during the period he or she claims such exemption from time counted toward tenure.

Unpaid Leave of Absence⁷

A faculty member who takes a leave of absence without pay may be eligible to have time excluded from the probationary period and to receive an extension of the appointment for an equivalent amount of time, subject to the conditions set forth in the Agreement between Rutgers and the AAUP-AFT. Typically, a first year’s leave of absence without pay shall automatically extend the term of appointment by a period equal to the time excluded from the probationary period; however, a second year’s leave of absence without pay shall not automatically extend the term of appointment.

Multiple Appointments

There are instances where an individual faculty member may have more than one appointment. These multiple appointments must be compatible, as follows:

Class 1 appointments: compatible with Class 8 and Class 9

Class 6 appointments: compatible with Class 5, Class 8 and Class 9

Class 7 appointments: compatible with Class 8 and Class 9

Class 8 appointments: compatible with Class 1, Class 5, Class 6, Class 8 and Class 9

Summer Salary

The University permits faculty members on AY appointments to receive approved summer compensation of up to 3/9th of their academic year salary, provided that: a) there is no conflict with the policies of the relevant funding agencies for externally funded grants and contracts; and b) there is approval by the faculty member’s dean or director. Similarly, faculty members on CY appointments may receive approved summer compensation up to 1/11th of their annual salary in lieu of the faculty member’s one month of vacation.

Emeritus Appointments

Emeritus/emerita titles are granted upon retirement to persons who retire after having served in a full-time professorial capacity at Rutgers University for ten

⁷ Typically, individuals may not receive more than two extensions combined, and extensions do not apply to the final year of the probationary period.

years or more, or as a full professor at Rutgers University for at least five years plus a significant number of years in a professorial capacity in another accredited university or college to make a total of at least ten years. All faculty entitled to the emeritus/emerita designation will automatically be “promoted” to this title at the time of their retirement and will receive an Emeritus certificate from the President.

Board of Governors Professorship

Board of Governors Professorships are awarded to individuals whose accomplishments are recognized nationally or internationally as being consistently and unusually outstanding at a level exceeding even the extremely high standards expected of faculty members who have earned Professor II designations at the University. These professorships recognize faculty members whose accomplishments are particularly outstanding and have earned the individual faculty member national or international distinction within the discipline.

Board of Governors Professorships are not positions, but rather they are titles. A Board of Governors Professorship is linked to a specific distinguished individual member of the faculty. Upon the faculty member's retirement or departure the specific Board of Governors Professorship ceases to exist.

A Board of Governors Professorship begins with a nomination by the appropriate dean. The dean, after consultation with the department or unit chair, will discuss the nomination with the provost. If there is general agreement that consideration of a Board of Governors Professorship is warranted, the dean shall discuss with the appropriate department chair a list of external referees to document the high scholarly and research achievements of the candidate. This list of referees will be submitted to the Chancellor, along with the nomination by the Dean or the Department Chair, or both, and the C.V. of the nominee. Using the standard solicitation letter, the Office of the Chancellor will write to the referees. If the external letters support the nomination, the Executive Vice President for Academic Affairs submits the package to the BOG Professorship Review Committee and to the Chancellors for review. If the reviews are positive, the candidate is recommended to the President, who shall evaluate the credentials and, if the President concurs, he shall recommend to the Educational Policy and Planning Committee and to the Board of Governors.

University Professorship

University Professorships are awarded to senior faculty members by the Board of Governors upon recommendation by the President. The title is awarded to a faculty member who has made exceptional contributions in academic or administrative service or who has earned academic distinction across disciplinary

Miscellaneous

lines. A University Professor need not be part of any particular University department, although the faculty member might be primarily affiliated with one field. Some University Professors are engaged primarily in administrative duties.

University Professors have University-wide responsibilities and are to report yearly to the Executive Vice President for Academic Affairs on their activities, accomplishments, and plans for the year ahead. Once appointed, a faculty member remains a University Professor until he/she retires.

A University Professor actively engaged in research and teaching may be provided with a small annual research account, renewed on an annual basis. Funds may be used for equipment, wages of labor, etc.

Appendix B

Appropriate/ Inappropriate Interview Topics and Questions

Appropriate/ Inappropriate Topics and Interview Questions

Topic	Appropriate Inquires	Inappropriate Inquires
Age	None.	Questions about age, date of birth, requests for birth certificate.
Arrests/Convictions	May ask if any record of criminal convictions and/or offenses exist, if all applicants are asked.	Inquiries regarding arrest record.
Height and Weight	None.	Inquiries about the applicant's height or weight.
Citizenship	May ask questions about legal authorization to work in the specific position if all applicants are asked.	May not ask if person is a U.S. citizen or what citizenship the person holds.
Education	Inquiries about degree or equivalent experience.	None.
Disability	May ask about applicant's ability to perform job-related functions	Question (or series of questions) that is likely to solicit information about a disability.
Marital or Parental Status	Whether applicant can meet work schedule or job requirements. Should be asked of all genders.	Any inquiry about marital status, children, pregnancy, or child care plans.
National Origin	May ask if legally authorized to work in this specific position if all applicants are asked.	May not ask a person's birthplace; if the person is a U.S. citizen; questions about the person's lineage, ancestry, descent, or parentage; how the person acquired the ability to speak/read/learn a foreign language.
Personal Finance	None.	Inquiries regarding credit record, owning a home, or garnishment record.
Photograph	None.	Any inquiry for a photograph prior to hire.
Political Affiliation	None.	Inquiries about membership in a political party.
Organizations	Inquiries about professional organizations related to the position.	Inquiries about personal or professional organizations suggesting race, sex, color, religion, creed, national origin or ancestry, age, marital status, sexual orientation, gender identity, gender expression, height, weight, disability, or veteran status
Race or Color	None.	Comments about complexion or color of skin.
Religion	Describe the work schedule and ask whether applicant can work that schedule. Should be asked of all applicants.	Inquiries about religious preferences, affiliation, denominations, church, and religious holidays observed.
Sex	None.	Inquiries regarding gender, gender expression or gender identity.
Sexual Orientation	None.	Comments or questions about the applicant's sexual orientation.

Appendix C

Inclusive Excellence Recruitment Report

SEARCH SUMMARY
Inclusive Excellence Recruitment Report

School: _____

Program: _____

Position Title: _____

Search Committee Chair: _____

Search Committee Summary

1. Please note the efforts made to advertise the position and the number of applications received.
2. Please provide information regarding the search committee's efforts to recruit diversity candidates for this position.

Example:

The search committee made efforts to diversify the candidate pool through networks with other colleagues at local universities and colleges. National efforts to attract candidates were pursued at well recognized and broadly attended conferences such as the American Psychological Association and the Gerontological Society of America. Efforts to recruit minority faculty were also pursued through conference meetings such as Minority Task Force and networking with minority psychologists.

Application Phase

1. Number of applications reviewed _____
2. As best as you can ascertain please provide the following information regarding applicants and candidates (invited for an interview): gender, ethnicity, other ways in which the candidate may have represented diversity (theory, practice/research area etc).

	Applicants	Candidates
Gender		
M		
F		
Non-binary		
Other (Specify)		

Ethnicity (specify)		
Other ways diversity is represented (specify)		

Interviews

3. Number of pre-interviews offered _____

	Applicants	Candidates
Gender		
M		
F		
Non-binary		
Other (Specify)		
Ethnicity (specify)		

4. Number of on-campus interviews offered _____

	Applicants	Candidates
Gender		
M		
F		
Non-binary		
Other (Specify)		
Ethnicity (specify)		

Recommendations to the Dean (Top 3 candidates, please rank order)

	Applicants	Candidates
Gender		
M		
F		
Non-binary		
Other (Specify)		
Ethnicity (specify)		

Appendix D

Evaluation Tools

Diversity Statement Evaluation Rubric

Applicant Evaluation Tool

Candidate Evaluation Tool

Diversity Statement Evaluation Rubric

This rubric lists potential areas of scholarly contribution and/or commitment to diversity, equity and inclusion (DEI). A strong diversity statement need not include contributions in every area, but must demonstrate a substantive commitment to DEI in one or more of these areas. Please use the comment column for feedback on strengths in each area and any suggestions for improvement.

Scholarly Contribution/ Commitment Area	Criteria	Comments
Understanding of DEI in Higher Education	<p>Potential to contribute to DEI in higher education through understanding of barriers facing women, domestic racial/ethnic minorities, students with disabilities, and other members of groups underrepresented in higher education careers, as evidenced by:</p> <ul style="list-style-type: none"> • Empathy/understanding through lived experiences and educational background • Participation in a higher education pipeline program • Significant academic achievement in the face of barriers to higher education (economic, social, educational disadvantage) • Commitment to allyhood through learning about structural inequities demonstrated by extensive reading or focused coursework, connection to university DEI initiatives, participation in professional development programs, etc. • Other 	
Research	<p>Current or planned research relevant to diversity, equity and inclusion, which might include:</p> <ul style="list-style-type: none"> • Research focuses on underserved populations or inequalities • Research addresses issues relevant to DEI, such as race, gender, diversity, ability, sexuality, inclusion, health disparities, educational access, political engagement, economic justice, social mobility, civil and human rights, etc. • Research contributes to understanding of DEI issues faced by students and instructors in teaching and learning • Other 	

Diversity Statement Evaluation Rubric

Teaching and Mentoring	<p>Commitment to teaching and mentoring students from broadly diverse demographic and social backgrounds, as evidenced by:</p> <ul style="list-style-type: none"> • A record of leadership in teaching/mentoring historically underrepresented groups • Development of curricula and teaching strategies designed to enhance inclusion • Engagement in training designed to enhance intercultural or intergroup competencies and skills • Other 	
Collaboration and Leadership	<p>Potential for collaboration and leadership in department or institutional efforts to enhance DEI, as evidenced by:</p> <ul style="list-style-type: none"> • Involvement or leadership in committees, task force groups, professional societies and organizations, etc. related to DEI • Other 	
Service, engagement, and/or outreach	<p>Commitment to service, engagement, and/or outreach efforts to enhance DEI, as evidenced by:</p> <ul style="list-style-type: none"> • A record of community engagement or outreach activities relevant to advancing equity and access (volunteer activities, advising, consultation, etc.). • Other 	

University of Michigan Center for Research on Learning and Teaching (CRLT) and Rackham Graduate School. Adapted from National Center for Institutional Diversity's Faculty Candidate Evaluation rubric (2017) to identify candidates' evidence of contributions and demonstrated commitments to DEI.



ADVANCE PROGRAM
STRIDE COMMITTEE
UNIVERSITY OF MICHIGAN

RUTGERS

Division of Diversity, Inclusion,
and Community Engagement

APPLICANT EVALUATION TOOL

The following offers a method for faculty to provide evaluations of job applicants. It is meant to be a template for units that can be modified as necessary for their own uses. The proposed questions are designed for junior faculty candidates; however, alternate language is suggested in parenthesis for senior faculty candidates.

Applicant's Name:

Please indicate which of the following are true for you (check all that apply):

- ☐ Read applicant's CV
- ☐ Read applicant's statements (e.g. research, teaching, diversity)
- ☐ Read applicant's letters of recommendation
- ☐ Read applicant's scholarship (indicate what) _____

Please rate the applicant on each of the following:	excellent	good	neutral	fair	poor	unable to judge
Potential for (evidence of) scholarly impact						
Potential for (evidence of) research productivity						
Evidence of strong background in [relevant fields]						
Evidence of [particular] perspective on [particular area]						
Evidence of teaching experience and interest (including grad mentorship)						
Potential to teach courses in core curriculum						
Potential to teach the core curriculum on [particular area] (including creation of new courses)						
Potential for (evidence of) research funding						
Potential for (evidence of) collaboration						
Fit with department's priorities						
Potential (demonstrated ability) to attract and supervise diverse graduate						
Potential (demonstrated ability) to teach and supervise diverse undergraduates						
Potential (demonstrated ability) to be a conscientious university community						
Potential (demonstrated ability) to mentor diverse students						

Other comments?

Available online (as a Word document) at advance.umich.edu/resources

CANDIDATE EVALUATION TOOL

The following offers a method for department faculty to provide evaluations of job candidates. It is meant to be a template for departments that they can modify as necessary for their own uses. The proposed questions are designed for junior faculty candidates; however, alternate language is suggested in parenthesis for senior faculty candidates.

Candidate's Name:

Please indicate which of the following are true for you (check all that apply):

- ☐ Read candidate's CV and statements (e.g. teaching)
- ☐ Read candidates scholarship
- ☐ Read candidates letters of recommendation
- ☐ Attended candidate's job talk
- ☐ Met with candidate
- ☐ Attended lunch or dinner with candidate
- ☐ Other (please explain):

Please comment on the candidate's scholarship as reflected in the job talk:

Please comment on the candidate's teaching ability as reflected in the job talk:

Please rate the candidate on each of the following:

	excellent	good	neutral	fair	poor	unable to judge
Potential for (evidence of) scholarly impact						
Potential for (evidence of) research productivity						
Potential for (evidence of) research funding						
Potential for (evidence of) collaboration						
Fit with department's priorities						
Ability to make positive contribution to department's climate						
Potential (demonstrated ability) to attract and supervise diverse graduate students						
Potential (demonstrated ability) to teach and supervise diverse undergraduates						
Potential (demonstrated ability) to be a conscientious university community member						
Potential (demonstrated ability) to mentor diverse students						
Potential for (evidence of) scholarly impact						

Other comments?

Need a Word document version of the Candidate Evaluation Tool? Contact diversity@rutgers.edu