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To: Vice President for University Libraries and University Librarian
Library Unit Directors

From: Prabhas V. Moghe
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Subject: **2022-2023** Academic Reappointment/Promotion Instructions for Tenured
and Tenure-Track University Library Faculty in the AAUP-AFT
Negotiations Unit

Introduction

These instructions govern tenured and tenure-track Library faculty reappointments, promotions and appointments with tenure for the academic year **2022-2023**. They are also available on the internet at <https://laborrelations.rutgers.edu/faculty/tenured-and-tenure-track-library-faculty> where they can be downloaded in Microsoft Word format.

Form I-L is available from the output menu of the online Faculty Survey Database (<https://oirap.rutgers.edu/facsurv/>). This is the suggested and preferred method to generate Form I-L. If you have questions concerning the Faculty Survey Database, please contact Tin Lam (tlam@irap.rutgers.edu or 848-932-7350).

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Please note that completed recommendations for appointment with tenure, reappointment with tenure, and promotion with tenure are due in the Office of the Executive Vice President for Academic Affairs no later than **November 1, 2022; completed recommendations for promotion within the tenured ranks are due no later than **December 1, 2022**. The schedule for receipt of completed recommendations for tenure-track reappointments to the rank of Librarian III will be set by the Vice President for University Libraries and University Librarian.**

Questions concerning these instructions should be directed to the Office of the Executive Vice President for Academic Affairs (848-932-8793) or to the Vice President for University Libraries and University Librarian (848-932-7505).

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

A. Applicability of these Instructions

These instructions are applicable to all Library tenured and tenure-track reappointment/promotion recommendations and new Library faculty appointments with tenure.

B. Reappointment/Promotion Materials

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

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

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

C. Persons Responsible for Initiating Actions

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 Vice President for University Libraries and 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 Vice President for University Libraries and 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.

Rank Review

A tenured member of the library faculty may request of the unit director that they be evaluated for promotion. The request shall be granted for tenured librarians who have been at least six years in rank and have not been evaluated for at least four years.¹ Such evaluation shall be carried through each level of review, including that of the Promotion Review Committee, unless withdrawn by the candidate.

All other requests for evaluation for promotion from tenured librarians may be granted at the unit's discretion.

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

If necessary, the Vice President for University Libraries and University Librarian shall appoint an appropriate number of tenured librarians at or above the appropriate rank 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 appropriate rank, shall total not fewer than six voting persons. In selecting the ad hoc members, the Vice President for University Libraries and 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.

D. Notification to Candidate

Each librarian who is to be considered for reappointment or promotion shall be notified by the unit director at least thirty (30) days in advance that such consideration shall take place, and shall respond appropriately within the thirty (30) day period. Also, each tenured librarian who is eligible for evaluation pursuant to Section C *Rank Review* above shall be notified of their eligibility and shall respond appropriately within the 30-day period. A librarian who has been in

¹ For purposes of determining the four-year period, withdrawal after the candidate signs Form 1-L constitutes an evaluation.

rank for ten years or more may, upon written request, be considered for promotion under the Ten Year Rule which allows for increased emphasis to excellent and significant contributions to librarianship and to service. Faculty members shall be informed of this option via the 30-day letter.

E. Responsibilities of the Candidate

A specific responsibility of the candidate is to ensure the accurate preparation, presentation and certification of Form 1-L, Recommendation Information Form, which is to be signed by both the candidate and the unit director and circulated to the appropriate peer group.

In preparing Form 1-L, the candidate is responsible for ensuring that:

- 1) the candidate's librarianship, scholarship and service activities are fully presented;
- 2) the distinction is made on the form between refereed and other publications;
- 3) the status of material in process of review or publication is precisely characterized, attaching available documentation;
- 4) publications are cited in full and in the form standard for the candidate's discipline (including the names of all authors in the order of appearance in the publication), with volume, year, page numbers (or for a book, number of pages), and explanation of the candidate's responsibility for jointly authored works, including whether they were the primary contact or corresponding author;
- 5) in the case of foreign publications, there is sufficient explanation of the value or quality of the journal or press, especially if the publication is important to the candidacy.

The candidate shall provide the unit director with the signed and completed Recommendation Information Form (Form 1-L).

At the time the candidate submits a signed Recommendation Information Form (Form 1-L), they shall submit to the unit director an original of any documents or materials they wish to have considered. A brief personal statement identifying the candidate's major contributions since the last promotion may be included among these, but is not required. Candidates are required to include evidence of effective librarianship and/or mentoring in applications for tenure and/or promotion. One or more additional pieces of evidence of effective librarianship must be provided. Examples include, but are not limited to: peer review, mentoring, scholarship of learning, statement of librarianship philosophy, and/or a portfolio.

While not required, a personal statement is helpful to levels of review that may not be familiar with the discipline, sub-discipline, or specialization of the candidate. The personal statement

should speak to all relevant criteria for tenure and/or promotion (e.g. librarianship, scholarship, service). Departments are advised to send the personal statement, together with the candidate's CV and samples of scholarship, to the external evaluators to assist with their review of the candidate. A list, compiled by the candidate, of the documents submitted to the unit director shall also be included (Appendix H).

The candidate may suggest potential outside evaluators and should discuss with their unit director qualified persons from whom letters may be solicited. The candidate, in addition, may prepare a list of persons in their field from whom they prefer letters of evaluation not be solicited. The candidate shall provide a written explanation for the exclusion of each person on that list. If a letter of evaluation is solicited from an individual on the candidate's "not for solicitation" list, the candidate's written explanation shall be attached to the individual's letter of recommendation. A unit director or Vice President for University Libraries and University Librarian may, at their discretion, also attach an explanation for their decision to solicit a letter from the individual. Such attachments, whether prepared by the candidate, the unit director or the Vice President for University Libraries and University Librarian, shall be held, like the letters to which they refer, in confidence.

A candidate who has had time excluded from the probationary period due to (i) the COVID-19 pandemic, (ii) a parental or medical leave of absence, or (iii) a leave of absence without pay, may, upon written request, choose to have University evaluators, evaluative bodies, and outside evaluators informed that their record is to be reviewed in the same manner as the record of a faculty member with the normal probationary period. Additionally, a candidate may request that external evaluators be asked to appropriately take into account the impact of the COVID-19 pandemic on scholarship, librarianship and/or service for academic year 2019/2020 and/or academic year 2020/2021 as may be reflected in the record for review. To exercise either option, the candidate should submit a written request by completing Supplemental Form 2 and making the appropriate selection.

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

F. External Confidential Letters of Evaluation

Due to the impact of the COVID-19 pandemic, for this academic year only, a minimum of five (preferably seven) external confidential **arm's length** letters of evaluation from qualified persons shall be obtained by the candidate's unit director and/or by the Vice President for University Libraries and University Librarian. **Arm's length letters are defined as those from external referees who are NOT the candidate's dissertation or thesis chair or mentor, the candidate's coauthor or collaborator, the candidate's former professor, a family member of the candidate, or a personal friend of the candidate. Ordinarily, letters from individuals**

with whom the candidate has worked closely in the past would not be considered arm's length. For instance, co-authored papers, collaborative grants and co-advised students are examples of prior candidate-referee interactions that disqualify arm's length referees. If a non-arm's length letter is included, the department chair should indicate the reason for soliciting a letter from that individual on Form 3-a.

External referees should be selected on the basis of their standing in the field and the institutions with which they are associated. **Referees should normally be at the rank of full professor (which is equivalent to Librarian I in Rutgers University Libraries) or above, but must at least be at the candidate's proposed rank or equivalent.** All letters obtained in regard to this candidacy must be included in the promotion packet and forwarded to all levels of review. Preliminary solicitation letters and responses thereto, unsolicited letters and letters from within the University are not included within this category. External letters are not required for reappointment without tenure, but are required for reappointments with tenure, promotions to and within the tenured ranks and new faculty hires with tenure.

Prior to the solicitation of external letters, the unit director creates a list of experts relevant to the candidate. **Unit directors, in developing lists of appropriate referees to submit to the Vice President for University Libraries and University Librarian, shall consult the candidate about appropriate experts in their field of study.** The candidate then meets the unit director to informally discuss any experts the candidate contemplates recommending on their list, which they will then provide to the unit director for consideration. The candidate also submits to the unit director a list of persons from whom they prefer letters not be solicited. The only experts deemed "recommended by the candidate" will be those included in the list submitted to the unit director for consideration that do not already appear on the unit director's list. The unit director shall first verify that the list of referees satisfies the eligibility criteria stipulated in the guidelines, and then submits it to the Vice President for University Libraries and University Librarian a recommended list of referees for each candidate, accompanied by a clear explanation of the suitability of the referee, the relationship of the referee to the candidate and their field, and documentation demonstrating the referee's professional standing. The unit director shall also make available to the Vice President for University Libraries and University Librarian any list submitted by the candidate of persons from whom they prefer letters not be solicited. The selection of external referees must be made by the unit director and Vice President for University Libraries and University Librarian. No more than two experts recommended by the candidate may be asked to provide letters.

After consultation with the candidate and Vice President for University Libraries and University Librarian, the unit director shall send a preliminary solicitation letter (Appendix G) to individuals they have selected to serve as external referees. The preliminary solicitation letter may be sent via e-mail. **The text of the preliminary solicitation letter shall not be modified and use of the preliminary solicitation letter is required.** The preliminary solicitation letter and the responses thereto do not become part of the promotion packet. It is the unit director's responsibility to keep a copy of the preliminary solicitation letter or e-mails, a list of recipients of

the preliminary solicitation letter, dates sent, and responses, confidentially, in the unit until evaluations, grievances, remands, etc. are completed.

Under no circumstances shall the candidate contact experts whose names they have submitted for consideration, or engage in any substantive discussion about their promotion case with any individual whom they know to be serving as an external referee. Similarly, the unit director and other faculty members shall not engage in any substantive discussion about the candidate's promotion case with any individual whom they know to be serving as an external referee. The presumption is that a unit director and the Vice President for University Libraries and University Librarian will reach a consensus as to an appropriate list of referees. However, in the event of a disagreement, a unit director is neither obliged to solicit, nor prohibited from soliciting, any particular referee. Similarly, in conducting their evaluation of the candidacy as set forth in Section M below, the Vice President for University Libraries and University Librarian, at their discretion, may solicit letters from additional external referees. Such additional letters shall be submitted to evaluative bodies in accord with the procedures set forth in Section H, in which case all letters received after December 1, and until the addition of the Vice President for University Libraries and University Librarian's letters (form 6), shall become part of the packet.

Sample letters of solicitation are attached in Appendices G-1, G-2 and G-III. Solicitation letters may be sent via e-mail. Letters of solicitation for confidential outside letters of recommendation shall be consistent with the promotion criteria applicable to the candidate. A unit, with the prior approval of the Vice President for University Libraries and University Librarian and the Executive Vice President for Academic Affairs, may modify the text of the sample letter of solicitation.

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

The original external confidential letters of evaluation, together with a brief explanation of the suitability and professional standing of the referee and the relationship of the referee to the candidate (Form 3-a) and one copy only of the sample letter of solicitation (attached to Form 3), must accompany the original promotion packet forwarded to the Vice President for University Libraries and University Librarian. Submission of an e-mailed or faxed copy of the external confidential letters of evaluation is acceptable provided that the e-mailed or faxed copy is on official letterhead with the referee's electronic signature. Do not include the vitae of referees. All letters received must be submitted for review to all levels of evaluation, except that letters which are received after the December 1 deadline for submission to the Executive Vice President for Academic Affairs will not be considered unless the Vice President for University Libraries

and University Librarian has requested them as additional letters during their consideration of the packet.

External confidential letters solicited in a previous year may be used again and included under Form 3. However, selectivity of such letters is not permitted even if the candidacy is later withdrawn pursuant to Section R.; therefore, either all or none of the letters solicited in a previous year must be included, and they must be covered by a copy, supplied by the Vice President for University Libraries and University Librarian's office, of the earlier Form 3. Preliminary solicitation letters and the responses thereto are not included in this category. If new letters are solicited and if any of the external referees solicited in a prior year are solicited again, then all of the external referees previously solicited (excluding those who declined to evaluate the candidate in response to the preliminary solicitation letter) must be resolicited when the packet being reviewed is the same packet used in a prior evaluation and/or the prior solicitation occurred in either of the two immediately prior years.²

In all circumstances, copies of the external confidential letters are to be maintained **in the Libraries Personnel office** and by the unit director as part of the unit director's records. The candidate's director shall inform the appropriate tenured members of the unit that such letters are available for review.

G. Materials to be Used in Review

With the exception of confidential outside letters of recommendation solicited in accordance with these Instructions and those documents that are generally public knowledge such as published student evaluations, published articles, and other similar documents, **only those materials in the official personnel file and other materials added to the packet as described in Section H below may be used in conducting the review.** The official personnel file for each library faculty member is maintained in the office of the Vice President for University Libraries and University Librarian. Form 6 (the **Vice President for University Libraries and University Librarian's** narrative) contains a box to check to certify that **the Vice President for University Libraries and University Librarian** has reviewed the contents of the personnel file.

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

H. Additions to the Packet and the Right to Rebut or Respond, and Updates to the Packet

² If there is good cause for an exception, it can be made only with the approval of the Executive Vice President for Academic Affairs, upon the recommendation of the Vice President for University Libraries and University Librarian.

Documents Added to the Packet

If any document or documents, other than confidential outside letters of recommendation, the official reappointment/promotion forms, continuation pages added to these forms as described in these instructions, reports of reading committees, supplements to confidential letters (Section E, paragraph 4), and materials submitted by the candidate, are added to the promotion packet during the evaluation, a copy of said document(s) shall be transmitted immediately to the candidate; the candidate shall have the right to submit a response or rebuttal within six (6) working days. The response shall be directed to that level of the evaluation at which the added document was received and shall become a part of the promotion packet. Any documents that are (1) physically present during the evaluation and (2) specifically referred to during the deliberations of the evaluative body and (3) which a majority of the evaluative body agrees have a direct bearing on the evaluation are considered additions to the packet within the meaning of this section, and thus the above-prescribed procedures must be followed.

Evidence of a Significant Change in the Status of Materials

Subsequent to the commencement of the evaluation and prior to final recommendation of the Promotion Review Committee, the unit director shall, upon request of the candidate, add to the packet evidence of a significant change in the status of materials originally included in the packet if: 1) the Vice President for University Libraries and University Librarian concurs that a significant change has occurred; and 2) such change has occurred since the initiation of the evaluation. If there is a dispute between the candidate and the Vice President for University Libraries and University Librarian as to whether a significant change has occurred in the status of materials originally submitted by the candidate, the Office of the Executive Vice President for Academic Affairs shall make the final determination as to whether evidence of the change shall be added to the packet. The Recommendation Form (Form 1-L) submitted by the candidate shall not be changed to reflect such additions to the packet. The evidence of the significant change shall be added to the packet by way of an addendum.

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

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

I. Responsibilities of the Initiating Unit

The library or service units have the specific responsibility to meet in appropriate peer groups (see Section C, Paragraph 3) to evaluate the candidate for reappointment and/or promotion. That is, only tenured members at the rank of Librarian II and Librarian I shall meet to evaluate candidates for reappointment at the rank of Librarian III, for reappointment with tenure to the rank of Librarian II, and for promotion to the rank of Librarian II; only tenured members at the rank of Librarian I shall meet to evaluate candidates for promotion to Librarian I. Only Distinguished Professors shall evaluate candidates for promotion to Distinguished Professor. 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. A minimum total of six peer group votes is required (total votes 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. Due to the impact of the COVID-19 pandemic, meetings held to consider a candidate may be conducted via video conferencing provided the identity of each librarian can be verified. Only those librarians whose identity can be verified by being on camera are to be accorded a vote. A vote by an absent librarian is not permitted under any circumstances.

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

The units for the purposes of these instructions are noted.³

1. New Brunswick Libraries

Unit Director: Associate University Librarian, Rutgers University-
New Brunswick

2. Special Collections and University Archives

³ Where the unit includes more than one unit director, it is the candidate's unit director who must exercise the responsibilities of the unit director as set forth in these instructions.

Unit Director: Associate Director for Special Collections and University Archives

3. Scholarly Communication and Collections

Unit Director: Assistant Vice President for Scholarly Communication and Collections

4. Paul Robeson Library

Unit Director: Associate University Librarian, Rutgers University-Camden

5. John Cotton Dana Library and branches

Unit Director: Associate University Librarian, Rutgers University-Newark

6. Rutgers Biomedical and Health Sciences Libraries

Unit Director: Assistant Vice President for Information Services and Director of Health Sciences Libraries, Rutgers University-Newark

Unit Director: Assistant Vice President for Information Services and Director of Health Sciences Libraries, Rutgers University-New Brunswick

J. Responsibilities of the Ad Hoc Chair

When there are candidates for appointment, reappointment or promotion the unit director **or designee** 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 chair shall forward the completed Form 4 to the unit director.

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. Due to the COVID-19 pandemic, peer group meetings may be conducted via video conferencing provided the identity of each librarian can be verified. Only those librarians whose identity can be verified by being on camera 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.⁴ In the case of candidates affiliated with more than one library unit or with a library unit and a University department, center, bureau, institute, decanal unit or degree-granting program, the ad hoc chair shall attach the appropriate evaluation, as described in section S below, 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. This notification will be the only notice to the candidate until final notice described in Section Q.

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

K. 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. Accordingly, before the commencement of each reappointment and promotion cycle, the unit director shall ensure that each evaluative body has received and has reviewed the criteria for the candidates under review, as set forth in Appendix D of these Academic Reappointment/Promotion Instructions, including the text of the University's Statement on Professional Ethics, as included in University Policy 60.5.1.

Within ten (10) days of the unit director's receipt of the candidate's completed Form 1-L, the unit director will sign the Form to indicate concurrence with its content, or, if there is a dispute between the unit director and the candidate as to the content of the Form which they are unable to resolve, the unit director shall so indicate in the space provided above their signature attaching an explanation to the Form.

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

⁴ The unit director may require that any reading committee reports be attached to unit reports, and, if they are, the ad hoc chair will be responsible for meeting that requirement.

The unit director shall notify the appropriate peer group that there will be candidates for reappointment or promotion. **The unit director or designee** 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 (Form 5) which will be forwarded to the Vice President for University Libraries and University Librarian. If, however, the unit director intends to make a recommendation different from that of the peer group, prior to completing his or her recommendation, the unit director will meet with the ad hoc chair to discuss the matter.

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 in Sections D and F above.

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, Center, Bureau, Institute, Decanal Unit or Degree-Granting Program: The unit director has the responsibility to implement the instructions set forth in section S below and to make available, with the candidate's reappointment or promotion materials to be considered by the peer group, any related evaluations.

Unit Representative: The candidate's unit director shall serve as the representative of the unit in communications with the Advisory Committee on Appointments and Promotions and with the Vice President for University Libraries and University Librarian.

Distribution of Packet: Subsequent to completion of the unit director's report, the candidate's unit director shall forward the original packet to the Vice President for University Libraries and University Librarian.

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

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

L. Responsibilities of the Advisory Committee on Appointments and Promotions

Upon receipt of a candidate's official packet from a unit director, the Vice President for University Libraries and University Librarian shall forward all documents to the appropriate Advisory Committee on Appointments and Promotions for review and recommendation. The Committee is advisory to the Vice President for University Libraries and 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 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.

The Advisory Committee on Appointments and Promotions shall meet with the Vice President for University Libraries and 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 Vice President for University Libraries and University Librarian, explaining its recommendations. The memorandum shall include the names of all members of the A&P Committee and the date of the meeting.

Members of the Committee who participate in the review of candidates in their own unit at the unit level shall not participate in any manner in the consideration of those candidates by the Advisory Committee on Appointments and Promotions. A&P Committee members must be at or above the rank for which candidates are to be considered for reappointment or promotion. Due to the impact of the COVID-19 pandemic, A&P committee meetings may be conducted via video conferencing provided the identity of each individual can be verified by being on camera. Only those committee members who attend the A&P meeting in which the candidate is considered shall participate in the review of the candidate.

The record of a candidate opting to have time excluded from the probationary period due to (i) the COVID-19 pandemic, (ii) a parental or medical leave of absence, or (iii) a leave of absence

without pay, shall be evaluated in the same manner as the record of a candidate without such an exclusion.

M. Responsibilities of the Vice President for University Libraries and University Librarian

It is the responsibility of the Vice President for University Libraries and 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 Advisory Committee on Appointments and Promotions, the Vice President for University Libraries and University Librarian shall make their independent recommendation and report it on the Vice President for University Libraries and University Librarian's Recommendation Form (No. 6). All pertinent information on a particular candidate must be considered, including information contained in the candidate's personnel file, and the Vice President for University Libraries and University Librarian must check the box on Form No. 6 that they have reviewed its contents, and the Vice President for University Libraries and University Librarian shall provide specific justification based on the record for their recommendation.

The Vice President for University Libraries and University Librarian shall have primary responsibility for ensuring the quality and the rigor of evaluations in the University Library. However, if the Vice President for University Libraries and University Librarian intends to make a recommendation different from that of the unit director, prior to completing his or her recommendation, the Vice President for University Libraries and University Librarian will meet with the unit director to discuss the matter. The Vice President for University Libraries and University Librarian will include the written advice of the Advisory Committee on Appointments and Promotions as an attachment to the Vice President for University Libraries and University Librarian's recommendation. In those instances where there has been no positive recommendation at any level, the packet is not forwarded to the PRC unless the candidacy is being conducted pursuant to "rank review" (see Section C of these instructions).

When the personnel actions involving tenure decisions or promotion within the tenured ranks have been completed as described above, the Vice President for University Libraries and University Librarian shall forward the packet to the Office of the Executive Vice President for Academic Affairs. The packet for reappointment with tenure, for promotion to the ranks of Librarian II, Librarian I or Distinguished Professor, and new hires with tenure shall include the following: Forms 1-L, 2, 3, 3-a, Supplemental Form 2, one copy of the sample letter used to solicit external confidential evaluations (Appendix G1-GII-L), external confidential letters of evaluation, Forms 4, 5, and 6, the report of the Advisory Committee on Appointments and Promotions, the personal statement (if applicable), the candidate's CV, and inventory listing of supplementary materials (Appendix H). The packet for reappointment to Librarian III shall include the following: Forms 1-L, 2, 4, 5, and 6, Supplemental Form 2, the report of the Advisory Committee on Appointments and Promotions, the personal statement (if applicable), the candidate's CV, and inventory listing of supplementary materials (Appendix H). The Vice

President for University Libraries and University Librarian may notify unit directors of additional requirements.

For responsibilities of the Vice President for University Libraries and University Librarian upon completion of the evaluation process, see Section Q, Notification of Final Action.

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

N. Responsibilities of the Promotion Review Committee

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

The membership of the Committee consists of the Provost-Camden, the Provost-Newark, the ~~Chancellor~~-Provost-New Brunswick (or their designee), one Provost-Rutgers Biomedical and Health Sciences, and **eight tenured** faculty members at or above the rank of Professor to be named by the President of the University. The Committee shall be chaired by the Executive Vice President for Academic Affairs, who shall preside without vote except in the event of a tie vote of the voting members. Faculty appointments are made typically for four-year terms with the possibility of reappointment. They are chosen for their scholarly distinction as individuals and, collectively, to reflect the diversity of the academic enterprise at Rutgers. Members of the Committee do not participate at any other level of the evaluation process. Membership on the Committee carries co-equal responsibility; no member is responsible for representation of a particular unit or discipline.

The responsibility of the Committee is to examine the evidence in each case in relation to the criteria for evaluation established by Rutgers Policy, section 60.5.14(A) 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 have been presented of accomplishment and impact on the field to support these judgments, and that the Vice President for University Libraries and 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 record submitted demonstrates satisfaction of the University's standards for the action proposed as described above. The members meet to discuss their individual assessments of the evidence, and, in light of this discussion, the Committee reaches a judgment concerning the

proposed action. In instances where the Committee, on first review, seeks additional information from the Vice President for University Libraries and University Librarian or may be inclined to differ with their recommendation, the Committee will provide an opportunity for them to meet with the Committee to explain their views before the Committee makes a final recommendation in regard to the candidate. If the Promotion Review Committee requires additional information for a determination, it shall return the packet to the appropriate level for completion and resubmission to the Committee via all intervening levels.

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

O. 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.

P. Final Levels of Review

The Vice President for University Libraries and University Librarian is the final level of evaluation:

- In cases of reappointment with tenure, promotion to Librarian II, Librarian I or Distinguished Professor, and new appointments with tenure, when the peer group's recommendation, the unit director's recommendation and the Vice President for University Libraries and University Librarian's recommendation are all negative **and** the case was not initiated pursuant to Rank Review; and
- In cases of reappointment without tenure

The Promotion Review Committee is the final level of evaluation (subject to formal action by the President and the Board of Governors):

- In cases of reappointment with tenure, promotion to Librarian II, Librarian I or Distinguished Professor, and new appointments with tenure, when at least one of the following recommendations is positive: the peer group; the unit director; or the Vice President for University Libraries and University Librarian's recommendation; and

- In all cases initiated pursuant to Rank Review, regardless of the recommendation by the peer group, the unit director and the Vice President for University Libraries and University Librarian.

Q. Notification of Final Action

- 1) When the Vice President for University Libraries and University Librarian is the final level of evaluation:
 - The Vice President for University Libraries and University Librarian is responsible for notification to the candidate in writing within ten working (10) days of the final decision. For unsuccessful candidacies, the notification shall include an invitation to meet with the Vice President for University Libraries and University Librarian.
- 2) When the Promotion Review Committee is the final level of evaluation (subject to formal action by the President and the Board of Governors):
 - The Vice President for University Libraries and University Librarian will be notified of the decisions in new appointments, reappointments and promotions involving the tenured ranks by the Office of the Executive Vice President for Academic Affairs following the Board of Governors' actions. The Vice President for University Libraries and University Librarian may then notify candidates informally; formal notification from the President directly to the candidate will follow in the case of positive action by the Board; in the case of unsuccessful candidacies, the Vice President for University Libraries and University Librarian is responsible for formal notification to candidates within ten working days of receipt of notification of the final decision. For unsuccessful candidates, such notification shall include an invitation to meet with the Vice President for University Libraries and University Librarian.

R. Withdrawal from Consideration

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

and University Librarian, in writing, of the decision, with a copy of the letter sent to the Office of the Executive Vice President for Academic Affairs.

S. Special Guidelines for Library Faculty Affiliated with More than One Library Unit or with a Library Unit and a University Department, Center, Bureau, Institute, Decanal Unit or Degree-Granting Program

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

Library Faculty Currently Affiliated with More than One Library Unit or with a Library Unit and a University Department, Center, Bureau, Institute, Decanal Unit or Degree-Granting Program:

A personnel action may be initiated for a library faculty member by their primary library unit (that is, the library unit in which the librarian has tenure) or by the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program in which the individual has a significant or principal assignment. In both instances the primary library unit shall have responsibility for the personnel action in consultation with the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program as described herein. The choice of external confidential evaluators for such candidates shall be made by the Vice President for University Libraries and University Librarian in consultation with the primary library unit director and the applicable chair or director of the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program. The letters from external evaluators shall be jointly solicited by the primary library unit director and the applicable chair or director of the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program.

The applicable chair or director of the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program shall evaluate the candidate in consultation with the appropriate peers in the library unit, department, center, bureau, institute, decanal unit or degree-granting program, in the form of a memorandum to the unit director, for consideration by the candidate's primary library unit. The evaluation shall be included as an attachment to the primary library unit's report. Faculty members who participate in the evaluation of the candidate at the primary library unit, department, center, bureau, institute, decanal unit or degree-granting program level shall not participate in the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program evaluation.

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

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

If the candidate does not currently have an affiliation with a secondary library unit, University department center, bureau, institute, decanal unit or degree-granting program, but did so for a substantial part of the probationary period or a substantial part of the interval since the last promotion, the candidate's library unit director will solicit an evaluation of the candidate from the applicable chair or director of the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program. The applicable chair or director of the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program shall evaluate the candidate in consultation with the appropriate peers in the library unit, department, center, bureau, institute, decanal unit or degree-granting program and shall forward the evaluation, in the form of a memorandum to the unit director, for consideration by the candidate's primary library unit.

The evaluation shall be included as an attachment to the primary library unit's report. Faculty members who participate in the evaluation of the candidate at the primary library unit, department, center, bureau, institute, decanal unit or degree-granting program level shall not participate in the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program evaluation. (In instances where the period of affiliation with a secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program was not substantial, the candidate's library unit director may, at their discretion, seek an evaluation from the applicable chair or director of the secondary library unit, department, center, bureau, institute, decanal unit or degree-granting program.)

T. Technical Resources for Assembling Packets

To facilitate assembling your packet, input your data to the online Faculty Survey Database: <https://oirap.rutgers.edu/facsurv/>. You can use the output menu to produce the official promotion form with one click. When you are ready to produce the final version, choose Word format output and save it to your local drive as a .doc file. You can also output a customized CV or Personal Web Page, both with a permanent link (the Web Page will have a search box to your SOAR publications).

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

Because external web links often change, it is recommended that you deposit your publications in SOAR (Scholarly Open Access at Rutgers): <http://soar.rutgers.edu>. Go to the SOAR website,

click Deposit Your Work, and you will receive a unique permanent link (DOI) that can be added to your citation. For further information, please email SOARhelp@rutgers.edu.