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August 10, 2023

To: Chancellors, Deans, Directors, and Department Chairs

From: Prabhas V. Moghe
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Subject: 2023-2024 Academic Promotion Instructions for Non-Tenure Track University
            Library Faculty in the AAUP-AFT Negotiations Unit

Introduction

These instructions govern non-tenure track Library faculty promotions to Librarian of Practice II
and Librarian of Practice I for the academic year 2023-2024. They are also available on the
Internet at https://laborrelations.rutgers.edu/faculty/non-tenure-track-university-libraries.

        Form NTT-I-L is available from the output menu of the online Faculty Survey System:
https://oirap.rutgers.edu/facsurv/. This is the suggested and preferred method to generate Form
NTT-I-L. If you have questions concerning the Faculty Survey System, please contact Tin Lam
(tlam@irap.rutgers.edu or 848-932-7350). Updates to the Faculty Survey System will be
completed within the next four weeks.

    I. Instructions

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The schedule for receipt of all promotion recommendations 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 Vice President for University Libraries and University Librarian at Consuella.Askew@rutgers.edu.

The purpose of these instructions and the difficult and time-consuming process undertaken by the University as described herein is to provide for a rigorous and fair review of the qualifications and accomplishments of candidates for 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 non-tenure track University Libraries faculty promotion recommendations to the ranks of Librarian of Practice II and Librarian of Practice I. Evaluations for all non-tenure track library faculty reappointments to the same rank and promotions up to and including the rank of Librarian of Practice III are governed by the Short Form (https://laborrelations.rutgers.edu/faculty/non-tenure-track-university-libraries).

B.   Promotion Materials

A candidate's 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. In addition, the packet shall include a copy of the candidate's current appointment letter, a copy of the applicable criteria posted on the Libraries' website, the candidate's CV, and any other documentation that may be required by Libraries.

All of the information requested shall be provided carefully, and judgments at each level of evaluation shall be independent, shall be based on all the evidence submitted to that level, and shall not merely rely on or concur in judgments made at earlier levels. For availability and distribution of materials, refer to Section E, Responsibilities of the Candidate, and Section J, Responsibilities of the 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 faculty members of their units, are normally responsible for initiating recommendations for non-tenure track faculty 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 for promotion. 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

director to complete the appropriate forms even when the candidacy has been initiated at a level other than the unit. There are no other responsibilities of the A&P committee.

Rank Review

A non-tenure track member of the library faculty may request of the unit director that they be evaluated for promotion. The request shall be granted for non-tenure track librarians who have been at least six years in rank and have not been evaluated for promotion for at least four years.[1] Evaluations conducted pursuant to rank review shall be carried through each level of review unless withdrawn by the candidate.

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

D.   Notification to Candidate

Each non-tenure track librarian who is to be considered for 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 30-day period. Also, each non-tenure track 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.

E.   Responsibilities of the Candidate

A specific responsibility of the candidate is to ensure the accurate preparation, presentation and certification of Form NTT-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 by the unit director. In preparing Form NTT-1-L, the candidate is responsible for ensuring that the candidate's librarianship and service activities are fully presented on the form. Candidates shall specify Librarianship and service activities on the Form NTT-1-L since the last evaluation for promotion.

The candidate shall provide the unit director with the signed and completed Form NTT-1-L. The candidate must also submit a CV and brief personal statement identifying the candidate's major contributions since the last evaluation. 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 may address evidence of accomplishment in librarianship and service corresponding to the level of achievement expected of the higher rank. **The personal statement should speak to all relevant criteria for promotion (e.g. librarianship and service).**

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[1] Withdrawal after the candidate signs Form NTT-1-L constitutes an evaluation for purposes of determining the four year period.

The candidate may also submit to the unit director an original of any documents or materials they wish to have considered. A list, compiled by the candidate, of the documents submitted to the unit director shall also be included (Appendix E). Candidates are required to include evidence of effective librarianship and/or mentoring in applications for promotion. One or more additional pieces of evidence of effective librarianship must be provided. Examples include, but are not limited to: peer review, mentoring, statement of librarianship philosophy, and/or a portfolio.

Where user letters are applicable (see Section F below), the candidate may discuss with their unit director Libraries users who may be solicited to evaluate the candidate's librarianship and/or service. Specifically, the candidate may suggest potential users and may discuss with their unit director qualified persons from whom user letters may be solicited. In addition, the candidate may prepare a list of persons in their field from whom they prefer user letters not be solicited. The candidate shall provide a written explanation for the exclusion of each person on that list. If a user letter 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. A unit director may, at their discretion, also attach an explanation for their decision to solicit a letter from the individual.

F. User Letters

In promotion cases, user letters may be included in the evaluation packet where relevant based upon the responsibilities and activities of the position. Users are Libraries users who provide commentary as to the candidate's librarianship and/or service. Users may or may not be affiliated with Rutgers University. The candidate then meets the unit director to informally discuss any users the candidate contemplates recommending on their list, which they will then provide to the unit director for consideration. Letters from users are solicited by the candidate's unit director. The selection of users must be made by the unit director and Vice President for University Libraries and University Librarian.

All user letters are to be inserted in the promotion packet by the unit director or the Libraries Human Resources department. Any unsolicited letters that are obtained by the candidate directly are to be inserted in the promotion packet by way of the Inventory Listing (Appendix E).

Submission of an e-mailed or faxed copy of a user letter is acceptable provided that the e-mailed or faxed copy is on official letterhead with the referee's electronic signature. All letters received must be submitted for review to all levels of evaluation.

User letters solicited in a previous year may be used again. However, selectivity of such letters is not permitted even if the candidacy is later withdrawn pursuant to Section O (Withdrawal From Consideration); therefore, either all or none of the letters solicited in a previous year must be included. If new letters are solicited and if any of the users solicited in a prior year are solicited again, then all of the users previously solicited (excluding those who declined initially)

must be re-solicited when the prior solicitation occurred in either of the two immediately prior years.[2]

G.   Materials to be Used in Review

With the exception of user letters solicited in accordance with these Instructions, any unsolicited letters submitted by the candidate as part of the packet, and those documents that are generally public knowledge such as 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 NTT-4 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

Documents Added to the Packet

If any document or documents, other than user letters, the official promotion forms, continuation pages added to these forms as described in these instructions, 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 Vice President for University Libraries and University Librarian, 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 unit director concurs that a significant change has occurred; and 2) such change has occurred since the initiation of the evaluation. If

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[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.

there is a dispute between the candidate and the unit director as to whether a significant change has occurred in the status of materials originally submitted by the candidate, the Vice President for University Libraries and University Librarian shall make the final determination as to whether evidence of the change shall be added to the packet. The Recommendation Form (Form NTT 1-L) submitted by the candidate **shall not be changed** to reflect such additions to the packet.

Updates to the packet, as provided above, shall be submitted to all earlier levels of review so that each earlier level may revise its evaluation should it deem such revision warranted by the addition. However, no updates to the packet may be submitted within 10 working days before the packet is due to the Vice President for University Libraries and University Librarian.

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 as follows:

The Peer Group Evaluation Committee will consist of a minimum of six tenured Librarians and Librarians of Practice I (if any). In cases of promotion to Librarian of Practice II, the Peer Group Evaluation Committee will additionally include Librarians of Practice II (if any). The unit director shall appoint an appropriate number of faculty members at or above the appropriate rank for the purpose of obtaining and reviewing documented evidence of the candidates' professional qualifications. If six tenured Librarians and Librarians Practice I or II cannot be drawn from the candidate's unit, then Peer Group Evaluation Committee members will be drawn from other units. In selecting the members, the unit director shall consult with the Vice President for University Libraries and University Librarian.

It is the responsibility of the appropriate peer group to arrive by vote at a recommendation with respect to each candidate, and to submit that recommendation to AUL/Unit Director using Form NTT-3. 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.)** Unit directors should ensure that faculty members who have a conflict of interest with the candidate are recused from participating in the discussion or vote; recusals must be listed with faculty not attending the meeting and do not count towards the total votes. If fewer than two-thirds of those voting support the candidacy, the recommendation of the unit shall be recorded as a negative recommendation. 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.

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

1. New Brunswick Libraries
   > Unit Director: Associate University Librarian, Rutgers University-New Brunswick

2. Special Collections and University Archives
   > 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: ==Associate University Librarian, Rutgers Biomedical and Health Sciences==

J.   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 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.

The unit director shall notify the appropriate peer group that there will be candidates for promotion and the unit director or designee shall schedule the initial meeting at which an ad hoc chair will be elected.

The unit director shall sign the Form NTT-1-L within ten (10) days of receipt of it from the candidate, to indicate concurrence with its content. 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

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[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.

shall so indicate in the space provided above their signature attaching an explanation to the Form.

The unit director shall attach the candidate's list of documents to the promotion packet (Appendix E). The unit director shall circulate that list and all documents or materials submitted by the candidate, together with any other relevant material to the appropriate reviewing bodies.

Upon receipt of the peer group's recommendation, the unit director shall prepare a narrative summary of his or her recommendation (Form NTT-4) 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 their 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 user letters 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 NTT-2: The unit director shall complete and sign Form NTT-2 which specifies the criteria applicable to the candidate, and obtain the signature of the candidate.

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 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 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 promotion of the uniform resource locator (URL) where a copy of these Instructions can be accessed by the candidate.

K.   Responsibilities of the Ad Hoc Chair

When there are candidates for promotion the unit director or designee shall schedule the initial meeting of the appropriate peer group as set forth in Section I, 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 promotion actions appropriate to his or her rank. The ad hoc chair shall forward the completed Form NTT-3 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 their views with colleagues and providing them with an opportunity to respond. <mark>Such discussions may be conducted via video conferencing provided the identity of each individual can be verified.</mark> Only those librarians who are present at the peer group 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.[4]

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. <mark>**The report must address any negative votes or abstentions**</mark>. 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 NTT-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 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 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 N.

L.   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 and the unit director, the Vice President for University Libraries and University Librarian shall make their independent evaluation and prepare a brief statement of approval or denial of the promotion (Form NTT-5). 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 shall provide specific justification based on the record for their recommendation. The Vice President for University Libraries and University Librarian must check the box on Form NTT-5 that they have reviewed its contents. 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 (Form NTT-5), the Vice

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[4] Multi-campus units (units where faculty reside across New Brunswick, Newark and/or Camden campuses) may use video conferencing where an individual's identity can be verified.

President for University Libraries and University Librarian will meet with the unit director to discuss the matter.

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

M.   Final Levels of Review

The Vice President for University Libraries and University Librarian shall be the final level of evaluation for all promotion evaluations for NTT University Libraries faculty.

N   Notification of Final Action

Formal notification of the final action in NTT promotion decisions shall be sent to the candidate by the Vice President for University Libraries ices and University Librarian. Specifically, the candidate will be notified in writing by the Vice President for University Libraries and University Librarian of the final decision in the particular personnel action within ten (10) working days of the final decision with a copy to the Office of University Labor Relations. For unsuccessful candidacies, such notification shall include an invitation to meet with the Vice President for University Libraries and University Librarian.

O.   Withdrawal from Consideration

Prior to consideration by the Vice President for University Libraries and University Librarian, the promotion evaluation of any candidate may be withdrawn by mutual consent of the candidate and unit director. In such event, the unit director shall advise the Vice President for University Libraries and University Librarian in writing of the withdrawal. Subsequent to the commencement of consideration of the packet by the Vice President for University Libraries and University Librarian, withdrawal of a candidacy requires the approval of the Vice President for University Libraries and University Librarian. (Withdrawal after a candidate has requested promotion evaluation and signed Form 1 constitutes an evaluation for purposes of determining the four-year period: see Section C).

P.   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 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 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 program as described herein. The letters from users shall be jointly solicited by the primary library unit director and the secondary library unit director in cases of library faculty affiliated with more than one library unit. In cases of library faculty affiliated with a library unit and a university department, center, bureau, institute, decanal unit or degree-granting program, the letters from users shall be solicited by the library unit director. 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 interval since the last evaluation for 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.)

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Q   For Candidates: Technical Resources for Assembling Packets

To facilitate assembling your packet, input your data to the online Faculty Survey Sysetm: 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.