

# **Appointments and Promotions Guidelines**

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

Key: Document is a clean version of University September 29, 2020 proposal. Modification to footnote 2 on page 5 shows language accepted from Union 10-22-2020 proposal in normal type with additional October 28, 2020 language shown in underline/italics and deletions in strikethrough.

# Rutgers Biomedical and Health Sciences

## POLICIES AND GUIDELINES Governing Appointments, Promotions, and Professional Activities of the Faculty<sup>1</sup>

October 31, 2020

<sup>1</sup> This document refers herein to RBHS in general but these policies and guidelines are to apply to faculty whose primary appointment is to a legacy UMDNJ school, department, Center, Institute or program in RBHS but not to faculty whose primary appointment is in legacy Rutgers. The provisions of these Guidelines that are mandatorily negotiable may not be amended, changed or modified without the written agreement of AAUP-BHSNJ. Violations of the provisions of these Guidelines related to the length of a term of appointment may be brought as a Category One Grievance. All other alleged violations of the provisions of these Guidelines shall be processed as category two grievances. Where the collective negotiations agreement between the AAUP-BHSNJ and the University contains a specific dispute resolution procedure, those specific articles shall take precedence and be used for the resolution of applicable disputes.

These Guidelines shall not apply to faculty members with an FTE of 0.1 to less than 0.5 FTE. Current terms and conditions of employment for those employees shall remain in place until modifications to those terms and conditions of employment are specifically negotiated for those faculty. The parties agree that following the conclusion of negotiations for a 2018-2023 collective negotiations agreement they will negotiate over the applicability of the mandatorily negotiable provisions of the A&P Guidelines to faculty members with an FTE of 0.1 to less than 0.5 FTE.

## TABLE OF CONTENTS

	Page
I Overview	3
I.A. Founding Principle	3
I.B. Tenure-Track, Tenured and Non-Tenure Track Titles	3
I.B.1 Tenure Track	3
I.B.2 Non-Tenure Tracks	3
II Criteria for Appointments and Promotions	4
II.A Appointment as RBHS Lecturer or RBHS Instructor	5
II.A.1 RBHS Lecturer	5
II.A.2 RBHS Instructor	5
II.B Tenure-Track, Tenured and Non-Tenure Track Titles	6
II.B.1 Tenure Track	6
II.B.2 Non-Tenure Track Titles	10
II.B.2.a Teaching Track	10
II.B.2.b Clinical Track	15
II.B.2.c Professional Practice Track	21
II.B.2.d Research Track	26
II.D Transfers Between Tracks	30
II.E Existing Tenure on the Effective Date of the Guidelines	31
III Appointments and Promotions – Adjunct and Visiting Faculty	36
III.A Adjunct Clinical Titles	36
III.B Adjunct Research and Teaching Titles	37
III.C Visiting Appointments	38

## **I. Overview**

### **A. FOUNDING PRINCIPLE**

A founding principle of Rutgers Biomedical and Health Sciences (RBHS) is the expectation of exceptional achievement in basic, translational, clinical, or other forms of investigation, and in the practice and teaching of the health professions. The institution recognizes the central role of its faculty in meeting these goals and will support their efforts to become leaders in their respective fields. Towards this end, RBHS will endeavor to provide the necessary infrastructure and environment, and RBHS will strive to nurture the culture of intellectual curiosity to support the endeavors of the faculty to create knowledge and move the health care field forward. Fulfillment of these obligations by the university is indispensable in ensuring the ability of faculty members to achieve these aspirations.

### **B. TENURE-TRACK, TENURED and NON-TENURE TRACK TITLES**

These goals will be achieved by faculty appointed to one of five different tracks: a tenure track, and four non-tenure tracks. Each track serves an equally important but different function towards ensuring the collective success of the institution and its faculty. There is rank equivalence among teaching, clinical, professional practice, and research faculty of the University (see Rutgers Policy 60.5.2).

Tracks are designated as:

#### **1. TENURE TRACK:**

Appointment and promotion to the Tenure Track is based primarily on leadership in laboratory, translational, clinical, or health care research, or any other research relevant to the health sciences. Tenure may be granted only to faculty on the Tenure Track. Excellence in teaching and health care activities (if applicable) are also expected.

##### Tenure Track (and Tenured) Titles:

Assistant Professor (Tenure Track only)  
Associate Professor  
Professor  
Distinguished Professor

#### **2. NON-TENURE TRACKS:**

a. TEACHING TRACK: Appointment and promotion to the Teaching Track is based primarily on leadership in teaching, including generally recognized scholarship in the field of education and/or the faculty member's field of practice. Excellence in health care activities (if applicable) is also expected.

##### Teaching Track Titles:

Assistant Professor, Teaching Track  
Associate Professor, Teaching Track  
Professor, Teaching Track  
Distinguished Professor, Teaching Track

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

b. CLINICAL TRACK: Within the Clinical Track exists two different types of clinical appointments: Clinical Scholar and Clinical Educator.

Clinical Scholar – Appointment and promotion as a Clinical Scholar is based primarily on excellence in health care practice (when applicable), as well as collaborative research and administrative contributions. Excellence in teaching is also expected.

Clinical Educator – Appointment and promotion as a Clinical Educator is based primarily on excellence in clinical practice, teaching, scholarship, and service for clinical faculty.

Clinical Track Titles:

Assistant Professor, Clinical Track  
Associate Professor, Clinical Track  
Professor, Clinical Track  
Distinguished Professor, Clinical Track

c. PROFESSIONAL PRACTICE TRACK: Professional Practice Faculty are expected to have professional experience, which may include health care delivery, or equivalent intellectual capital, in their chosen field of professional practice which enables them to bring to their work as a faculty member both a professional perspective and a knowledge of the contexts in which graduates may be employed.

Professional Practice Track Titles:

Assistant Professor, Professional Practice Track  
Associate Professor, Professional Practice Track  
Professor, Professional Practice Track  
Distinguished Professor, Professional Practice Track

d. RESEARCH TRACK: Appointment and promotion to the Research Track is based primarily on collaborative contributions to laboratory, translational, clinical, or health care research, or any other research relevant to the health sciences, and teaching related to the conduct of the research.

Research Track Titles:

Assistant Professor, Research Track  
Associate Professor, Research Track  
Professor, Research Track  
Distinguished Professor, Research Track

## **II. CRITERIA FOR APPOINTMENTS AND PROMOTIONS**

A high standard of professional integrity is a criterion for appointment and promotion for all faculty, regardless of track and rank.

Selection of the track most appropriate for a new faculty member shall be determined by the department chair, in consultation with the faculty member, the dean, and the relevant provost. Decisions on track selection are based on the qualifications and career aspirations of the faculty member and the availability of resources for appropriate support on a particular track. At the time of appointment, a mentor or mentoring committee will be selected from an RBHS-wide pool of qualified and trained mentors for each newly appointed junior faculty member, who will

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

oversee the specific career progress of the faculty member. These events take place at the time of appointment in RBHS.

If an individual has not had a prior faculty appointment at any institution, the initial appointment should typically be at the level of RBHS Instructor, RBHS Lecturer, or Assistant Professor. In such cases, the decision will depend upon the extent of previous training and scholarship and the faculty member's readiness to begin an independent career on a specific track, as determined by the department chair in consultation with the faculty member. Appointments to the Tenure Track at the Assistant Professor level will typically require prior research training and some level of previously proven research productivity. Individuals recruited from faculty positions at other institutions or from other established professional positions may be appointed at any rank, as appropriate, after taking into consideration their qualifications and previous rank.

#### **A. APPOINTMENT AS RBHS LECTURER OR RBHS INSTRUCTOR**

##### **1. RBHS Lecturer**

To be appointed as an RBHS Lecturer, faculty may not yet have completed their terminal degree, but will be working on that degree while serving as part-time or full-time teachers of their discipline. Full-time RBHS Lecturers will receive from 1 to 3 year appointments and may maintain this rank for up to 10 years. If Rutgers reappoints a RBHS Lecturer in the 9th year of appointment, then he/she receive a 1-year terminal, non-renewable appointment for year 10. Once a faculty member has achieved a terminal degree and satisfies the applicable criteria for promotion, the faculty member may be considered for promotion to RBHS Instructor or Assistant Professor in the relevant track. Appointment as RBHS Lecturer does not require designation of track. Faculty can be part-time RBHS Lecturers indefinitely.

Notwithstanding the foregoing, the University may decide at any time prior to the end of the ninth year of appointment that it will not reappoint the RBHS Lecturer provided that Rutgers has met the notice requirements of Article \_\_\_\_\_. RBHS Lecturers may be appointed as coterminous with an identified funding source. A coterminous faculty member is one hired and retained to perform services under a contract or grant and whose salary and benefits are directly dependent on the fees paid under that contract or grant. The offer letter of those faculty will specifically state that their employment is coterminous with the specific contract or grant.<sup>2</sup> The position can be terminated at the time when these funds are no longer available.

##### **2. RBHS Instructor**

<sup>2</sup> For purposes of these Guidelines, a negotiations unit member's appointment will not be defined as coterminous due solely to funding provided to the University under the Master Affiliation Agreement between Rutgers and RWJBH and agreements entered into between the University and RWJBH to implement the Master Affiliation Agreement, where the purpose of the funding is to support the compensation and benefits of full-time and part-time tenured, tenure track or NTT faculty employed by the University. Faculty hired for a specific project or purpose of a limited duration, not to exceed six months, may be classified as coterminous, even if funding for their compensation and benefits is provided under the Master Affiliation Agreement.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

Appointment as RBHS Instructor provides the new faculty member up to 3 years to choose a career direction and associated track. To be appointed as RBHS Instructor, the faculty member must normally have an advanced graduate degree or equivalent experience or must have completed an accredited residency and/or fellowship or equivalent; be eligible for certification by their specialty Boards, for those with health care background in fields that have Board certifications, and have evidence of a potential for substantial academic achievement in a health-related field. RBHS Instructors will receive from one to three year appointments and may maintain this rank for up to 4 years. If Rutgers reappoints a RBHS Instructor in the 3rd year of appointment, then he/she will receive a 1-year terminal, non-renewable appointment for year 4. Once a faculty member satisfies the criteria for promotion the faculty member may be promoted to Assistant Professor on one of the five full time faculty tracks. Appointment as RBHS Instructor does not require designation of track.

Notwithstanding the foregoing, the University may decide at any time prior to the end of the third year of appointment that it will not reappoint the RBHS Instructor provided that Rutgers has met the notice requirements of Article.

**Comment [DC1]:** Note to all: We will insert here proper name/number for Notice of NonReappointment article.

RBHS Instructors may be appointed as coterminous with an identified funding source. A coterminous faculty member is one hired and retained to perform services under a contract or grant and whose salary and benefits are directly dependent on the fees paid under that contract or grant. The offer letter of those faculty will specifically state that their employment is coterminous with the specific contract or grant. The position can be terminated at the time when these funds are no longer available.

Extensions to the timetables outlined above may be granted in extenuating circumstances. Extensions must be approved by the chair, dean, and provost. No extension applicable to the final year of the faculty member's appointment may be requested or granted.

Wherever the terms "terminal degree" and "advanced graduate degree" are used in these Guidelines, these shall mean a terminal degree or advanced graduate degree appropriate to the faculty member's profession and/or specialty.

## **B. TENURE-TRACK, TENURED AND NON-TENURE TRACK TITLES**

### **1. TENURE TRACK**

#### **Criteria for Award of Tenure**

Faculty are appointed to the Tenure Track with the expectation that they will spend the majority of their time leading investigations to create new insight and understanding of their field. The area of investigation can span any of the disciplines or modalities related to biomedical sciences, whether it is based in the laboratory, hospital or clinic, community, or whether it is methodologic, epidemiologic, computational, biostatistical, educational, or other, and whether it addresses health care outcomes, bioethics, social science, population science, health economic aspects of health care, biomedical education, or other relevant biomedical research fields. Both basic and applied research are acceptable. Creativity in the work conducted is expected, including for example, development of innovative technologies or methods or novel applications of existing technologies. For the award of tenure, faculty in this track will commonly conduct at least some work that develops novel approaches to conducting their research.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

Faculty on the Tenure Track are expected to distinguish themselves as leaders in their fields, becoming recognized for their scholarship in the scientific community commensurate with the point in their career trajectory. They are expected to demonstrate that recognition by a variety of mechanisms, including high impact publications, substantial and sustained peer reviewed support, officer positions in societies, memberships in honorary societies and editorial boards, and external invited research presentations. They are expected to develop national and/or international reputations attested to by external letters from referees at the rank or higher for which the faculty member is being considered or equivalent. These referees may not have had training or collaborative relationships with the candidate and must be able to provide critical and unbiased assessments of the candidate's contributions. In addition to distinguished scholarly accomplishments, candidates' records in teaching, health care delivery (where appropriate), and service will be considered in the decision to award promotion and tenure, at least some of which is led by the faculty member, with the rest of their time supported from their teaching, administrative, and health care delivery (if relevant) activities.

Tenure on the Tenure Track can only be awarded to faculty at the Associate Professor level or above, or concurrently with promotion to Associate Professor. Faculty on the Tenure Track must be considered for tenure according to timetables outlined below.

Assistant Professors on the Tenure Track will normally receive three-year renewable appointments. Three-year contracts can be renewed twice; at three years after formal review and at six years after formal review. If the faculty member is not successful in obtaining the award of tenure by the ninth year, they will be given a one-year nonrenewable terminal contract. If faculty members choose to be considered for Tenure prior to the ninth year and are not successful, they may remain on the Tenure Track and have the potential to be considered for tenure again through their ninth year, with the approval of the Dean and Chancellor.

Tenure is customarily granted at the time of promotion to Associate Professor. On occasion, an Assistant Professor on the Tenure Track may be promoted to Associate Professor after a minimum of four years as Assistant Professor without the concurrent award of tenure. Promotion to Associate Professor, Tenure Track typically takes place when the accomplishments of the faculty member fulfill the criteria of the rank, but have not yet resulted in the full recognition by their field as defined by tenure criteria, including the requirement for sustained and substantial peer reviewed extramural support for their investigations. The promotion does not change the nine-year maximum that the faculty member, whose initial appointment was to the Tenure Track, may remain on the Tenure Track before s/he must receive tenure.

In the situation when an Assistant Professor from an outside institution is appointed to the Tenure Track, they will have a total of nine years from their appointment to an RBHS school to be awarded tenure, as previously described. If an Assistant Professor from other tracks transfers to the Tenure Track, they will have a total of nine years from the time of their original appointment or promotion to Assistant Professor to be awarded Tenure, plus one additional year to account for the lack of protected time on the other tracks. If a Non-Tenured Associate Professor transfers from an outside institution or from a Non-Tenure Track Associate Professor position from one of the RBHS schools, they will have a total of five years from the time of their appointment as Associate Professor on the Tenure Track to receive the award of tenure. If they fail to be awarded tenure at this time, they will be given a one-year terminal non-renewable appointment. On rare occasions, faculty from an outside institution may be appointed as Professor without tenure for up to a total of five (5) years. If an award of tenure is not received



October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

within five (5) years, the faculty member will be given a one-year terminal non-renewable appointment.

All faculty must undergo formal tenure track review in the third year following appointment to the Tenure Track.

Extensions to the timetables for tenure consideration outlined above may be granted to faculty on the tenure-track in certain circumstances such as a serious health condition, parental or familial circumstances, and/or leave without pay, in accordance with Article \_\_\_ Leave for Family and Medical Reasons or Article \_\_\_ Leave Without Pay. An approved exclusion of up to two years from the probationary period shall automatically extend the term of appointment equal to the approved exclusion from the probationary period. No extension applicable to the final year of the faculty member's probationary period may be requested or granted. No faculty member may have more than two years excluded from his/her probationary period.

### **Progression Through Rank**

#### **a. Assistant Professor (Tenure-Track)**

The major criterion for appointment or promotion to Assistant Professor on the Tenure Track is demonstration of prospects towards development of an independent investigative program as demonstrated by formal research training, publications of initial discoveries, and achievement of or prospects for successful competition for peer-reviewed career development or independent research awards. Time in rank is not a sufficient criterion in itself for promotion. Faculty members appointed/promoted as Assistant Professor are expected to establish an independent research program in a timely manner. Participation in teaching and health care delivery activities (where applicable) should be considered. It is ordinarily the practice of the university not to appoint an Assistant Professor for a second or third term unless there is reasonable expectation that at the end of that time there will be opportunity for further promotion, if he or she has qualified. In case of doubt, appointments for one-or two-year terms may be made. In the event of non-reappointment, a terminal year will be available. No recommendation for promotion will be accepted in this terminal year, and its purpose is to allow the faculty member time to seek other employment.

#### **b. Associate Professor**

Appointments and promotions to Associate Professor on the Tenure Track are based on productivity in rank, based primarily on the original, independent scholarly contributions of the faculty member, and are evaluated using the criteria below, listed in the typical order of importance. Faculty who transfer to the Tenure Track holding the title of Associate Professor will also undergo review every three years after their transfer until the award of Tenure.

##### **i. Investigations, National Recognition, and Other Scholarly Accomplishments**

In order to be appointed/promoted to Associate Professor on the Tenure Track, a faculty member must be responsible for leading an outstanding body of original laboratory, translational, clinical, or health care research, or any other research relevant to the health sciences, that contributed to the understanding and advancement of a field and for which they have achieved national recognition.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

In the course of achieving these discoveries and recognition, the faculty member typically formulated original research ideas, set up the research methodology, obtained funding through peer-reviewed mechanisms, recruited the necessary personnel, analyzed and interpreted the results, presented at significant scientific meetings, and published in high-quality peer-reviewed journals in which the faculty member is typically the first or senior author.

Citation indices such as the faculty member's H-index, or other impact factors more appropriate to the field of study, are sometimes useful aggregate measures of the impact of a faculty member's work, but other measures of impact, e.g., changing public policy or clinical practice, are also relevant. The number of publications is considered, but of more importance is the quality of the body of work, as evidenced by the sources of the publication and by the national and international impact of the contributions.

RBHS expects that Associate Professors on the Tenure Track should have sufficient stature to be considered as leaders in their respective research fields by the scientific community when compared to faculty members of similar experience and seniority at other institutions. These achievements should be documented by written attestations by leaders in the field from other institutions at the level of Associate Professor or equivalent or higher, who have not had training or collaborative relationships with the candidate.

#### ii. Teaching

Excellence in teaching is an important consideration for appointment/promotion to Associate Professor in the Tenure Track. Appropriate activities include but are not limited to leading or participating in didactic courses, mentorship of graduate students and postdoctoral fellows, participation in graduate student thesis committees, development of novel materials, and teaching in the clinical arena where applicable.

#### iii. Supplemental Evidence of National Recognition

Since Associate Professors on the Tenure Track are expected to be leaders in their respective fields, they must have achieved a level of national recognition. A primary means of evaluating this are letters from leaders in the field from other institutions at the level of Associate Professor or equivalent or higher, who have not had training or collaborative relationships with the candidate, as noted above. Additional evidence of this can include:

- (1) Invitations as a speaker or visiting professor at other academic institutions.
- (2) Invited presentations at regional and national meetings.
- (3) Memberships and positions of leadership in professional societies and selective organizations.
- (4) Editorial board memberships and other editorial review assignments.
- (5) Consultative positions with various national government and private agencies (study sections, FDA panels, planning committees or data and safety monitoring boards of multicenter trials, foundations, NIH disease specific steering committees or advisory panels, American Cancer Society, other universities, etc.).
- (6) Service as an organizer of regional, national, or international meetings.
- (7) Establishment and/or leadership of an accredited training, residency, or subspecialty fellowship program.

#### iv. Assessment of Health Care Delivery Excellence, Productivity, and Value (where applicable)

This can include:

- (1) Evaluation by local senior faculty members in the specialty or subspecialty of the candidate, as well as input from other health care professionals and trainees who have interacted with the candidate and can judge her/his abilities.
- (2) Recognition of unique expertise by superior performance of special consultative services based on centers of excellence, referrals, and measures of productivity.
- (3) Other measures of clinical excellence, listed below in the descriptions of the Clinical Track and Professional Practice Track

v. Service to the Academic Health Center, University, and Community

Service can include:

- (1) Administrative roles in school, hospital, departmental, or divisional activities.
- (2) Service on school, hospital, departmental, or divisional committees.
- (3) Important contributions to administration of basic science research, clinical laboratory program, cores, or other institutional programs.
- (4) Membership on federal, foundation, state, regional, or local grant review panels
- (5) Membership and service as officers in national societies or organizations in the faculty member's field.
- (6) Community service activities, beyond those done as part of their normal funded faculty roles.

c. Professor

Appointment or promotion of a faculty member to a full Professor on the Tenure Track is an honor that requires careful evaluation, using the same criteria listed above for Associate Professor with correspondingly higher expectations, based primarily on achievements while an Associate Professor. A Professor in the Tenure Track at RBHS should be internationally recognized for investigative excellence in her/his specialty or subspecialty and have been recognized as having shaped the thinking in their fields. Promotion to Professor can be considered, except in exceptional circumstances, after having served at least four years at the rank of Associate Professor or equivalent.

d. Distinguished Professor

The title of Distinguished Professor is conferred upon unique individuals with international reputation who are undisputed thought leaders in their fields and have had singular roles in shaping the understanding of a discipline. They are typically faculty members whose contributions have been recognized by membership in the National Academy of Sciences, the Institute of Medicine/National Academy of Medicine, or equivalent, and have received national and international awards recognizing their contributions to their fields. Professors can be considered for promotion to Distinguished Professor at any time.

**2. NON-TENURE TRACK TITLES**

Faculty appointed to non-tenure track titles are not eligible for tenure.

a. TEACHING TRACK

Criteria for Appointment

The Teaching Track provides a mechanism for recognizing and rewarding faculty of all disciplines at RBHS who excel as leaders in teaching and scholarship in the field of education and/or the faculty member's field of practice. These faculty are primarily involved with dissemination of teaching methods and materials, creation of outstanding continuing professional education, and teaching programs for students, housestaff, fellows, and faculty, development of novel and effective courses, and the development of educational materials. In addition, they will be expected to have nationally recognized scholarship for their educational accomplishments, as evidenced by published papers and textbooks. They will also be expected to have invited talks, memberships in program review or accreditation committees, etc., as outlined below.

Faculty on the Teaching Track will also be evaluated on the basis of their professional skills and knowledge necessary for superior health care activities (if applicable) and administration (if applicable).

Faculty involved with health care delivery activities will also be evaluated for their excellence in their fields commensurate with rank, as outlined below. These are determined by Board certification in their primary specialty or discipline or the equivalent (if applicable), sustained excellence in meeting the expectations of the position, regional or national reputation based on opinions from senior faculty members and other health care professionals in their field and trainees and adequate clinical productivity commensurate with the clinical portion of their effort.

Assistant Professors on the Teaching Track will receive one-to-three year renewable appointments.

Faculty whose initial appointment is Associate Professor on the Teaching Track will receive one-to-five year renewable appointments. Faculty who are promoted to Associate Professor on the Teaching Track or faculty who have their initial appointments as Associate Professor on the Teaching Track renewed, will receive two-to-five year renewable appointments upon reappointment. After ten years of service as Associate Professor on the Teaching Track, faculty will receive three-to-five year renewable appointments if reappointed.

Faculty whose initial appointment is Professor on the Teaching Track will receive one-to-five year renewable appointments. Faculty who are promoted to Professor on the Teaching Track or faculty who have their initial appointments as Professor on the Teaching Track renewed, will receive three-to-five year renewable appointments upon reappointment. After ten years of service as a Professor on the Teaching Track, faculty will receive three-to-seven year renewable appointments if reappointed.

Faculty whose initial appointment is Distinguished Professor on the Teaching Track will receive one-to-five year renewable appointments. Faculty who are promoted to Distinguished Professor on the Teaching Track or faculty who have their initial appointments as Distinguished Professor on the Teaching Track renewed, will receive three-to-five year renewable appointments upon reappointment. After ten years of service as a Distinguished Professor on the Teaching Track, faculty will receive three-to-seven year renewable appointments.

Reappointment of faculty on the Teaching Track is contingent upon a continuing need for the position, a positive formal evaluation, and availability of funding to support the position.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

Faculty on the Teaching Track may be appointed as coterminous with an identified funding source. A coterminous faculty member is one hired and retained to perform services under a contract or grant and whose salary and benefits are directly dependent on the fees paid under that contract or grant. The offer letter of those faculty will specifically state that their employment is coterminous with the specific contract or grant. The position can be terminated at the time when these funds are no longer available, pursuant to the notice requirements of Article 27 "Notice of Non-reappointment."<sup>3</sup>

Written notice that an appointment is not to be renewed shall be given in advance of the expiration of their appointments in accordance with Article 27 "Notice of Non-reappointment" of the AAUP-BHSNJ Contract.

### **Progression Through Rank**

Essential criteria for promotion for faculty members on the Teaching Track are nationally recognized scholarship and/or collaborative research in education and/or the faculty member's field of practice, including educational program leadership; excellent contributions to the teaching mission of their school; excellence in their health care skills (if applicable); and excellence in their administrative functions (if applicable). More specific criteria for appointment and promotion to each rank on the Teaching Track are set forth below.

#### **i. Assistant Professor**

The major criteria for appointment or promotion to Assistant Professor on the Teaching Track are combined competence in education, scholarship on education and/or the faculty member's field of practice, conduct of health care duties (if relevant), and administration activities (if relevant). Participation in teaching and scholarly activities in education in which the faculty member has engaged and/or the faculty member's field of practice will be the primary consideration for appointment. Assistant Professors who have health care duties should have satisfied requirements for Board certification in their primary specialty or discipline or the equivalent for advanced degree-holding specialists. Faculty on the Teaching Track must participate in relevant scholarship, disseminated nationally and internationally through normal channels, i.e., publications in peer reviewed journals and presentations at national and international meetings. If relevant, achieve adequate clinical productivity commensurate with the clinical portion of their effort.

#### **ii. Associate Professor**

Appointments and promotions to Associate Professor on the Teaching Track are based upon the following criteria:

##### **(1) Education**

Excellence in educating and scholarship in education and/or the faculty member's field of practice is the most important consideration for promotion to Associate Professor on the Teaching Track. Education can take many forms and includes involvement in curriculum and course development, training, teaching, and advising of undergraduate, medical, dental, or other

<sup>3</sup> See footnote 2.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

health professional or graduate students, residents, clinical, and postdoctoral research fellows, and colleagues through mentoring. Teaching can be in multiple settings including classroom and on-line settings as well as one-on-one in laboratories, inpatient and outpatient practice settings, and community settings.

#### (2) Scholarship

Scholarly activities are a requirement for appointment or promotion on the Teaching Track and will be considered towards appointment or promotion. The scholarship will be focused on the specific area of education of interest to the faculty member and/or the faculty member's field of practice, but should represent a theme or themes of peer reviewed work and should be nationally accessible and recognized beyond RBHS.

Appropriate activities in this regard include but are not limited to publication of case reports, case series, educational materials, scholarly reviews, book chapters or textbook authorship or editorship, creation of novel computer programs, and development of innovative and generally available teaching materials or practice guidelines, curricula, or teaching methods and approaches, or substantial contribution in educational research. In all cases, Teaching Track faculty will be expected to have nationally recognized scholarship for their educational accomplishments, as evidenced by published papers and textbooks. They will also be expected to have invited talks, memberships in program review or accreditation committees, etc.

#### (3) Assessment of Health Care Delivery Excellence

Requirements for appointment and promotion to this rank, except in exceptional circumstances, include four or more years of service at the rank of Assistant Professor at Rutgers RBHS or an equivalent institution, board certification in their primary specialty or discipline or the equivalent (if applicable) for advanced degree-holding specialists, and sustained excellence in meeting the expectations of the position. This includes the expectation that the faculty members will be outstanding health care providers in their respective fields (if applicable), that they will have achieved sufficient reputation to receive consultations or referrals (where applicable) of challenging health care problems from health care professionals and other institutions in New Jersey or the region, and that they provide a level of care that is regarded as outstanding in quality, productivity, and value in comparison to their peers. At the time that promotion is being considered, the opinions on health care delivery performance will be gathered from senior faculty members and other health care delivery faculty and/or health professionals and trainees who have interacted with the candidate and can judge her/his abilities. The evaluation of health care provider excellence also includes recognition of unique expertise as determined by superior performance of consultative services, if applicable.

#### (4) Administration

Faculty with primarily administrative duties in educational programs must demonstrate successes in the outcomes of the programs they administer, or other indications of the excellence of their programs. They must excel in metrics that are available to evaluate their programs, they must successfully obtain national certification and recertification of the programs they administer, if such certification is required, they must demonstrate fiscal responsibility in their program, and they must demonstrate innovation, quality improvement, and scholarship regarding administration or education in the program with which they are charged.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

(5) Evidence of Local, Regional, or National Recognition

Evidence for local, regional, or national reputation as an educator will be supported by letters from internal and external referees who have not had training or collaborative relationships with the candidate and who can provide critical and unbiased assessments of the candidate's contributions. Other means of recognition are listed in Section II.B.1.b.iii.

(6) Service to the Academic Health Science Center, University, and Community

Service can include administrative and service roles within the university, memberships in organizations and societies, grant review panels, and in the community.

iii. Professor

Appointment or promotion of a faculty member to Professor on the Teaching Track is made in recognition of exceptional achievement as an educator using the same criteria listed above for Associate Professor with correspondingly higher expectations, based primarily on achievements while an Associate Professor. A Professor in the Teaching Track at RBHS should be nationally recognized for leadership or pioneering work in education and education scholarship and/or the faculty member's field of practice, as documented by scholarship in the area, as well as having met or surpassed all of the requirements for Associate Professor. Except in exceptional circumstances, they should have had at least four years of service at the rank of Associate Professor in RBHS or an equivalent institution.

iv. Distinguished Professor

The title of Distinguished Professor on the Teaching Track is conferred upon unique individuals with international reputation who are undisputed thought leaders in their fields and have had singular roles in shaping the understanding of a discipline. They are typically faculty members whose contributions have been recognized as leaders in and for shaping the field of their investigation. In the Teaching Track, they should be internationally recognized for their scholarship in education and/or the faculty member's field of practice. This recognition will be evidenced by a substantial body of scholarship of exceptionally high impact, field changing publications that have led to novel approaches to teaching, education, or understanding of the candidate's field and have impacted the mainstream approach to their discipline. The impact of their scholarship shall be attested to by leaders of their or related disciplines who provide a narrative of the field changing impact of the candidate's scholarship, by membership or leadership in elite societies and clear evidence of national leadership in their fields, and national and international awards recognizing their contributions to their fields. Professors can be considered for promotion to Distinguished Professor at any time.

**b. CLINICAL TRACK**

**Criteria for Appointment**

Within the Clinical Track exists two different types of appointments: the Clinical Scholar and the Clinical Educator. Appointment as a Clinical Scholar is based primarily on excellence in health care practice (when applicable), collaborative research, teaching, and administrative contributions. Appointment as a Clinical Educator is based primarily on excellence in clinical practice, scholarship, teaching, and service.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

The Clinical Track provides a mechanism for recognizing and rewarding faculty at RBHS who have demonstrated evidence of substantial collaborative scholarship (if applicable) and reputation in health care or related fields, patient care (if applicable), and excellence in education and administration (if applicable). Faculty members on the Clinical Track will have professional skills and knowledge necessary for superior health care delivery, education, administration, and research (if applicable) and will be evaluated on the basis of their individual skills and unique contributions to the university. Faculty on the Clinical Track are normally expected to spend most of their time clinically with, for Clinical Scholars, some of their time performing collaborative research resulting in nationally recognized and peer reviewed scholarship. However, this track would also be appropriate for non-clinicians who spend most of their time in collaborative efforts supporting clinical research, e.g., biostatisticians or health economists who are contributing unique expertise to others' research but are not primarily developing new biostatistical methods. From the effective date of these Guidelines, leaders of clinical training programs, clinical departments, or clinical divisions will be chosen primarily from the Tenure Track, the Teaching Track, or the Clinical Track.

Clinical Scholars are expected to engage in research and publish the results of their collaborative research; whereas Clinical Educators are not required to have a research component but are expected to produce a significant body of scholarly publications (see below – page 16, Section 3 – Scholarship for definition). Faculty on the Clinical Track may participate in team research and/or funded research as a significant contributor and will have substantial authorship on significant publications, and recognition outside of the institution. In contrast to the Tenure Track, and if applicable, a Clinical Track faculty member must make independent intellectual contributions to a research program with a clear theme, but need not be the leader and driving force behind the body of work with which s/he is associated. Their research can be basic or applied in nature.

Faculty on the Clinical Track involved in health care activities will be evaluated for their excellence in their health care fields commensurate with rank, as outlined below. These are determined by Board certification in their primary specialty or discipline or the equivalent (if applicable), sustained excellence in meeting the expectations of the position, regional or national reputation based on opinions from senior faculty members and other health care professionals in their field and trainees, and adequate clinical productivity commensurate with the clinical portion of their effort.

Faculty on the Clinical Track are expected to contribute to the teaching mission of RBHS. Teaching can be in multiple settings including classroom and on-line settings as well as inpatient and outpatient practice settings, and community settings.

Faculty on the Clinical Track involved with essential administrative activities including department chair, faculty affairs, the research and regulatory enterprise, and community health will also be expected to have nationally recognized scholarship for administrative accomplishments in their programs, as evidenced by published papers, textbooks, invited talks, memberships in program review and accreditation committees, etc.

Assistant Professors on the Clinical Track will receive one-to-three year renewable appointments.

Faculty whose initial appointment is Associate Professor on the Clinical Track will receive one-to-five year renewable appointments. Faculty who are promoted to Associate Professor on the Clinical Track or faculty who have their initial appointments as Associate Professor on the



October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

Clinical Track renewed, will receive two-to-five year renewable appointments upon reappointment. After ten years of service as Associate Professor on the Clinical Track, faculty will receive three-to-five year renewable appointments if reappointed.

Faculty whose initial appointment is Professor on the Clinical Track will receive one-to-five year renewable appointments. Faculty who are promoted to Professor on the Clinical Track or faculty who have their initial appointments as Professor on the Clinical Track renewed, will receive three-to-five year renewable appointments upon reappointment. After ten years of service as Professor on the Clinical Track, faculty will receive three-to-seven year renewable appointments if reappointed.

Faculty whose initial appointment is Distinguished Professor on the Clinical Track will receive one-to-five year renewable appointments. Faculty who are promoted to Distinguished Professor on the Clinical Track or faculty who have their initial appointments as Distinguished Professor on the Clinical Track renewed, will receive three-to-five year renewable appointments upon reappointment. After ten years of service as a Distinguished Professor on the Clinical Track, faculty will receive three-to-seven year renewable appointments.

Reappointment of faculty on the Clinical Track is contingent upon a continuing need for the position, a positive formal evaluation, and availability of funding to support the position.

Faculty on the Clinical Track may be appointed as coterminous with an identified funding source. A coterminous faculty member is one hired and retained to perform services under a contract or grant and whose salary and benefits are directly dependent on the fees paid under that contract or grant. The offer letter of those faculty will specifically state that their employment is coterminous with the specific contract or grant. The position can be terminated at the time when these funds are no longer available, pursuant to the notice requirements of Article 27 "Notice of Non-reappointment."<sup>4</sup>

Written notice that an appointment is not to be renewed shall be given in advance of the expiration of their appointments in accordance with Article 27 "Notice of Nonreappointment" of the AAUP-BHSNJ Contract.

### **Progression Through Rank**

Essential criteria for promotion for faculty members on the Clinical Track are: nationally recognized scholarship in either collaborative research or program leadership (if applicable); excellence in their health care skills (if applicable), excellence in their contributions to the teaching mission of their school, and excellence in their administrative functions (if applicable). More specific criteria for appointment and promotion to each rank on the Clinical Track are set forth below.

#### **i. Assistant Professor**

The major criteria for appointment or promotion to Assistant Professor on the Clinical Track are combined competence in research (if applicable), carrying out health care duties (if relevant),

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<sup>4</sup> See footnote 2.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

education, and/or administration activities (if applicable). Assistant Professors with clinical responsibilities should have satisfied requirements for Board certification in their primary specialty or discipline or the equivalent for advanced degree-holding specialists. Faculty in the Clinical Track should have some degree of formal research training. Participation in teaching and any scholarly activities in which the faculty member has engaged will also be considered. Faculty involved in community service or outreach should participate in scholarship about their community work. Faculty with primary administrative duties must also participate in relevant scholarship, disseminated nationally and internationally through publications in peer reviewed journals and presentations at national and international meetings and teaching.

ii. Associate Professor

Appointments and promotions to Associate Professor on the Clinical Track are based upon the following criteria:

(1) Assessment of Health Care Excellence

Requirements for appointment and promotion to this rank, except in exceptional circumstances, include four or more years of service at the rank of Assistant Professor at Rutgers RBHS or an equivalent institution; Board certification in their primary specialty or discipline or the equivalent (if applicable) for advanced degree-holding specialists; and sustained excellence in meeting the expectations of the position. Requirements include the expectation that they will be outstanding health care providers in their respective fields, that they have achieved a sufficient reputation to generate consultations or referrals (where applicable) of challenging clinical problems from health care professionals and other institutions in New Jersey or the region, that they provide a level of care that is regarded as outstanding in comparison to their peers, and their clinical productivity and value is commensurate with the clinical portion of their effort. At the time that an appointment or promotion is being considered, opinion on health care delivery performance will be secured from senior faculty members and other health professionals and trainees who have interacted with the candidate and can judge her/his abilities. The evaluation of excellence in health care delivery also includes recognition of unique expertise, as determined by superior performance of consultative services.

(2) Education

Excellence in education is an important consideration for promotion to Associate Professor on the Clinical Track. Education can take many forms and includes involvement in curriculum and course development, training, teaching, and advising of undergraduate, medical, dental, or other health professional or graduate students, residents, clinical fellows and postdoctoral research fellows, and colleagues through mentoring. Teaching can be in multiple settings, including classroom and on-line settings as well as one-on-one in laboratories, inpatient and outpatient practice settings, and community settings.

(3) Scholarship

Scholarly activities are a requirement for appointment or promotion of Clinical Track faculty and will be considered towards appointment or promotion. The scholarship will be focused on the specific area of interest of the faculty member, but should represent a theme or themes of work and should be nationally accessible and recognized beyond RBHS.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

Clinical Scholar faculty members must make independent intellectual contributions to a supported research program. However, in contrast to the Tenure Track, they need not be the leader and driving force behind the body of work with which s/he is associated. Nevertheless, the research performed should still be of high quality, as demonstrated by publications, presentation at national meetings, meaningful participation in laboratory, hospital or clinic, community, methodologic or other relevant biomedical research, or other types of recognition on a local, regional or national level. Research support may be obtained through collaborations.

Clinical Educators need not participate in research but must produce a significant volume of scholarly publications in their area of expertise or interest. These can take the form of, but are not limited to, peer reviewed manuscripts, scholarly review articles, book chapters, case reports, case series, peer reviewed practice guidelines, consensus reports, development of innovative teaching materials, curricula or teaching methods, and other forms or peer reviewed publications or approaches to or contributions to research. *As noted above, these should represent a theme or themes of peer reviewed work and should be nationally accessible and recognized beyond RBHS.*

Faculty involved in community service or outreach should participate in scholarship about their community work.

#### (4) Administration (if applicable)

Faculty on the Clinical Track whose duties are primarily administrative must demonstrate successes in the outcomes of the programs they administer, or other indications of the excellence of their programs. They must excel in metrics that are available to evaluate their programs, they must successfully obtain national certification and recertification of the programs they administer, if such certification is required, they must demonstrate fiscal responsibility in their program, and they must demonstrate innovation, quality improvement, and scholarship regarding the administration of the program with which they are charged. These faculty also must demonstrate excellence in scholarship regarding the administration of the program with which they are charged, teaching, and health care activities (if applicable). Evidence of Local, Regional, or National Recognition are described in Section II.B.1.b.iii.

Evidence for local, regional, or national reputation as an expert health care provider, consultant, and/or educator or administrator will be supported by letters from internal and external referees who have not had training or collaborative relationships with the candidate and who can provide critical and unbiased assessments of the candidate's contributions.

#### (5) Service to the Academic Health Science Center, University, and Community

Service may include administrative and service roles within the university, memberships in organizations and societies, grant review panels, and in the community.

#### iii. Professor

Appointment or promotion of a faculty member to Professor on the Clinical Track is made in recognition of exceptional achievement as a collaborative investigator (if applicable), health care provider (when applicable), educator, and administrator (if applicable) using the same criteria listed above for Associate Professor with correspondingly higher expectations, based primarily on achievements while an Associate Professor. A Professor at RBHS should be nationally recognized for leadership or pioneering work in their area of scholarship (if applicable),

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

excellence as a health care provider in her/his specialty or subspecialty, in education, and administration (if applicable), as well as having met or surpassed all of the requirements for Associate Professor. Except in exceptional circumstances, they should have had at least four years of service at the rank of Associate Professor in RBHS or an equivalent institution.

iv. Distinguished Professor

The title of Distinguished Professor is conferred upon unique individuals with international reputation who are undisputed thought leaders in their fields and have had singular roles in shaping the understanding of a discipline. They are typically faculty members whose contributions have been recognized as a leader in shaping the field of investigation. This recognition will be evidenced by a substantial body of scholarship of exceptionally high impact, field changing publications that have led to novel approaches to clinical practice, clinical education, or understanding of the candidate's field, and have impacted the mainstream approach to their discipline. The impact of their scholarship shall be attested to by leaders of their or related disciplines who provide a narrative of the field changing impact of the candidate's scholarship, by membership or leadership in elite societies and by clear evidence of national leadership in their fields, and by national and international awards recognizing their contributions to their fields. Professors may be considered for promotion to Distinguished Professor at any time.

**c. PROFESSIONAL PRACTICE TRACK**

**Criteria for Appointment**

Professional Practice Faculty are expected to have professional experience, which may include health care delivery, or equivalent intellectual capital, in their chosen field of professional practice which enables them to bring to their work as a faculty member both a professional perspective and a knowledge of the contexts in which graduates may be employed. Faculty members on the Professional Practice Track will have professional skills and knowledge necessary for superior health care efforts and education and will be evaluated on the basis of their individual skills and unique contributions to the university. These faculty may also play a critical supportive role in ongoing health care research through participation in and enabling of research programs of other faculty through identification of eligible patients and their enrollment in clinical trials and evaluation of tests performed in the context of clinical trials.

Assistant Professors on the Professional Practice Track will receive one-to-three year renewable appointments.

Faculty whose initial appointment is Associate Professor on the Professional Practice Track will receive one-to-five year renewable appointments. Faculty who are promoted to Associate Professor on the Professional Practice Track or faculty who have their initial appointments as Associate Professor on the Professional Practice Track renewed, will receive two-to-five year renewable appointments upon reappointment. After ten years of service as Associate Professor on the Professional Practice Track, faculty will receive three-to-five year renewable appointments if reappointed.

Faculty whose initial appointment is Professor on the Professional Practice Track will receive one-to-five year renewable appointments. Faculty who are promoted to Professor on the Professional Practice Track or faculty who have their initial appointments as Professor on the Professional Practice Track renewed, will receive three- to-five year renewable appointments

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

upon reappointment. After ten years of service as a Professor on the Professional Practice Track, faculty will receive three-to-seven year renewable appointments if reappointed.

Faculty whose initial appointment is Distinguished Professor on the Professional Practice Track will receive one-to-five year renewable appointments. Faculty who are promoted to Distinguished Professor on the Professional Practice Track or faculty who have their initial appointments as Distinguished Professor on the Professional Practice Track renewed, will receive three-to-five year renewable appointments upon reappointment. After ten years of service as a Distinguished Professor on the Professional Practice Track, faculty will receive three-to-seven year renewable appointments.

Reappointment of faculty on the Professional Practice Track is contingent upon a continuing need for the position, a positive formal evaluation, and availability of funding to support the position.

Faculty on the Professional Practice Track may be appointed as coterminous with an identified funding source. A coterminous faculty member is one hired and retained to perform services under a contract or grant and whose salary and benefits are directly dependent on the fees paid under that contract or grant. The offer letter of those faculty will specifically state that their employment is coterminous with the specific contract or grant. The position can be terminated at the time when these funds are no longer available, pursuant to the notice requirements of Article 27 "Notice of Non-reappointment."<sup>5</sup>

Written notice that an appointment is not to be renewed shall be given in advance of the expiration of their appointments in accordance with Article 27 "Notice of Nonreappointment" of the AAUP-BHSNJ Contract.

### **Progression Through Rank**

Essential criteria for renewal for faculty members on the Professional Practice Track are superior health care skills and recognition and involvement in the teaching mission of the RBHS. Faculty members on the Professional Practice Track are not required to engage in scholarly activities. However, promotion on the Professional Practice Track requires collaborative participation in ongoing clinical and translational research programs in addition to the clinical and educational involvement outlined for renewal.

#### **i. Assistant Professor**

The major criteria for appointment or promotion to Assistant Professor on the Professional Practice Track are competence in carrying out health care delivery duties, maturation of health care delivery skills, and assumption of increased responsibility in health care delivery. Assistant Professors should have satisfied requirements for Board Certification in their primary specialty or discipline or the equivalent (if applicable) for advanced degree-holding specialists. Participation in teaching and any scholarly activities in which the faculty member has engaged will also be considered. Faculty whose initial appointment is as an Assistant Professor are expected to develop a local and regional reputation for their health care expertise, and to assume teaching responsibilities in a timely manner. Reappointments are based on continued

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<sup>5</sup>See footnote 2.

health care delivery excellence and ongoing clinical financial productivity. Assistant Professors on the Professional Practice Track have the opportunity to participate collaboratively in support of ongoing clinical research to generate credentials for promotion to Associate Professor.

ii. Associate Professor

Appointments and promotions to Associate Professor on the Professional Practice Track, except in exceptional circumstances, include four or more years of service at the rank of Assistant Professor at Rutgers RBHS or an equivalent institution and achievement of the following criteria:

(1) Assessment of Health Care Delivery Excellence

- a. The candidate is expected to have achieved and maintained Board certification in his/her primary specialty or discipline
- b. The candidate should have achieved a sufficient reputation to receive consultation or referrals (where applicable) of challenging clinical problems from health care practitioners and other institutions in New Jersey or beyond, and to provide a level of care that is considered to be outstanding in comparison to their peers. It is recognized that consultations and referrals may not be applicable to all specialties and subspecialties of medicine (e.g., primary care, emergency medicine) or other fields encompassing delivery of health care.
- c. Evidence of excellence will be provided by the individuals providing letters for the candidate as well as from senior faculty members and other health professionals and trainees who have interacted with the candidate and can judge his/her abilities and attest to their unique expertise as determined by superior performance of consultative services.
- d. The evaluations will take into consideration their financial productivity and contributions to clinical value. A calculation of RVUs relative to the national norms for the specialty or subspecialty should be provided as a measure of productivity, where applicable. The RVUs should be reported relative to the FTE the faculty commits to clinical practice. Explanation for any deviation from the national norms should be provided. In fields that do not employ the use of RVUs, other recognized metrics of productivity shall be used.
- e. Other evidence of excellence in health care delivery might include:
  - i. Growing volume or expansion of the practice, improved health care outcomes, introduction of innovative programs or procedures, and improving quality of health care delivery.
  - ii. Obtaining additional degrees or certifications that contribute to the clinical excellence (or excellence in the areas described below).
  - iii. Demonstrating evidence of ongoing efforts for professional development that allow the individual to keep up with latest practice delivery changes.
  - iv. Objective patient satisfaction data (when available) as well as peer review committee and Morbidity and Mortality conference-related data may be used to demonstrate quality of health care delivery.
  - v. Obtaining Fellowship status in professional societies as a mark of professional distinction.

(2) Teaching

Excellence in teaching is an important consideration for promotion to Associate Professor on the Professional Practice Track. Teaching can take many forms, including:

- a. Involvement in curriculum and course development as well as teaching of students, residents, fellows, or other health care professionals either in the classroom, in a laboratory or field setting, or at the bedside, health care facility or community settings. Teaching can also involve mentoring of students or residents in preparation of abstracts, case reports, or review articles.
- b. Evaluations of the effectiveness of teaching and curriculum or course development should be taken into consideration for assessment of teaching excellence. Teaching awards and nominations will be considered.

(3) Scholarly Activities

- a. Scholarly activities, while not a requirement for appointment on the Professional Practice Track, are encouraged and will be strongly considered in promotion decisions.
- b. Faculty on the Professional Practice track are expected to provide a supportive and enabling clinical role in the health care research programs at RBHS. These scholarly activities may not rise to the level of individual authorship on published papers but may include such things as:
  - i. Identifying or enrolling patients in ongoing clinical trials
  - ii. Contributions to clinical research through interpretation of imaging data or of anatomic samples, or providing other activities required by clinical protocols or population studies
  - iii. Preparation of abstracts for regional, national, or international conferences
  - iv. Aiding students and residents in research projects that may lead to the preparation of abstracts or papers
  - v. Carrying out and leading QA/QI analyses that benefit the department and the hospital and lead to innovative change and/or practice improvement
  - vi. Presenting and preparing scholarly content such as Grand Rounds
  - vii. Local, regional, national or international scholarly clinical presentations or invited talks
  - viii. Evidence of Local, Regional, or National Recognition, as described in Section II.B.1.b.iii.

(4) Service to the Academic Health Sciences Center, University, and Community

Service may include but is not limited to:

- a. Administrative and leadership roles in school, hospital, departmental, or division activities. This may include being director of a particular division or service, being PI on a clinical trial, creating new clinical programs or expanding existing programs, or having an administrative role in the dean's office.
- b. Leadership of quality initiatives or development of practice guidelines
- c. Excellence in this area should be evidenced by such things as service on school, hospital, departmental or division committees, or service to a clinical

- laboratory program or service on a local or state-wide committee, often demonstrating growth into leadership roles on committees
- d. Community service and/or outreach activities
- e. Mentoring of junior faculty and residents
- f. Engagement (with rise to leadership roles) and ongoing commitment in discipline-specific professional societies at a regional, state, or national level
- g. Obtaining grants or funding to improve practice operations/management or to purchase new equipment

iii. Professor

Appointment or promotion of a faculty member to a full Professor on the Professional Practice Track requires careful evaluation of the faculty member's clinical, teaching, and scholarly contributions. A Professor at RBHS should be nationally recognized for clinical excellence in her/his specialty or subspecialty, as well as for other activities described above.

iv. Distinguished Professor

The title of Distinguished Professor on the Professional Practice Track is conferred upon unique individuals with international reputation who are undisputed thought leaders in their fields and have had singular roles in shaping the understanding of a discipline. They are typically faculty members whose contributions have been recognized as a leader in shaping the field of clinical practice. In the Professional Practice Track, they should be internationally recognized for their superior health care efforts and related scholarly contributions. This recognition will be evidenced by exceptional, field changing approaches to clinical practice, clinical education, or understanding of the candidate's field and have impacted the mainstream approach to the practice of their discipline. The impact of their contribution shall be attested to by leaders of their or related disciplines who provide a narrative of the field changing impact of the candidate's contributions, by membership or leadership in elite societies and clear evidence of national leadership in their fields, and national and international awards recognizing their contributions to their fields. Professors can be considered for promotion to Distinguished Professor at any time.

**d. RESEARCH TRACK**

**Criteria for Appointment**

Faculty on the Research Track should be involved in basic or applied biomedical investigation and/or health care investigation and must contribute to exceptional scholarly activity as evaluated by research accomplishments. The primary focus of Research Track faculty is to facilitate and support the overall research mission of RBHS, rather than to develop independent programs. In this capacity, Research Faculty Track faculty typically conduct research in collaboration with other investigators. They provide the experience, expertise, and leadership needed for the efficient running of core laboratories and the laboratories (including clinical laboratories) of funded investigators or the outreach programs of funded population health investigators, as examples, and are frequently responsible for introducing novel and technically demanding research technologies and making them available to a broad range of faculty. In some instances, however, individuals on the Research Track may operate independent laboratories and function as Principal Investigator on grants and as senior author on publications. Like other individuals on the Research Track, such individuals will be judged primarily on excellence in research, as described below. Their teaching responsibilities are primarily practical in guiding and supervising undergraduate and graduate students or students, residents, and fellows in the health professions who work on research projects.



All faculty on the Research Track will receive one-to-three year contracts, coterminous with an identified funding source. The position can be terminated at the time when these funds are no longer available, in accordance with the notice requirements of Article 27, "Notice of Nonreappointment."

Reappointment of faculty on the Research Track is contingent upon a continuing need for the position, a positive formal evaluation, and availability of funding to support the position. Written notice that an appointment is not to be renewed shall be given in advance of the expiration of their appointments in accordance with Article 27 "Notice of Nonreappointment" of the AAUP-BHSNJ Contract.

### **Progression Through Rank**

Excellence in research is the major criterion for appointment and promotion for faculty on the Research Track, although other activities may also be considered. More specific criteria for appointment and promotion to each rank on the Research Track are set forth below.

#### **i. Assistant Professor**

To be eligible for consideration for appointment or promotion to the rank of Assistant Professor on the Research Track, the individual should have completed training in the area of research in which they are expected to work and have demonstrated the capacity for making contributions to the departmental research program.

#### **ii. Associate Professor**

To be eligible for appointment or promotion to this rank, the individual shall have held the rank of Assistant Professor for a minimum of four years, except in exceptional circumstances, at RBHS or other equivalent research or educational institution, with the major focus of activity being research. S/he should demonstrate evidence of high quality research and publications. Collaborative as well as individual contributions in research and publications are recognized. This level of rank requires evidence for a higher level of continuous achievement. Appointments and promotions to Associate Professor on the Research Track are based upon the following criteria:

##### **(1) Investigation and Scholarly Accomplishments, as determined by:**

(a) Authorship of original publications in peer reviewed journals. The number of publications is considered; however, of more importance is the quality of the body of work as evidenced by the sources of publication and by the national and international impact of the contributions. This scholarly recording of the investigator's work is the major criterion that establishes academic credibility. Research Track faculty are expected to have significant and unique intellectual contributions to this work but are not expected to have initiated and led the research effort. The senior authors of their papers will be asked to attest to and describe the Research Track faculty members' unique intellectual contributions.

(b) Research Track faculty are expected to have made important contributions to successful grant applications, though not necessarily as the Principal Investigator.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

The principal investigators of these grants will be asked to attest to and describe the Research Track faculty members' unique intellectual contributions.

(c) Other evidence of research and scholarly accomplishments that may be considered include authorship of textbooks, book chapters, and scholarly reviews acknowledged in the specialty, as well as authorship of "nontraditional" educational materials (such as health agency publications and computer programs) or research materials (such as development of databases and research software). For Research Track faculty, these will normally be weighted less than research publications and grants.

(2) Evidence of Regional and National Recognition is described in Section II.B.1.b.iii.

(3) Teaching

Teaching (including mentoring) in the research laboratory, health professions schools, hospital, department, division, program, or university activities may be part of the responsibilities for Research Track faculty and can be considered as a positive factor in promotion. Research Track faculty are not required to provide didactic teaching in courses and may not be assigned to teach more than 10% of any course or required to direct courses.

(4) Service

Service in health professions schools, hospital, department, division, program, or university committees is not obligatory and is normally an infrequent event. Nonetheless service may be considered as a positive factor in promotion in the cases when it happens.

### iii. Professor

A minimum period of four years at the rank of Associate Professor is required for consideration for promotion to this rank. Appointment or promotion of a faculty member to the rank of Professor on the Research Track depends on exceptional achievement as a collaborative investigator. A Professor on the Research Track at RBHS should be nationally recognized for investigative excellence in her/his specialty or subspecialty, as well as for other activities described above. Their research activities should show the highest levels of scholarship and be supported by extramural peer reviewed grants, which the faculty member had a significant role in generating.

### iv. Distinguished Professor

The title of Distinguished Professor is conferred upon unique individuals with international reputation who are undisputed thought leaders in their fields and have had singular roles in shaping the understanding of a discipline. They are typically faculty members whose contributions have been recognized as a leader in shaping the field of investigation. In the Research Track, they should be internationally recognized for their research and scholarly or professional accomplishments. Their research activities should have international impact and be supported by extramural peer reviewed grants. This recognition will be evidenced by a substantial body of scholarship of exceptionally high impact, field changing publications that have led to novel understanding of a field. The impact of their scholarship shall be attested to by leaders of their or related disciplines who provide a narrative of the field changing impact of the candidate's scholarship, membership or leadership in elite societies and clear evidence of

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020 University Response to 8-26-2020 BHSNJ Proposal

national leadership in their fields, and national and international awards recognizing their contributions to their fields. Professors can be considered for promotion to Distinguished Professor at any time.

### **C. PROFESSIONALISM**

Faculty members on all tracks are expected to exhibit professionalism in all aspects of their work.

Faculty who conduct research or investigations should carry out their investigations with:

- Honest and ethical conduct of all research endeavors, data interpretation, and reporting
- Sharing of ideas, reagents, and participation in open intellectual discourse
- Professional and courteous interaction with colleagues in Department, School, University, and the field
- Engagement in formal and informal mentoring activities
- Follows University policy, including compliance, lab safety, animal protection, and training requirements

With respect to their teaching responsibilities, faculty should:

- Behave courteously and professionally with trainees, students, and colleagues
- Volunteer to cover classes/lectures for colleagues in emergencies
- Mentor, improving the productivity of their students, residents, and mentees
- Complete evaluations in a timely manner
- Participate in training grants (as principal investigator or co-principal investigator, coinvestigator, or significant participant)
- Follow University policy, including compliance and training requirements

With respect to service, faculty are expected to:

- Behave courteously and ethically with community members/ agencies, colleagues, trainees
- Step in to help cover Department responsibilities if colleagues are unable to do so
- Complete administrative requirements in a timely manner
- Follow University policy, including compliance and training requirements

Those faculty with health care responsibilities are expected to:

- Behave courteously and respectfully with all members of health care team, colleagues, students, and patients
- Participate in professional and clinical development programs
- Participate in service-learning or clinical improvement activity/programs
- Administer/manage and/or lead clinical services
- Mentor
- Attend clinical team meetings or departmental conferences
- Attend outpatient practices in a reliable and timely manner
- Complete medical records in a timely manner - Provide clinical cross-coverage when needed
- Follow University policy, including compliance, infection protection, safety, and training requirements

#### **D. TRANSFERS BETWEEN TRACKS**

The careful choice of a track for initial appointment will minimize the need for transfers between tracks. However, in rare instances, a faculty member may request a transfer between tracks.

Transfers between tracks should be carefully justified, and shall occur only if there is truly a change in the direction of a faculty member's career. Such transfers will only be considered if a position with an appropriate funding source and necessary resources becomes available within the requested track, and for which the faculty member meets the appropriate qualifications of that position. Transfers between tracks require the written request of the faculty member specifying the track into which they want to transfer, approval by the department chair, the Faculty Appointments and Promotions Committee, the dean, the provost, and the chancellor. The RBHS Provosts will hold at least two town halls on an annual basis to educate faculty about the tracks.

The following transfers may be considered upon the faculty member's written request:

##### **Transfers from Non-Tenure Track to Tenure Track:**

Non-Tenure Track Assistant Professors may request transfer into the Tenure Track up to three years after their initial appointment or promotion to the Non-Tenure Track rank of Assistant Professor. The timetable for promotion and the granting of tenure shall remain nine years total time from their initial appointment or promotion to Assistant Professor in their original track, plus one additional year to account for the lack of protected time on the other tracks. Transfers between tracks will only be considered at the Associate Professor level or higher under exceptional circumstances.

##### **Transfers from Tenure Track to Non-Tenure Track:**

In extremely unusual circumstances, a Tenure Track Assistant Professor may request transfer into any Non-Tenure Track up to three years after initial appointment as a Tenure-Track Assistant Professor. Transfers between tracks will only be considered at the Associate Professor level or higher under exceptional circumstances.

##### **Transfers within Non-Tenure Tracks:**

A Transfer among the Non-Tenure tracks may be considered at the Assistant Professor level. Transfers within the Non-Tenure tracks will only be considered at the Associate Professor level or higher under exceptional circumstances.

Upon approval of a transfer between tracks, a letter outlining the terms of the appointment on the new track will be provided to the faculty member by the chair and will be signed by the dean, the chair, and the faculty member. The letter will outline any commitment by the institution of salary, title, resources, protected time, and mentoring. The letter will also outline the expectations of the faculty member in the areas of scholarship, support, health care provider duties, teaching, administration, and service, and the timetable of expected eligibility for promotion or tenure, as applicable.

October 28, 2020 University Response to 10-22-2020 BHSNJ Response to September 29, 2020  
University Response to 8-26-2020 BHSNJ Proposal

Faculty members who had tenure on the initial effective date of the first version of these Guidelines (November 2015), whether awarded before or after the integration of UMDNJ into Rutgers, will continue to be tenured at Rutgers as per their initial award of tenure.

Faculty Remaining on the Tenure Track:

All faculty, regardless of rank, who are on the Tenure Track, who have been appointed to the tenure track nine or more years before enactment of these guidelines must be considered for Tenure no later than June 30, 2021 if they selected to continue on the Tenure Track. Faculty who have been appointed to the tenure track less than nine years before enactment of these guidelines will have five years plus the difference in the time remaining between the years lapsed since appointment on the Tenure track and nine years to be considered for Tenure.

F. FACULTY HOLDING THE TITLE OF INSTRUCTOR WITHOUT TERMINAL DEGREE ON THE EFFECTIVE DATE OF THE GUIDELINES (NOVEMBER 2015)

Full-time faculty who do not hold terminal degrees who have held the title Instructor must be given the title of RBHS Lecturer until such time that they are awarded a terminal degree. Full time faculty holding the title of RBHS Lecturer will be given up to 9 years from the enactment of these guidelines (no later than June 30, 2025) to obtain a terminal degree and must be promoted to RBHS Instructor or Assistant Professor or they will be given a terminal 1-year contract. Notwithstanding the foregoing, the University may decide at any time prior to the end of the ninth year of appointment that it will not reappoint the RBHS Lecturer, provided that Rutgers has met the notice requirements of Article \_\_\_\_.



For the University

11/3/20

Date



For AAUP-BHSNJ

11/3/20

Date

**Side Letter of Agreement regarding CO-2019-189 and the use of Unmodified Titles**

1. The parties also acknowledge that there is a pending unfair practice charge before PERC, Docket No. CO-2019-189.
2. Nothing in the Policies and Guidelines Governing Appointments, Promotions and Professional Activities of Faculty (the "Guidelines") or this Side Letter, agreed to by the AAUP-BHSNJ and the University during negotiations for the parties' 2018-2022 collective negotiations agreement, waives the right of the AAUP-BHSNJ to pursue pending unfair practice charge CO-2019-189.
3. The parties acknowledge that the University and various unions representing certain Rutgers employees, including AAUP-BHSNJ, have been meeting with respect to the Master Affiliation Agreement (MAA) between the University and RWJBarnabas Health (RWJBH). During those meetings the University and the representative Unions have exchanged proposals. Following the ratification of the 2018-2022 collective negotiations agreement between the University and the AAUP-BHSNJ, the University agrees to continue to meet and negotiate with the AAUP-BHSNJ with respect to mandatorily negotiable terms and conditions of employment relating to the impact of the implementation of the MAA. The parties understand and agree that neither party waives its position with respect to the classification of such negotiations.



\_\_\_\_\_  
For the University

11/3/20

\_\_\_\_\_  
Date



\_\_\_\_\_  
For AAUP-BHSNJ

11/2/20  
\_\_\_\_\_  
Date