

## APPENDIX C

### UNIVERSITY POLICIES WITH RESPECT TO ACADEMIC APPOINTMENTS, REAPPOINTMENTS AND PROMOTIONS<sup>1</sup>

#### I. Introduction

Section 60.5.14(A) of Rutgers Policy states:

- A. Appointments, reappointments and promotions of tenure-track and tenured faculty may be made in recognition of accomplishments: in teaching, scholarship, and service for general teaching/research faculty and for extension specialists in the School of Environmental and Biological Sciences and/or the New Jersey Agricultural Experiment Station; in teaching, extension scholarship and service for all other extension specialists; in teaching, extension practice, and service for county agents; in teaching, scholarship and/or the arts, and service for faculty with appointments in the creative or performing arts; in librarianship, scholarship, and service for library faculty.

Non-tenure track faculty are primarily, but not exclusively, devoted to teaching, research, clinical practice, professional practice or librarianship. Appointments, reappointments and promotions of non-tenure track faculty may be made in recognition of accomplishments: in teaching, scholarship and/or service for teaching faculty; in scholarship, teaching and/or service for research faculty; in teaching, clinical practice, and/or service for clinical faculty; in teaching, professional practice, and/or service for professional practice faculty; in librarianship and service for library faculty.

The application of these criteria shall be in accordance with the University's published policy, Application of Criteria for Academic Appointments, Reappointments and Promotions, Section 60.5.15, as may be amended by the Board of Governors from time to time.

1. Teaching. Effective teaching should be a fundamental endeavor of all members of the faculty. As teachers, members of the faculty are responsible for effective instruction, whether at the undergraduate, graduate, postdoctoral, clinical, extension or continuing education level. Teaching includes classroom, field, and non-credit instruction; supervision of research, student internships, professional practice, clinical practice, theses, and doctoral dissertations; academic advising and acting as a mentor; the training of extension volunteers and paraprofessionals; the improvement and enrichment of course offerings and other instructional activities within the faculty member's discipline or profession; participation in interdisciplinary courses, honors courses and other special courses offered through the undergraduate colleges and other units of the University; and, the writing of textbooks and the development of other instructional materials to enhance education in the faculty member's discipline or profession. Effective teachers must demonstrate depth and breadth of knowledge in their discipline, must communicate this knowledge to others, and must give evidence of a continuing development of their knowledge so as to ensure their continued effective teaching over the duration of their appointment. They stay informed of advances and current thinking in their subject and relate them to their teaching in a meaningful and balanced way. Effective teachers communicate enthusiasm for their subject and have a responsibility to create a

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<sup>1</sup> Approved by the Board of Governors on March 10, 1989, and amended on April 14, 1989, September 15, 1989, April 12, 1991, April 7, 1995 and September 5, 2014.

positive environment for learning and one that stimulates imaginative thinking. They maintain a critical attitude toward their teaching and strive continuously to improve it.

2. Scholarship. Active scholarship should be a fundamental endeavor of all members of the faculty. Scholarship, including basic and applied research, means in-depth study and learning in a specific field and inquiry and experimentation designed to make direct contributions to knowledge in that field. Scholarship, as measured by peer recognition of its originality, impact on, and importance to the development of the field, is demonstrated most typically by refereed publications, such as journal articles and books of high quality. Scholarship and research accomplishments are also demonstrated by the design and execution of applied research in the laboratory or in the field; through the presentation of papers at organized scholarly meetings, usually at the national or international level; through the attraction of external support or competitive fellowships and awards appropriate to the faculty member's field of study; through such activities as editing, translation, the acquisition of significant patents, the compilation of information, and the development of materials that make information more accessible to researchers, other scholars, and practitioners; and through publication in other academic or professional journals and lecturing in professional and other public forums. As the State University, Rutgers encourages appropriate applications in the discipline or profession to the issues and problems of the State and region. Such scholarship will be measured by equally rigorous standards as are applicable to all scholarship.
3. Service. Service includes the contributions a faculty member makes to the academic profession, to the University, and to society at large. Contributions to the advancement of the academic profession are most typically demonstrated by active participation in professional and scholarly associations; by service on editorial boards and as a reviewer of scholarly works and proposals; by participation on expert committees, such as NIH (National Institutes of Health) research study sections, NEH (National Endowment for the Humanities) grant selection panels, research committees of the National Academy of Science, or practice committees of professional associations or institutions, and by fostering collaborative relationships with clinical agencies providing sites for clinical practice. Contributions to the effective operation of the University at all levels are most typically demonstrated by significant academic and professional service to the department, the discipline, the faculty, the undergraduate colleges, the graduate programs, the campus, or the University as a whole, through such activities as recruitment of scholars to the University, evaluation of peers, contributions as a fellow, contributions to important committees and other activities in support of the academic development of the University and the enhancement of student academic development and student life programs. Contributions to society at large are most typically demonstrated through the application of the faculty member's academic expertise and particular professional skills to the solution of international, national, state, county and local problems and by service for the public good on governmental and other special committees, boards, agencies, civic groups and commissions.
4. Artistic Accomplishment. The appointment of a faculty member in the creative or performing arts may permit the primary concentration of his/her efforts on scholarship, on artistic accomplishment, or on a balance between the two that is appropriate both to the artist/scholar's appointment and to the particular stage of his/her career. For faculty members with such appointments, artistic

accomplishment in the fields of literature, music, art, dance, or drama, is most often demonstrated by dissemination of the artist's work through performance, publication or exhibition in professionally recognized settings, usually outside the University. The artist's work shall have an intrinsic value equal to scholarship and shall be subject to equally rigorous evaluation.

5. Librarianship. Faculty members with appointments as librarians are required to concentrate their primary efforts on achievements, as appropriate to their appointments, in one or more of the major areas of the library profession: collection development, technical and automated services, and user services. In general, excellence in librarianship is demonstrated most typically by formal assessment by library experts, both internal and external to the University, and by faculty and other users, of the effectiveness of systems, techniques, services, materials, and collections developed, implemented, and/or administered by the librarian alone and in concert with other librarians; by the adoption of those systems, techniques, services or materials by other excellent research libraries; and through published and other written acknowledgments of the quality of the librarian's support of the work of researchers and scholars. For example, contributions in collection development may be demonstrated by assessments of the library's holdings; contributions in technical and automated services may be demonstrated by assessments of the quality and cost effectiveness of automation, acquisition and bibliographic access functions and systems; contributions in user services may be demonstrated by assessments of the provision of assistance and instruction in the use of library and information resources, and the usefulness of library instructional aids, bibliographies, and other print and non-print finding aids. Librarians should stay informed of advances and current thinking in their major areas of librarianship and, where appropriate, in specialized subject fields, should have both a depth and breadth of knowledge in these areas, and should be able to demonstrate success in applying that knowledge directly to strengthening the library's support for the educational and scholarly mission of the University.
6. Extension Practice of County Agents. Faculty members with appointments as county agents are required to concentrate their primary efforts on extension practice, that is, the application of knowledge to the needs of the community. Extension practice is typically demonstrated by interpretation of research results, identification of ways of applying research, achieving the adoption of improved practices by client groups, participation in the design and execution of applied research in the laboratory and in the field, identification of problems requiring investigation by researchers, and attraction of appropriate external support or awards. As a faculty member, a county agent is obligated to make his/her contributions, as described above, available to others in the profession through publication in appropriate professional journals and lecturing in professional and other public forums.
7. Extension Scholarship. Active scholarship should be a fundamental endeavor of all members of the faculty. Faculty members with appointments as extension specialists are required, in their specific disciplines or professions, to have a mastery of the subject and to be capable of developing and implementing quality programs of instruction and/or technical assistance. Effective extension scholarship is demonstrated by the assessment of client needs; the design, implementation, and dissemination of appropriate delivery systems; the recruitment, training, supervision, and evaluation of program personnel; the evaluation of program effectiveness; and the development of appropriate funding

mechanisms. Extension specialists must stay informed of advances in their fields and must demonstrate the capacity to use new and existing information in program development, to interpret research results, and to implement them into extension programs. Effective extension scholarship, as measured by peer recognition of its originality, impact on, and importance to the development of the field is demonstrated most typically by publication in professional journals; presentation of papers at organized scholarly or professional meetings; attraction of external support; and compilation of information and development of materials that make information more accessible to researchers, other scholars, and practitioners. As the State University, Rutgers encourages appropriate applications in the discipline or profession to the issues and problems of the State and region. Such scholarship will be measured by equally rigorous standards as are applicable to all scholarship.

8. Clinical Practice. Faculty members with appointments as clinical faculty are required to concentrate their primary efforts on clinical practice which forms the basis of their teaching. Clinical practice is typically demonstrated by the application of knowledge to direct patient or client care and to the delivery of services in the clinical setting; identification, selection and/or development of appropriate clinical sites to provide maximum opportunities for clinical practice; introduction of practice innovations that reflect cutting-edge practice modalities; interpretation and application of research results, as well as the design and execution of applied research in the clinical setting; and identification of problems requiring investigation by research faculty. As a faculty member, an individual with a clinical appointment is obligated to make his/her contributions, as described above, available to others in the profession through publication in appropriate professional journals and lecturing in professional and other public forums.
  
9. Professional Practice. Faculty members with appointments as professional practice faculty are expected to have professional experience, 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 faculty may be engaged in teaching classes, developing and managing applied learning opportunities such as field experience or internship, administration of academic programs, advising, and all other aspects of teaching outlined above in Section A.1. Faculty members in these positions are assigned service responsibilities that normally support teaching and student development and/or the department, the University, or the profession. Scholarly activity may or may not be required. Faculty are expected to be engaged in outreach and may be required to remain active in their field of practice. These positions are reserved for individuals who are effective teachers and whose creative work in professional practice is recognized by peers as making a significant contribution to the field.

II. Application of Criteria for Appointments, Reappointments and Promotions (Rutgers Policy, Section 60.5.15)

- A. General Principles. Those faculty members who have made the most important contributions to the University and have discharged their duties with the greatest distinction will be considered for promotion. Continued growth and continued contributions are required for all ranks. Advancement to a higher rank is not automatic. The criteria

described in Section 60.5.14(A) are not mutually exclusive but rather overlapping and complementary. It should be noted that the criteria are expressed in terms of the individual's accomplishments and not in terms of earned degrees, although these are important. In regard to accomplishment in teaching, undergraduate instruction may be the primary teaching responsibility of some faculty members. Other faculty members may have their primary teaching responsibility in the guidance and development of advanced degree candidates. In either instance, the criteria set forth in Section 60.5.14(A) shall apply equally.

- B. Responsibility of Department Chairs. One of the responsibilities of department chairs is to periodically evaluate members of their department and to report these evaluations as required; to see that adequate supervision, advice, and training are afforded new members of the department and other members who might profit thereby; and generally to promote the effectiveness of the department, college, and University by every appropriate means. Since these are duties required of department chairs, junior members of the staff should not hesitate at any time to discuss with their department chair the quality of their own services and the outlook for their future.
- C. Peer Review. Informed judgments concerning a faculty member's accomplishments can be made only by qualified colleagues. Such subjective judgment by persons competent to evaluate duties, responsibilities, services, and accomplishments will protect the interest of professors themselves, the department, the academic unit, the University, and the students better than any objective rating that could be devised.

### III. Promotion to Associate Professor or Equivalent Ranks (Rutgers Policy, Section 60.5.16)

- A. General Principles. The step in the promotion process from Assistant Professor (or equivalent rank) to Associate Professor (or equivalent rank) is critical since this appointment often involves academic tenure and means, in effect, that the University has abandoned its freedom of action with respect to the retention of a particular individual. After one has attained a tenured Associate Professorship, he or she still has freedom to resign, but the University no longer has freedom to dismiss, except as provided in Sections governing dismissal of faculty.

For this reason the greatest care is exercised in promoting faculty members to the rank of Associate Professor or equivalent ranks. To attain this rank, a person must be adjudged to be someone who can be counted on to participate with colleagues in the determination or formulation of University policy and development with respect to his or her field of scholarship. There is something rather different in kind as well as in quality to be sought in an Associate Professor as distinct from an Assistant Professor.

Except as set forth in Section B below, the following general principles shall apply to considerations for tenure and for promotion to Associate Professor, or equivalent ranks, which usually accompany tenure:

1. General Teaching/Research Faculty and Extension Specialists in the School of Environmental and Biological Sciences and/or the New Jersey Agricultural Experiment Station: For general teaching/research faculty, scholarship, including research accomplishment, is the primary criterion. Excellence in scholarship, as defined in the criterion under Section 60.5.14(A), is necessary to the achievement of tenure; effective teaching, as defined in the criterion Section 60.5.14(A), is also normally a condition for the achievement of tenure. Only in rare instances where an individual's scholarship has enabled his/her teaching to achieve national recognition, that is, to make an impressive and recognized impact on teaching in the discipline as a whole, not limited to this University, may teaching become a principal basis for tenure. Significant accomplishments in the activities specified under the criterion of service will strengthen a candidacy for tenure. Such accomplishments are expected in a member of the profession, but cannot replace scholarship and research or teaching effectiveness as a justification for tenure.

2. Faculty Members with Appointments in the Creative and Performing Arts:- For faculty with appointments in the creative or performing arts, scholarship and/or artistic accomplishment is the primary criterion. Excellence in scholarship and/or artistic accomplishment, as defined in the criteria under Section 60.5.14(A), is necessary to the achievement of tenure; effective teaching, as defined in the criterion under Section 60.5.14(A), is also normally a condition for the achievement of tenure. Only in rare instances where an individual's scholarship and/or artistic accomplishment has enabled his/her teaching to achieve national recognition, that is, to make an impressive and recognized impact on the art form or on teaching in the discipline as a whole, not limited to this University, may teaching become a principal basis for tenure. Significant accomplishments in the activities specified under the criterion of service will strengthen a candidacy for tenure. Such accomplishments are expected in a member of the profession, but cannot replace scholarship and/or artistic accomplishment or teaching effectiveness as a justification for tenure.
3. Library Faculty: For library faculty, librarianship is the primary criterion. Excellence in librarianship, as defined in the criterion under Section 60.5.14(A), is necessary to the achievement of tenure; demonstrated scholarship, as defined in the criterion under Section 60.5.14(A), is also normally a condition for the achievement of tenure. Significant accomplishments in the activities specified under the criterion of service will strengthen a candidacy for tenure. Such accomplishments are expected in a member of the profession, but cannot replace librarianship and scholarship as a justification for tenure.
4. County Agents: For county agents, extension practice is the primary criterion. Excellence in extension practice, as defined in the criterion under Section 60.5.14(A), is necessary to the achievement of tenure; effective teaching, as defined in the criterion under Section 60.5.14(A), is also normally a condition for the achievement of tenure. Significant accomplishments in the activities specified under the criterion of service will strengthen a candidacy for tenure. Such accomplishments are expected in a member of the profession, but cannot replace extension practice or teaching as justification for tenure.
5. Extension Specialists: For extension specialists, extension scholarship is the primary criterion. Excellence in extension scholarship, as defined in the criterion under Section 60.5.14(A), is necessary to the achievement of tenure; effective teaching, as defined in the criterion under Section 60.5.14(A), is also normally a condition for the achievement of tenure. Significant accomplishments in the activities specified under the criterion of service will strengthen a candidacy for tenure. Such accomplishments are expected in a member of the profession, but cannot replace extension scholarship or teaching as a justification for tenure.
- B. Non-Tenure Track Promotions Equivalent to the rank of Associate Professor: Requirements for promotion shall be established by each University department or unit for each non-tenure track title series in use in such department or unit and shall be consistent with the criteria as set forth in Section 60.5.14(A). Such criteria shall be clearly delineated by the appropriate unit (department or decanal) on its website.

IV. Promotion to Professor, Distinguished Professor, or Equivalent Ranks (Rutgers Policy, Section 60.5.17)

A. An individual promoted to Professor (or equivalent rank) should have made substantial progress and demonstrated further distinction beyond that required at the Associate Professor level.

1. Promotion to Professor (or equivalent rank): Rigorous standards are applied for the assessment of scholarship, artistic accomplishment, librarianship, extension practice, and/or

extension scholarship in consideration for promotion to Professor or equivalent ranks. However, over a number of years, tenured faculty take on a variety of roles in a University community and in their professions, and, over time, the types of contributions faculty make may appropriately change. The vitality of the University community depends on the commitment of many of its senior faculty to teaching and to its internal affairs, as well as to the expansion of knowledge. In the instance of Associate Professors who have remained in that rank for ten years after the grant of tenure, the balance among the criteria applicable to their appointment may alter to provide increased consideration to excellent and significant contributions to teaching and to service.

2. Non-Tenure Track Promotions Equivalent to the rank of Professor: Requirements for promotion shall be established by each University department or unit for each non-tenure track title series in use in such department or unit and shall be consistent with the criteria set forth in Section 60.5.14(A). Such criteria shall be clearly delineated by the appropriate unit (department or decanal) on its website.

B. The designation of Distinguished Professor (or equivalent rank) is reserved for those faculty in the University (usually already in the rank of professor) who have achieved scholarly eminence in their discipline and fields of inquiry. The standard for promotion to Distinguished Professor is significantly higher than that applied in promotion to Professor.

1. Promotion to Distinguished Professor (or equivalent rank): The most significant area of consideration in determining promotion to Distinguished Professor for general teaching/research faculty is scholarship; for faculty with appointments in the creative and performing arts is scholarship and/or artistic accomplishment; for library faculty is scholarship and/or librarianship; for county agents is extension practice; and for extension specialists is extension scholarship. Only those faculty who have demonstrated outstanding achievement in those areas by earning significant recognition inside and outside the University are eligible for promotion to Distinguished Professor. Typically, such recognition is reflected in national and international reputation in one's discipline. Teaching and service also apply to the general evaluation of a candidate for promotion to Distinguished Professor. A candidate for promotion to Distinguished Professor should be an exemplary member of the University faculty who consistently has demonstrated a high standard of achievement in all professorial roles.

2. Non-Tenure Track Promotions Equivalent to the rank of Distinguished Professor: Requirements for promotion shall be established by each University department or unit for each non-tenure track title series in use in such department or unit and shall be consistent with the criteria set forth in Section 60.5.14(A). Such criteria shall be clearly delineated by the appropriate unit (department or decanal) on its website.

V. Term Appointments (Rutgers Policy, Section 60.5.10)

A. Non-tenure track appointments and reappointments shall be for terms of not less than one and not more than five years for non-grant funded faculty and of six months to five years for grant-funded faculty. Non-tenure track appointments and reappointments are made for these terms with the understanding that deans and directors of academic units of the University will give faculty members written notice of non-reappointment in conformity with Section 60.5.12 (formerly Book 3.3.16), the University policy on "Notice Requirements for Faculty Holding Appointments of One Year or More with Limitation of Term."

B. Tenure-track assistant professorships ordinarily carry three-year terms which are probationary. The University has indicated, by appointment or promotion to an assistant professorship, some measure of confidence in the likelihood of a person's continuing growth. The term is limited because the promise may not be fulfilled or because the University may not be in a position to reappoint even a satisfactory assistant professor. It is ordinarily the policy of the University not to appoint an assistant professor for a second

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 at the rank of lecturer. 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.

- C. Appointments to non-tenure track assistant professorships are appointments for a single three-year term and shall carry no expectation of appointment beyond the appointment term. The title of the appointment shall be Assistant Professor AY Non-Tenure Track or Assistant Professor CY Non-Tenure Track and this title shall be used in all formal and contractual correspondence. The letter of appointment shall explicitly state the fixed term of appointment, the specific responsibilities of the position, and shall constitute the requisite termination notice. Faculty members serving as non-tenure track assistant professors are not precluded from applying for or being offered other University positions, including tenure track appointments; however, no preference is to be accorded them in the selection process for other positions. If an individual who has held a non-tenure track assistant professorship is subsequently appointed to a tenure track position, service in the non-tenure track position may be credited to service in a tenure track position only on the written request of the faculty member.
- D. Full-time appointments as clinical faculty members are non-tenure track term appointments which may be made at any appropriate rank and which ordinarily shall be for a renewable term of not less than three years. The letter of appointment for clinical faculty shall explicitly state the fixed term of appointment, non-availability of tenure, and the specific responsibilities of the position. Faculty members in clinical positions are not precluded from applying for or being offered other University positions, including tenure track appointments; however, no preference is to be accorded to them in the selection process for other positions. If an individual who has held a clinical appointment is subsequently appointed to a tenure track position, service in a full-time clinical position ordinarily will not be credited to service in a tenure track position.
- E. Lecturers are officers of instruction whose connection with the University is temporary or whose service is discontinuous. Appointments to the Lecturer title shall not exceed three consecutive years.
- F. Term appointments should be judged by the criteria applicable to the appointment as set forth in Section 60.5.14(A) (formerly Book 3.3.18), the University policy on "Criteria for Appointments, Reappointments and Promotions."