

May 25, 2017

Memorandum to: Vice President for Information Services and University Librarian
Library Unit Directors

From: Barbara A. Lee, Ph.D. *Barbara A. Lee*
Senior Vice President for Academic Affairs

Subject: **2017-2018** Academic Promotion Instructions for Non-Tenure Track
University Library Faculty

Introduction

These instructions govern non-tenure track Library faculty promotions to Librarian of Practice II and Librarian of Practice I for the academic year **2017-2018**. They are also available on the Internet at <http://academiclaborrelations.rutgers.edu/non-tenure-track-university-libraries>.

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

I. Instructions

- A. Applicability of these Instructions
- B. Promotion Materials
- C. Persons Responsible for Initiating Actions
- D. Notification to Candidate
- E. Responsibilities of the Candidate
- F. User and/or Peer Letters
- G. Materials to be Used in Review
- H. Additions to the Packet and the Right to Rebut or Respond
- I. Responsibilities of the Initiating Unit
- J. Responsibilities of the Unit Director
- K. Responsibilities of the Ad Hoc Chair
- L. Responsibilities of the Vice President for Information Services and University Librarian
- M. Final Levels of Review
- N. Notification of Final Action
- O. Withdrawal from Consideration
- P. Special Guidelines for Library Faculty Affiliated with More than One Library Unit or with a Library Unit and a University Department, Separately Budgeted Research (SBR) Unit or Degree-Granting Program
- Q. Technical Resources for Assembling Packets

II. Forms

Form No. NTT-1-L	Recommendation Information Form
Form No. NTT-2	Criteria Applicable to this Candidate
Form No. NTT-3	Narrative Summary of Peer Group Evaluation Committee
Form No. NTT-4	Narrative Summary of Unit Director's Recommendation
Form No. NTT-5	Narrative Summary of Vice President for Information Services and University Librarian's Recommendation

III. Appendices

Appendix A	University Policy Concerning Notice of Non-Reappointment
Appendix B	Evaluation Pathway for Academic Appointments and Promotions Not Involving Tenure or the Tenured Ranks
Appendix C	University Policies with Respect to Academic Appointments and Promotions
Appendix D-1	Sample 30-Day Notification Letter to Individuals to be Considered for Reappointment or Promotion
Appendix D-2	Sample 30-Day Notification Letter to Individuals Eligible for Consideration for Promotion Pursuant to the Provisions of Rank Review
Appendix E	Sample – Inventory Listing of Materials to be Included in Package for Promotion
Appendix F	Sample Invitation for Peer Letters
Appendix G	Sample Solicitation of User Letters

Please note that completed recommendations for promotion are due in the office of the Vice President for Information Services and University Librarian no later than December 8, 2017. Questions concerning these instructions should be directed to the Office of the Senior Vice President for Academic Affairs (848-932-7174) or to the Office of the Vice President for Information Services and University Librarian (848-932-7505).

The purpose of these instructions and the difficult and time-consuming process undertaken by the University as described herein is to provide for a rigorous and fair review of the qualifications and accomplishments of candidates for promotion. In turn, library faculty have an

obligation to cooperate fully with their University colleagues in the evaluation process and to meet their responsibilities, as outlined in these instructions, in a timely and professional manner.

A. Applicability of these Instructions

These instructions are applicable to all non-tenure track University Libraries faculty promotion recommendations to the ranks of Librarian of Practice II and Librarian of Practice I. Evaluations for all non-tenure track library faculty reappointments to the same rank and promotions up to and including the rank of Librarian of Practice III are governed by the Short Form (<http://academiclaborrelations.rutgers.edu/files/faculty-evaluation-short-formdoc>).

B. Promotion Materials

A candidate's promotion packet shall consist of the appropriate forms, those materials generated pursuant to Sections F, G and H below, and those supplementary materials submitted by the candidate pursuant to Section E below. In addition, the packet shall include a copy of the candidate's current appointment letter, a copy of the applicable criteria posted on the Libraries' website, the candidate's CV, and any other documentation that may be required by Libraries.

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

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

C. Persons Responsible for Initiating Actions

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

Rank Review

A non-tenure track member of the library faculty may request of the unit director that he/she be evaluated for promotion. The request shall be granted for non-tenure track librarians who have been at least six years in rank and have not been evaluated for promotion for at least

four years.¹ Evaluations conducted pursuant to rank review shall be carried through each level of review unless withdrawn by the candidate.

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

D. Notification to Candidate

Each non-tenure track librarian who is to be considered for promotion shall be notified by the unit director at least thirty (30) days in advance that such consideration shall take place, and shall respond appropriately within the 30-day period. Also, each non-tenure track librarian who is eligible for evaluation pursuant to Section C "Rank Review" above shall be notified of his/her eligibility and shall respond appropriately within the 30-day period.

E. Responsibilities of the Candidate

A specific responsibility of the candidate is to ensure the accurate preparation, presentation and certification of Form NTT-1-L, Recommendation Information Form, which is to be signed by both the candidate and the unit director and circulated to the appropriate peer group by the unit director. In preparing Form NTT-1-L, the candidate is responsible for ensuring that the candidate's librarianship and service activities are fully presented on the form.

The candidate shall provide the unit director with the signed and completed Form NTT-1-L. The candidate must also submit a CV and brief personal statement identifying the candidate's major contributions since the last evaluation. **While not required, a personal statement is helpful to levels of review that may not be familiar with the discipline, sub-discipline, or specialization of the candidate.** The personal statement may address evidence of accomplishment in librarianship and service corresponding to the level of achievement expected of the higher rank.

The candidate may also submit to the unit director an original of any documents or materials he/she wishes to have considered. A list, compiled by the candidate, of the documents submitted to the unit director shall also be included (Appendix E).

Where user letters are applicable (see Section F below), the candidate may discuss with his/her unit director Libraries users who may be solicited to evaluate the candidate's librarianship and/or service. Specifically, the candidate may suggest potential users and may discuss with his/her unit director qualified persons from whom user letters may be solicited. In addition, the candidate may prepare a list of persons in his/her field from whom he/she prefers user letters not be solicited. The candidate shall provide a written explanation for the exclusion of each person on that list. If a user letter is solicited from an individual on the candidate's "not for" solicitation list, the candidate's written explanation shall be attached to the individual's letter.

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

A unit director may, at his/her discretion, also attach an explanation for his/her decision to solicit a letter from the individual.

F. User and/or Peer Letters

In promotion cases, user and/or peer letters may be included in the evaluation packet where relevant based upon the responsibilities and activities of the position. Users are Libraries users who provide commentary as to the candidate's librarianship and/or service. Users may or may not be affiliated with Rutgers University. Letters from users are solicited by the candidate's unit director. Peers are the candidate's faculty peers within University Libraries, who provide commentary as to the candidate's librarianship and/or service. Letters from peers are invited by Libraries Human Resources (Appendix F).

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

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

User and/or peer letters solicited in a previous year may be used again. However, selectivity of such letters is not permitted even if the candidacy is later withdrawn pursuant to Section O (Withdrawal From Consideration); therefore, either all or none of the letters solicited in a previous year must be included. If new letters are solicited and if any of the users or peers solicited in a prior year are solicited again, then all of the users or peers previously solicited (excluding those who declined initially) must be re-solicited when the prior solicitation occurred in either of the two immediately prior years.²

G. Materials to be Used in Review

With the exception of user and/or peer letters solicited in accordance with these Instructions, any unsolicited letters submitted by the candidate as part of the packet, and those documents that are generally public knowledge such as published articles, and other similar documents, only those materials in the official personnel file and other materials added to the packet as described in Section H below may be used in conducting the review. The official personnel file for each library faculty member is maintained in the office of the Vice President for Information Services and University Librarian.

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

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

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

Documents

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

Evidence of a Significant Change in the Status of Materials

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

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

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

I. Responsibilities of the Initiating Unit

The library or service units have the specific responsibility to meet in appropriate peer groups as follows:

The Peer Group Evaluation Committee will consist of six tenured Librarians, and Librarians of Practice I (if any). In cases of promotion to Librarian of Practice II, the Peer Group Evaluation Committee will additionally include Librarians of Practice II (if any).

It is the responsibility of the appropriate peer group to arrive by vote at a recommendation with respect to each candidate, and to submit that recommendation to AUL/Unit Director using Form NTT-3. A positive unit recommendation requires a positive vote by a minimum of two-thirds of those voting. A minimum total of six peer group votes is required (total votes include those voting positively, negatively, or abstaining.) If fewer than two-thirds of those voting support the candidacy, the recommendation of the unit shall be recorded as a negative recommendation. Only those librarians who are physically present at the meetings in which the candidate is considered are to be accorded a vote; a vote by an absent librarian is not permitted under any circumstances.³

The units for the purposes of these instructions are noted below.⁴

1. New Brunswick Libraries

Unit Director: Associate University Librarian for Research and Instructional Services and Director of New Brunswick Libraries

2. Special Collections and University Archives

Unit Director: Associate University Librarian for Collection Development and Management

3. Technical and Automated Services

Unit Director: Associate University Librarian for Digital Library Systems

4. Paul Robeson Library

Unit Director: Director, Robeson Library

5. John Cotton Dana Library and branches

Unit Director: Director, Dana Library

J. Responsibilities of the Unit Director

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

³ Multi-campus units (units where faculty reside across New Brunswick, Newark and/or Camden campuses) may use video conferencing where an individual's identity can be verified.

⁴ Where the unit includes more than one unit director, it is the candidate's unit director who must exercise the responsibilities of the unit director as set forth in these instructions.

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

The unit director shall sign the Form NTT-1-L within ten (10) days of receipt of it from the candidate, to indicate concurrence with its content. If there is a dispute between the unit director and the candidate as to the content of the Form which they are unable to resolve, the unit director shall so indicate in the space provided above his/her signature attaching an explanation to the Form.

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

Upon receipt of the peer group's recommendation, the unit director shall prepare a narrative summary of his or her recommendation (Form NTT-4) which will be forwarded to the Vice President for Information Services and University Librarian. If, however, the unit director intends to make a recommendation different from that of the peer group, prior to completing his or her recommendation, the unit director will meet with the ad hoc chair to discuss the matter.

Other specific responsibilities of the unit director in regard to the provision of notice to candidates, the preparation of materials for the evaluation, and the solicitation of user letters are set forth in Sections D and F above.

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

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

Candidates Affiliated with More than One Library Unit or with a Library Unit and a University Department, SBR Unit or Degree-Granting Program: The unit director has the responsibility to implement the instructions set forth in section S below and to make available, with the candidate's promotion materials to be considered by the peer group, any related evaluations.

Unit Representative: The candidate's unit director shall serve as the representative of the unit in communications with the Vice President for Information Services and University Librarian.

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

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

K. Responsibilities of the Ad Hoc Chair

When there are candidates for promotion the unit director shall schedule the initial meeting of the appropriate peer group as set forth in Section I, and at that meeting, an ad hoc chair will be elected to conduct the deliberations and to prepare the peer group's report. Once elected, the ad hoc chair shall serve for all promotion actions appropriate to his or her rank. The ad hoc chair shall forward the completed Form NTT-3 to the unit director.

Peer Group Evaluation: The ad hoc chair has the responsibility to encourage as open and complete a discussion of the candidates as possible. The ad hoc chair should be a vigorous participant in such discussions, sharing his or her views with colleagues and providing them with an opportunity to respond. Only those librarians who are physically present at the peer group meetings in which the candidate is considered are to be accorded a vote; a vote by an absent librarian is not permitted under any circumstances.⁵

Peer Group Report: The ad hoc chair has the responsibility to draft the peer group report, reflecting both majority and minority views if there is a division, describing the candidate's contribution to collaborative efforts and adding any explanatory commentary the ad hoc chair deems necessary for later levels to understand the unit proceedings and viewpoints. While the narrative should be structured to present a rigorous evaluation of the candidate's record, it need not comment on every item listed on Form NTT-1-L. The ad hoc chair shall provide to all participants in the unit evaluation the opportunity to review the final report prior to its submission. In the case of candidates affiliated with more than one library unit or with a library unit and a University department, SBR unit or degree-granting program, the ad hoc chair shall attach the appropriate evaluation, as described in section S below, to the peer group report.

Notification to Candidate of Peer Group's Action: It is the responsibility of the ad hoc chair to notify the candidate, in writing, of the recommendation of the peer group within five working days after the peer group has met and voted on its recommendation. This notification will be the only notice to the candidate until final notice described in Section N.

L. Responsibilities of the Vice President for Information Services and University Librarian

It is the responsibility of the Vice President for Information Services and University Librarian to ensure that a thorough, rigorous and appropriately informed process of evaluation takes place for each candidate. Following the recommendations of the unit and the unit director, the Vice President for Information Services and University Librarian shall make his/her independent evaluation and prepare a brief statement of approval or denial of the promotion (Form NTT-5). All pertinent information on a particular candidate must be considered, and the Vice President for Information Services and University Librarian shall provide specific justification based on the record for his/her recommendation. The Vice President for Information Services and University Librarian shall have primary responsibility for ensuring the

⁵ Multi-campus units (units where faculty reside across New Brunswick, Newark and/or Camden campuses) may use video conferencing where an individual's identity can be verified.

quality and the rigor of evaluations in the University Library. However, if the Vice President for Information Services and University Librarian intends to make a recommendation different from that of the unit director, prior to completing his or her recommendation (Form NTT-5), the Vice President for Information Services and University Librarian will meet with the unit director to discuss the matter.

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

M. Final Levels of Review

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

N. Notification of Final Action

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

O. Withdrawal from Consideration

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

P. Special Guidelines for Library Faculty Affiliated with More than One Library Unit or with a Library Unit and a University Department, Separately Budgeted Research (SBR) Unit or Degree-Granting Program

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

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

A personnel action may be initiated for a library faculty member by his/her primary library unit or by the secondary library unit, department, SBR unit or degree-granting program in which the individual has a significant or principal assignment. In both instances the primary library unit shall have responsibility for the personnel action in consultation with the secondary library unit, department, SBR unit or program as described herein. The letters from users or peers shall be jointly solicited by the primary library unit director and the secondary library unit director in cases of library faculty affiliated with more than one library unit. In cases of library faculty affiliated with a library unit and a university department, SBR unit or degree-granting program, the letters from users or peers shall be solicited by the library unit director. The director of the secondary library unit, the department chair, the SBR unit director or the program director shall evaluate the candidate in consultation with the appropriate peers in the library unit, department, SBR unit or program, in the form of a memorandum to the unit director, for consideration by the candidate's primary library unit. The evaluation shall be included as an attachment to the primary library unit's report. Faculty members who participate in the evaluation of the candidate at the primary library unit, department, SBR unit or program level shall not participate in the secondary library unit, department, SBR unit or program evaluation.

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

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

If the candidate does not currently have an affiliation with a secondary library unit, University department, SBR unit or degree-granting program, but did so for a substantial part of the interval since the last evaluation for promotion, the candidate's library unit director will solicit an evaluation of the candidate from the secondary library unit director, department chair, SBR unit or program director. The director of the secondary library unit, the department chair, the SBR unit or program director shall evaluate the candidate in consultation with the appropriate peers in the library unit, department, SBR unit or program and shall forward the evaluation, in the form of a memorandum to the unit director, for consideration by the candidate's primary library unit. The evaluation shall be included as an attachment to the primary library unit's report. Faculty members who participate in the evaluation of the candidate at the primary library unit, department, SBR unit or program level shall not participate in the secondary library unit, department, SBR unit or program evaluation. (In instances where the period of affiliation with a secondary library unit, department, SBR unit or degree-granting program was not substantial, the candidate's library unit director may, at his/her discretion, seek an evaluation from the secondary library unit director, department chair, SBR unit or program director.)

Q For Candidates: Technical Resources for Assembling Packets

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

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

Because external web links often change, it is recommended that you deposit your publications in SOAR (Scholarly Open Access at Rutgers): <http://soar.rutgers.edu>. Go to the SOAR website, click **Deposit Your Work, and you will receive a unique permanent link (DOI) that can be added to your citation. For further information, contact the SOAR Librarian (848-445-5950) or email SOARhelp@rutgers.edu.**