MINUTES OF THE C-FACULTY SENATORS COUNCIL MEETING OF JANUARY 30, 2020

The New York University Continuing Contract Faculty Senators Council (C-FSC) met at 9:00 AM on Thursday, January 30, 2020 in the Global Center for Academic & Spiritual Life at 238 Thompson Street, 5th Floor Colloquium Room.

In attendance were Senators Carter, Davis, De Bartolo, Depaola-Cefola, Illingworth, Jahangiri, Joachim, Killilea, Kim, Liston, Maynor, McCarty, Patterson, Rao, Renzi, Saravanos, Slater, Tourin, Unnikrishnan, Watkins, White, Williams, and Youngerman; Alternate Senators Barnes, Bridges, Dickey, Ferguson, Flamino, Hartsfield, Hersh, Kleinert, Owens, Rochlen, Sahin, Spivakovsky, and Stevens.

APPROVAL OF THE AGENDA

Upon a motion duly made and seconded, the meeting agenda was approved unanimously.

REPORT FROM THE CHAIRPERSON: LARRY SLATER

See attached Document A.

Discussion/Questions on Chair’s Report

Steering Committee (SC) Meetings

At the SC meeting with the President, they discussed the expansion of the Office of Equal Opportunity (OEO), which recently added five new positions. They also discussed new Title IX procedures.

The SC meets with the Provost on February 6thThe agenda items for this meeting include a discussion on efforts to address work/life balance, establishing a contract faculty resource/liaison (the "banana" position), and reviewing faculty shared workspace needs. The SC will also include any additional items following the Provost’s visit to the Council today.

The SC is invited to a meeting with the Student Senators Council on diversity and invisible disabilities.

The SC will also potentially be drafting a more general resolution in terms of how to address religious holidays and observances. This comes after the presentations by students on their resolution related to religious holidays. They asked Council members to send any specific questions or concerns to the SC.

Spring Faculty Reception

Chairperson Slater reminded the Council of the Spring Reception on February 12 from 5 to 7 pm.

Superblock Stewardship Advisory Committee (SSAC)

The C-FSC needs an additional representative to serve on the SSAC. The meeting dates are March 4, and April 22, from 11 am-12:30 pm. It was noted Non-Council members who live in the superblock may also serve as representatives.
Any Council members interested in serving, or with suggestions of non-Council members, can contact karyn.ridder@nyu.edu.

**Long Island School of Medicine (LISOM)**

Slater reported on his phone conversation with Dr. James Grendell, the new C-FSC observer from the LISOM. They reviewed the Council, the University Senate, and Committees and also the overall timeline of current observer status versus future senator status. Dr. Grendell stated that the LISOM is very excited to join us and looks forward to working together to address representation for the 100+ contract faculty at LISOM.

The Chair’s Report was accepted into the minutes.

**PRESENTATION, DISCUSSION, AND VOTE**

**Proposed Resolution to Amend, Replace and Clarify the Grievance Procedures Pertaining to C-Faculty**

*See attached Document B.*

Chair of the Grievance Committee Watkins noted the Committee took into account the comments, suggestions, and edits of the Council members in the drafting of the proposed resolution.

A Senator asked for more clarity on the definition of a working day. For instance, Abu Dhabi’s working days are Sunday-Thursday versus Monday-Friday.

It was suggested to clarify with the following statement:

> “Working days during the school-level grievance process refer to the school-level administrative offices’ schedules; working days during the university-level grievance process refer to the NYU-NY administrative offices’ schedules.”

The amendment to add the statement was approved by vote of the Council.

A Senator asked that the language be consistent regarding the school grievance committee reporting regularly to the faculty on the number of cases heard or under study and the ultimate disposition of such cases. He suggested changing the language from “must” to “shall.”

A Senator suggested adding the following parenthetical statement after this statement:

> As a standing committee of the faculty, the school grievance committee shall annually report to the faculty on the number of cases heard or under study and the ultimate disposition of such cases (for example, amicably settled, on appeal to the Provost, or the grievance committee report rejected by the Dean).

The amendment to add the statement was approved by vote of the Council.

A Senator also suggested adding the following parenthetical statement after this statement:

> The Continuing Contract Faculty Grievance Advisory Committee shall annually report to the Continuing-Contract Faculty Senators Council on the number of cases heard or under study and the ultimate disposition of such cases (including whether the Continuing Contract Faculty Grievance Advisory Committee recommendation was accepted or rejected by the Provost).

The amendment to add the statement was approved by vote of the Council.
The proposed resolution, with amendments, was approved by vote of the Council. The document will now be forwarded to the T-FSC for their review.

**Green Open Access @ NYU**

*See attached Document G.*

Senator Maynor noted her presentation was developed in collaboration with Division of Libraries members April Hathcock, Vicky Steeves, and Lingyu Wang.

Open access (OA) refers to free, unrestricted online access to research outputs such as journal articles and books. OA content is open to all, with no access fees. It comes in many variations, with varying degrees of complexity and impact for publishers and researchers.

She noted today’s presentation does not focus on other open educational resources such as open textbooks, syllabi, or curriculum or Massive, Open, Online Courses (M.O.O.C.s).

Maynor noted green open access is adding a copy of your work into an institutional repository to ensure the long-term preservation and access to your work at your home institution or chosen organization(s). For instance, NYU has the Faculty Digital Archive (FDA).

She discussed the importance of open access due to the following factors: journal costs are increasing at unprecedented rates and library budgets for these journals cannot keep pace, as well as the problems within the academic publishing model. She noted in the current model, faculty give away their articles, and copyrights to publishers for free and then the publishers charge the university to re-access this material. In addition, many students and researchers still cannot get the article they need, and libraries cannot afford many journals. Other motivating factors include grant requirements that mandate federal and private grants require data management plans and public access to research products, legal (Plan S) and ethical imperatives to share information without a paywall, and the rising costs of library subscriptions and tuition for students. A Senator agreed with the importance of the moral imperative for scholarly work to be widely circulated and available.

Maynor reported peer institutions have passed open access resolutions as far back as 2005. She noted the following link provides data on open access resolutions from 75 institutions: [http://bit.ly/nyuOAchart](http://bit.ly/nyuOAchart).

Maynor summarized in the proposed NYU Policy on Open Access for Research each faculty member will grant to New York University a non-exclusive, irrevocable, royalty-free, and worldwide license. The NYU faculty author will remain the copyright owner unless that author chooses to transfer the copyright to a publisher.

The full text of the proposed policy is available at: [http://bit.ly/OAforComment](http://bit.ly/OAforComment). This would apply to all faculty members and would require all faculty members to publish their work moving forward.

A Senator inquired on other forms of scholarly work, such as art installation or film. Maynor responded the focus is on traditional scholarly publishing, including books.

Maynor shared the following links:

*The Libraries’ Open Access guide:* [https://guides.nyu.edu/copyrightforauthors/oa](https://guides.nyu.edu/copyrightforauthors/oa)

*Copyright for Authors tab:* [https://guides.nyu.edu/copyrightforauthors](https://guides.nyu.edu/copyrightforauthors)

*Publishing Agreements tab:* [https://guides.nyu.edu/copyrightforauthors/publishingagreements](https://guides.nyu.edu/copyrightforauthors/publishingagreements)

Maynor clarified the open access data capabilities. The primary repository at NYU, the FDA, is equipped to handle typical PDF’s. There is also a geo-spacial data repository at NYU which handles JSON files. The Library works closely with NYU IT to handles different kinds of research data display, image usage, etc.

Chairperson Slater asked Council members to send Maynor any additional comments, questions, or suggestions to assist in drafting the final language. Vicky Steeves and April Hathcock will attend the March Council meeting to present the policy for vote of the Council.
Proposed Resolution to Express Concern with Enrollment and Scheduling Practices

See attached Document C.

This discussion will take place at the March Council meeting.

SPECIAL PRESENTATION: PROVOST FLEMING

See attached Document F.

Strategic Planning and Student Enrollment

The Council asked Provost Fleming to address the national trends of decreasing applications and enrollment and its potential future impact on NYU programs and contract faculty. Provost noted the trends in decreasing enrollment, attributed in part to a drop in birthrate and immigration changes. However, NYU has had record numbers of applications and foresees a 10-15% increase in the number of applicants over the next decade. She remarked on the challenges faced by small, tuition-dependent schools, noting the examples of Hampshire College and Bennington College.

She noted the enrollment challenges in certain programs at NYU and the balance of meeting the interests and needs of incoming students with the diversity of programs across fields. She noted cross-disciplinary approaches. Senators discussed the hiring plans based on interests of the student population and cross-disciplinary approaches.

The Center for Faculty Advancement was mentioned as a resource for faculty to address mobility and transferability in times of shifting trends.

Factors that Affect Contract Faculty Work-Life Balance

The Council asked Provost Fleming to address class and room scheduling and after-hours communication as they relate to faculty work-life balance, particularly for contract faculty.

Fleming noted the Mercer Street building project, which will have a large portion of classroom space, led to a study of classroom space usage. The findings showed classroom space inefficiencies in certain time slots and on days (i.e., Fridays). She noted the way most schools deal with space issues is through full and flat scheduling, which means faculty will not always be assigned to the same time slot to allow for fairness across the most desired slots. Schools are asked to take into consideration the work-life needs of faculty.

Senator Illingworth raised the issue discussed by the Educational Policies and Students/Relations Committee on the scheduling practices in smaller language departments and its effect on enrollment.

Fleming identified the Classroom Cabinet, which handles the algorithms on space usage. The cabinet examines many diverse factors, such as the needs of certain student populations (i.e., older students who work full-time jobs, etc.).

On the topic of communications, Fleming discussed the challenges of after-hour emails. She suggested faculty could make clear in their syllabi the expectations on email etiquette.

Chairperson Slater noted NYU’s Wasserman Center has a helpful video on email etiquette.

A Senator raised an issue with accessibility and Zoom. She reports her need for videos posted on Zoom to be accessible through the transcript feature for use beyond the 120 days allowed. Provost Fleming will look into this issue.
COMMITTEE REPORTS

See attached Document D.

Discussion/Questions on the following submitted reports:

Finance & Policy Planning

Committee Chair Patterson noted the Committee is working on their recommendation on the fiscal 2021 budget to be presented this spring to the Senate Financial Affairs Committee.

In the proposal, the Committee asks for a minimum salary increase, information on salary those with significant years of experience to help address compression issues, a request for salaries to be reviewed every three years, and a recommendation on merit increase.

Their recommendations will be presented at the March Council meeting for vote by the Council.

No Discussion/Questions on the following submitted reports:

Faculty Benefits & Housing
Personnel Policies & Contract Issues

Reports at Meeting:

There were no additional reports at the meeting. The reports were accepted into the minutes.

OLD BUSINESS

Lectern Update

See attached Document E.

Senator White submitted a report on the portal lecterns to be delivered to classrooms.

NEW BUSINESS

Proposal for Principal Language Lecturers

Senator Renzi reported the Faculty of Arts and Sciences (FAS) is looking into a third level of Language Lecturer rank, titled Principal Language Lecturer. Currently, there are two ranks, the top being the Senior Language Lecturer. He noted other schools with two ranks might also be interested in advocating for a third rank. He will communicate more once FAS moves towards a decision.

ADJOURNMENT

The meeting adjourned at 11:00 AM.
1. **Steering Committee Meeting with the President, December 13, 2019**

A verbal report will be provided by Mary Killilea at the January 30, 2020 Council meeting. The Steering Committee Chair was unable to attend the meeting due to finals.

2. **Steering Committee Meeting with the Provost, December 19, 2019**

As the Steering Committee is still in the process of evaluating and developing presentable solutions related to two of our priorities, the meeting was canceled so more fruitful discussions could occur in the spring. The two priorities include:

   a. An independent faculty/human resource person to handle contract faculty issues.
   b. Dedicated faculty work/meeting space.

3. **Update on Steering Committee Meetings with NYU Abu Dhabi and NYU Shanghai**

Members of the Steering Committee had conversations with senators/alternates from Shanghai and Abu Dhabi, in one part of our efforts to increase communication and collaboration with our portal campus colleagues. Several issues emerged which echo concerns at NYU-NY, including:

   a. ability for faculty at portal campuses to have mobility within, and perhaps even transfer within, the larger NYU system;
   b. questions of faculty titles/nomenclature and clarity/consistency with what titles mean in terms of job descriptions;
   c. concerns about non-salary compensation, including housing and K-12 tuition for children; and equitable pay across full-time, non-tenure track faculty.

Also, given that we are often in committees without our portal campus colleagues (or in committees that meet at times during which our portal campus colleagues cannot call in), we ask that all committees keep an eye out for issues that come up which touch on these topics of concern for our portal colleagues. Also, we ask that you keep an eye out for issues that may have reverberations beyond the Square and, as always, if any such issues emerge feel free to reach out to the Steering Committee so we can help coordinate.

4. **Personnel Policies**

The NYU Abu Dhabi guidelines were approved by the Provost. Attached to this report are the final guidelines, as well as the C-FSC/T-FSC recommendations and the responses to those recommendations. The NYU Meyers guidelines were also approved by the Provost. Attached to this report are the final guidelines, as well as the C-FSC/T-FSC recommendations and the responses to those recommendations.

We have received two policies that our Personnel Policies and Contract Issues Committee is currently reviewing. They are from the School of Professional Studies and the Courant Institute. We had sent out a call for volunteers to help the committee this semester, as we foresee a few other policies coming this spring. If you are interested, please contact Heidi White, Chair.

5. **Long Island School of Medicine**
I had a phone conversation with Dr. James Grendell, our new C-FSC observer from the LISOM. We reviewed our council, the University Senate, and committees and the overall timeline of current observer status versus future senator status. Dr. Grendell stated that the LISOM is very excited to join us and looks forward to working together to address representation for our 100+ contract faculty at LISOM.

6. Steering Committee Meeting, January 30, 2020

The Steering Committee met on January 30, 2020, after the submission of the chair’s report. As such, a verbal report will be given at the meeting.

7. Upcoming Meetings for the Academic Year

If you have any issues you would like to have discussed at any of the meetings, please forward your requests/comments to the Steering Committee at:

c-fsc-steering-committee-group@nyu.edu

a. C-FSC
   i. C-FSC Council Meetings
      1. March 12, 2020, 9:00 am – 11:00 am
      2. April 21, 2020, 12:00 pm – 2:00 pm
      3. May 5, 2020, 12:00 pm – 2:00 pm

b. C-FSC Steering Committee
   i. C-FSC Steering Committee Meetings
      1. January 29, 2020
      2. Additional TBD
   ii. Meetings with the President
      1. Additional TBD
   iii. Meetings with the Provost
      1. February 6, 2020, 1:00 pm – 2:00 pm
      2. April 30, 2020, 1:00 pm – 2:00 pm

c. University Senate
   i. Senate Meetings
      1. February 13, 2020, 9:00 am – 11:00 am
      2. March 26, 2020, 9:00 am – 11:00 am
      3. April 23, 2020, 9:00 am – 11:00 am
   ii. Senate Executive Committee Meetings (Chair only)
      1. February 4, 2020, 2:00 pm – 3:00 pm
      2. March 3, 2020, 2:00 pm – 3:00 pm
      3. April 13, 2020, 3:00 pm – 4:00 pm
January 8, 2020

Memorandum To: Fabio Piano, Provost, NYU Abu Dhabi
Nicholas Economides, Chair, T-FSC
Larry Slater, Chair, C-FSC

From: Katherine E. Fleming, Provost

Subject: NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments

I write to formally conclude the iterative process to establish NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments.

The final steps of this process involved a review of the recommendations of the T-FSC and the C-FSC on earlier drafts of the policy. In considering these recommendations, NYU Abu Dhabi undertook a consultative process that is described in the attached memo from Provost Piano. My office also reviewed these recommendations with reference to University policies and the Faculty Handbook, keeping in mind that the Handbook provides general principles while leaving schools the flexibility to develop policies that are consistent with their culture, history, and organization. That process has now been completed and FSC recommendations have been incorporated into the final document.

I am attaching the guidelines titled NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments. This policy will be effective as of September 1, 2020 and NYU Abu Dhabi will post the policy on its website.

I am also attaching the NYU Abu Dhabi responses to the FSC recommendations. I thank the T-FSC and the C-FSC for your thoughtful review of this policy, which your recommendations have helped to strengthen.

Attachments

Copy to:
Martin Klimke, Vice Provost for Academic Policies and Governance
Kristen Day, Vice Provost
Peter Gonzalez, Associate Provost, Faculty Appointments
Karyn Ridder, Manager of Faculty Governance
Date: December 22, 2019

Memorandum to: Katherine Fleming, Provost

From: Fabio Piano, Provost

Subject: Revision of the NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments

Cc: Kristen Day, Vice Provost

Dear Provost Fleming,

Please find attached our response to the review of the NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments conducted by the NYU C-Faculty Senators Council (May 7, 2019) and the NYU T-Faculty Senators Council (May 23, 2019).

The recommendations of the Faculty Senators Councils helped significantly to improve the revision of the document in several instances both in terms of procedure and clarity; they were also taken into consideration by the NYU Abu Dhabi Faculty Council Steering Committee (FCSC), as well as the Ad-Hoc Continuing Contract Faculty Committee, formed in the previous year for the purpose.

Based on the comprehensive feedback and additional suggestions for improvements from these two groups, further edits were incorporated during the course of the fall semester and a revised version of the guidelines was finally approved by “unanimous consent” in accordance with the NYUAD Faculty Governance Guidelines at the meeting of the NYU Abu Dhabi Faculty Council on November 24, 2019.

This fall semester also saw the revision of the NYU Abu Dhabi Faculty Governance Guidelines led by the NYU Abu Dhabi FCSC in consultation with all faculty, which will form the basis of a separate transmittal to you. The NYU Abu Dhabi Faculty Governance Guidelines also include as Appendix 2 revised Faculty Grievance Procedures that establish a separate NYU Abu Dhabi Full-Time Continuing Contract Faculty Grievance Committee (as well as a separate Tenured/Tenure Track Faculty Committee). These comprehensive grievance procedures replace the previous section “6. Grievance Procedures” in the NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments.

Based on the clear support for these revised guidelines across both Continuing Contract faculty and Tenured/Tenure Track faculty at NYU Abu Dhabi, I endorse the revised version of the NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments and would like to submit these guidelines to you for consent or any final comments, so that they can become effective in time for the academic year 2020-21 on September 1, 2020 together with other faculty appointment policies currently under review.
We feel very confident that the revised version of these guidelines are firmly based on University policy, are robust and enjoy the strong support of both our Continuing Contract faculty and Tenured/Tenure Track faculty, as well as the academic leadership of NYUAD, and thus represent a significant step in the evolution of our administrative processes and procedures.

Thanks in advance for your time and consideration.

Best wishes,

Fabio Piano
Provost, NYU Abu Dhabi
Date: May 7, 2019

Memo to: Katherine Fleming, Provost

From: Mary Killilea
Chairperson, C-Faculty Senators Council
A/Y 2018-2019

Subject: C-Faculty Senators Council Review: NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments.

The C-Faculty Senators Council submits the attached recommendations regarding the NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments. These recommendations were approved by the Council at the May 2, 2019 meeting.

cc: Fabio Piano, Provost, NYU Abu Dhabi
Martin Klimke, Vice Provost for Academic Policies and Governance, NYU Abu Dhabi
Zvi Ben-Dor Benite, Associate Vice Chancellor for Global Network Faculty
Carol Morrow, Vice Provost
Peter Gonzalez, Associate Provost, Faculty Appointments

C-FSC Steering Committee Members:
Larry Slater, C-FSC Vice Chairperson
Lauren Davis
Leila Jahangiri
Tommy Lee
Beverly Watkins
Ethan Youngerman

Heidi White, C-FSC Personnel Policies & Contract Issues Committee Chair

Wen Ling, T-FSC Chairperson
Recommendations of the C-FSC in regard to:

NYU ABU DHABI
Policies and Procedures for Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty

BACKGROUND

In the fall semester of the academic year 2018/19, the NYUAD Faculty Council Steering Committee in collaboration with the NYUAD Contract Faculty Senators initiated a revision process of the existing NYUAD Guidelines for Full-Time Continuing Contract Faculty (CF) Appointments. A vote by the NYUAD Faculty Council on December 9, 2018 on the revised version of the guidelines among our faculty via the electronic Helios Voting system produced the following result: “Should the current version of the 2018 Revised Contract Faculty Guidelines be adopted?” The results were: Yes 107, No 6, and Abstain 31. (The official NYUAD faculty count as of November 2018 is 107 Continuing Contract Faculty, plus 119 Tenured/Tenure Track and 41 Other Faculty, adding up to a total of 267. The total faculty voter turnout is thus 53.93%). After consultations between NYU Vice Provost Carol Morrow and Martin Klimke (NYUAD Vice Provost for Academic Policies & Governance), another vote was held via the electronic Helios Voting system at the beginning of this spring semester (January 27, 5pm-February 10, 5pm) to provide you with detailed information about how this policy was endorsed by the Tenured/Tenure track faculty and Continuing Contract faculty. The results were Yes 116; No 6; Abstain 19. On March 7, 2019, the Provost Fabio Piano submitted the document to NYU Provost, Katherine Fleming.

At NYU, our strong tradition is for schools to develop policies that are “consistent with school culture and history.” Within that tradition, the NYU Faculty Handbook (hereafter Handbook) provides that school policies will be reviewed by the Provost to determine “whether the substance of the policy: (i) is consistent with general University policy; (ii) is compatible with the University’s commitment to excellence in teaching, research, scholarship, or artistic achievement and service within a community of respectful and respected academic professionals; and (iii) has no adverse implications for the University.” As part of the process of finalizing the Abu Dhabi policy for its Clinical Faculty, NYU Provost Katherine E. Fleming invited the C-FSC to comment on the document called “11292018-NYUAD_CF Guidelines”, adopting the same perspective (per letter of March 7, 2019 from Katherine E. Fleming to the C-FSC and T-FSC Chairs).

The following document will enumerate various questions, comments and recommendations to the submitted policy. The recommendations are made within the body of the document for ease of review and discussion.
OVERALL RECOMMENDATIONS:

RECOMMENDATION 1
We recommend the inclusion of a section that describes faculty participation in shared governance. At present, the document refers to the NYUAD Grievance Committee Charter, but according to our information, the aforementioned document is yet to be created.

The grievance/appeal process, of crucial importance to the faculty, should be developed by the faculty and added to the Policy document before the school sends the policy to the Provost. The process should be identified and explicitly described in this document. The NYU AD Grievance Committee Charter needs to be sent to the Provost for our review.

We recommend that the grievance/appeal process closely follow the principles elaborated in the University Guidelines that specify that all members of the committee, including the senior continuing contract faculty member, be elected: “Unless otherwise authorized in the school’s policy and approved by the Provost, each school shall either establish a new standing faculty committee for Continuing Contract Faculty grievances, which will include senior Continuing Contract Faculty and T/TTF elected by the voting members of the faculty; or shall expand its existing standing grievance committee for T/TTF to include (elected) senior Continuing Contract Faculty who shall participate in hearing and evaluating only those grievances that are filed by Continuing Contract Faculty.”

Additionally, The New York University Guidelines for Full-Time Continuing Contract Faculty note numerous requirements and procedures for the school grievance process, including specifying who may grieve, the grounds for grievances based on non-reappointment, as well as grievances related to other issues, the process of requesting the convening by the dean of the grievance committee, and the accessibility of that grievance policy to the faculty.

The development of this grievance process should be undertaken with full participation by the Continuing Contract Faculty and submitted to the faculty for discussion and a vote by the faculty. The process of consideration must include the right to offer amendments, and the vote may occur during a regular faculty meeting or by electronic ballot, as the faculty governance body may determine.

RECOMMENDATION 2
The University Guidelines for Full Time Continuing Contract Faculty, page 4, states: “Continuing Contract Faculty appointments that provide for the possibility of extended periods of employment support continuing involvement with students and colleagues and provide an appropriate and desirable element of job security. Thus, wherever possible, schools are encouraged to reduce reliance on one-year contracts. However, in addition to providing schools with an essential degree of flexibility, one-year contracts may be programmatical and academically desirable in a number of schools and
academic programs within schools; school policies shall include a rationale for a Continuing Contract Faculty title(s) that carries a one-year appointment.

“Full-time contract faculty members are to be hired within the context of the school’s long-term strategic planning for faculty academic programming, which is approved by the Provost. This is true for one-year as well as multi-year contracts.”

Add language similar to the following:

“If a one-year contract is adopted, the Dean will provide a justification, similar to the hiring plan submitted annually to the Provost, based on programmatic and academic considerations, to the faculty through the formal governance structure established at the school (the Faculty Assembly, etc.).”

**RECOMMENDATION 3**

We recommend a clear description of each type of faculty and of each rank, along with the specific requirements for reappointment, and promotion for each rank. As is, the policy is unclear as to what is required for promotion from one rank to another. These requirements are a necessary component of a reappointment and promotion policy.

**RECOMMENDATION 4**

Since Continuing Contract faculty are exclusively non-tenured, add language describing the differences between tenured faculty expectations and non-tenured faculty expectations is necessary. This is important because in some schools Continuing Contract faculty primarily have teaching responsibilities, while in other schools Continuing Contract faculty are expected to maintain an active scholarly, research, creative and/or professional life. For faculty in schools without continuing research/creative expectations for Continuing Contract faculty, continued creative, intellectual, and scholarly engagement in their fields can be encouraged, though not required, as appropriate to the area of the appointment.

For those schools, a model might be the following (adapted from the FAS Website, “Recruitment of New Faculty, Section 1.7, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professors, Overview,” http://as.nyu.edu/object/aboutas.pp.assocdean.recuitment.html):

“Continuing Contract Faculty lines differ from tenure-track lines. Although continuing contract lines are without tenure, they are typically multiyear and research is not part of their formal responsibilities, and hence teaching loads are greater.”

We recommend that for faculty in schools with continuing research/creative expectations for Continuing Contract faculty, a model might be the following:

“Continuing Contract Faculty lines are typically multiyear and differ from tenure lines at the School in the following ways: [enumerate those differences].”
RECOMMENDATION 5
Review document for consistency in language on the length of an initial contract.

RECOMMENDATION 6
The word “typically” is used often within the policy. We recommend more clarity. See recommendations below.

NEW YORK UNIVERSITY ABU DHABI
Guidelines for Full-Time Continuing Contract Faculty (CCF) Appointments

INTRODUCTION

Full-Time Continuing Contract Faculty (referred to as Continuing Contract Faculty) represent a distinct and vital part of the university academic community and contribute significantly to the university’s academic and service missions. Policies applicable to this group of faculty members must reflect the contributions that they make to the university’s commitment to academic excellence and service (including administrative responsibilities), while also embodying the university’s right to require exceptional teaching, scholarship and creative/artistic activities (where applicable), and service of all full-time faculty.

The NYU Abu Dhabi Full-Time Continuing Contract Faculty Guidelines (the Guidelines) set forth the principles and procedures for appointments, reappointments, and promotions at NYU Abu Dhabi. The purpose of these Guidelines is to map out the review principles and processes for Continuing Contract Faculty at NYUAD. They are designed to support standards of academic excellence in the processes of appointments, reappointments, and promotions and aim to provide a comprehensive and fair review of the candidates.

These guidelines shall apply to all appointments, reappointments, and promotions henceforth. Upon reappointment review for existing contracts, these guidelines shall apply with respect to, for example, review procedures, notification, consistency in case of reappointments with regard to length of contract, rank and title, etc. These guidelines shall apply immediately to all new appointments.

RECOMMENDATION 7
The New York University Guidelines for Full-Time Continuing Contract Faculty, issued June 12, 2014, revised December 15, 2015, page 1, Section II., Formulation of School Policies, paragraph 2, sentence 1, states:

“In response to these guidelines and as appropriate thereafter, schools shall formulate or amend their policies in accordance with existing school governance processes and with the expectation that FTCCF shall participate in formulating and/or amending the school policy to the extent and manner in which school governance policies permit.”

Clarify specifically and explicitly the process of consultation with the Continuing Contract faculty.
We strongly recommend that any development of this policy follow the letter and the spirit contained in the above quote from the New York University Guidelines for Full-Time Continuing Contract Faculty, allowing the Continuing Contract faculty, acting according to the school’s governance structure (e.g., its Faculty Assembly or similar body, faculty meeting, etc.), an active, essential and meaningful role in forming and approving any new policy, which policy must necessarily include the grievance/appeal process.

Mechanisms for timely distribution to the faculty, faculty discussion, as well as the ability for faculty to present amendments, make recommendations to and vote on the Policy in a regularly scheduled faculty meeting following procedures outlined in the school’s governance structure, should be included and stated explicitly.

These Guidelines are being implemented at NYU Abu Dhabi (NYUAD) to supplement NYU faculty policies applicable to Full-Time Continuing Contract Faculty as outlined in the NYU Faculty Handbook. If any part of these Guidelines is inconsistent with NYU policies, the NYU policies then in effect will control.

Scope
These Guidelines apply to all NYUAD Continuing Contract Faculty. The titles currently held by Continuing Contract Faculty at NYUAD are the following:

- Arts Professor (Associate Arts Professor, Assistant Arts Professor)
- Professor of Practice (Associate Professor of Practice, Assistant Professor of Practice)
- Senior Language Lecturer (Language Lecturer)
- Senior Lecturer (Lecturer, Associate Lecturer, Assistant Lecturer)
- Teaching Professor (Associate Teaching Professor, Assistant Teaching Professor)
- Research Professor (Research Associate Professor, Research Assistant Professor)

An ongoing review is determining the appropriateness and usage of these titles in conjunction with an assessment of faculty appointment policies at NYUAD as the institution has evolved.

Rights and Responsibilities
The responsibilities of Continuing Contract Faculty at NYUAD include, among others: teaching assignments, student advisement, program and committee responsibilities, scholarship and creative activities (where applicable), and avoidance of conflicts of interest.

The rights and privileges of NYUAD Continuing Contract Faculty are governed by the NYU Faculty Handbook and the NYUAD Faculty Governance Guidelines They include, among others, academic freedom, leaves of absence, sabbaticals (when eligible), as well as serving as Principal Investigator on
RECOMMENDATION 8
Add the following: NYUAD’S Faculty Guidelines can be found here: https://intranet.nyuad.nyu.edu/files/resources/faculty-governance-guidelines.pdf

RECOMMENDATION 9
In schools where professional, scholarly and/or creative activity is either required or encouraged for reappointment and promotion, professional development funds and research leave or sabbatical should be provided to further support professional, scholarly, or creative work. A description of that eligibility, and the process governing it, should be explicitly stated in the policy.

In schools where the Continuing Contract faculty’s responsibilities are exclusively teaching, professional development funds that support that faculty member’s continued growth in teaching their field should be provided.

Participation in NYUAD Governance
Other than eligibility for tenure, and except for participation in tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty, Continuing Contract Faculty enjoy the same rights and responsibilities as tenured and tenure-track faculty members in the governance of NYUAD and in the academic divisions in which they teach. Voting rights at NYUAD are extended to Continuing Contract Faculty in accordance with the guiding principles of the NYU Faculty Handbook and the NYUAD Faculty Council. In accordance with University Bylaws, Section 82(c), Faculty Membership, College and School Governance, Continuing Contract Faculty may hold their own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of NYUAD.

Future Amendments
As noted above, NYUAD is finalizing its procedures and processes for faculty nomenclature. Any amendment to these guidelines must be in writing and must be approved by the Provost of NYUAD, following consultation with the NYUAD Faculty Council, and the Provost of NYU. As with all NYUAD policies, these guidelines, or any provision hereof, are subject to change and the policies in effect at the time of an action will apply to that action.

RECOMMENDATION 10
The policy should follow the letter and the spirit contained in the New York University Guidelines for Full-Time Continuing Contract Faculty, issued June 12, 2014, revised December 15, 2015, page 1, Section II., Formulation of School Policies, paragraph 2, sentence 1, which states:

“In response to these guidelines and as appropriate thereafter, schools shall formulate or amend their policies in accordance with existing school governance processes and with the expectation that Full-Time Continuing Contract Faculty shall participate in formulating and/or amending the school policy to the extent and
manner in which school governance policies permit.” Add the following:

“Mechanisms for timely distribution of any amendments to the Policy to the faculty, faculty discussion, as well as the ability for faculty to present amendments, make recommendations to and vote on the Policy in a regularly scheduled faculty meeting following procedures outlined in the school’s governance structure, should be included and stated explicitly.”

1. REVIEW PRINCIPLES

These guidelines regarding Continuing Contract Faculty shall apply to all appointments, reappointments and promotions, subject to the terms of the employment contract between the faculty member and NYUAD, and the laws of the United Arab Emirates (UAE).

Authorization
All faculty lines and appointments require prior authorization from the NYUAD Provost. All initial appointments, reappointments, and promotions of faculty shall be approved by the NYUAD Provost

Guiding criteria for the formal review may include, without limitation:

1) commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, capstone supervision, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly or creative/artistic), evidence of learning beyond the classroom, student evaluations, etc.;
2) (when applicable) scholarly and/or artistic/creative activity, including, but not limited to, for example, research, publications, creative productions, exhibitions, and performances;
3) student advising and mentoring
4) service including, but not limited to, service to the University community and within and to one’s profession; and
5) additional academic roles and administrative responsibilities that contribute to NYUAD and the University’s educational, research, and service mission.

The expectations for achievement in teaching (based on contractually assigned teaching load/course equivalencies), service, and (if applicable) scholarly and/or artistic/creative activity, in order to achieve reappointment or promotion must be set out clearly in each individual contract.

In cases where professional, scholarly and/or artistic/creative activity are required or encouraged for reappointment and promotion, relevant funding to support this activity will be made available. In
addition, information will be shared and publicly announced about respective internal grant/funding opportunities (on a competitive basis and with clear designations of eligibility) to support this activity.

The career pathway for Continuing Contract Faculty must be specified in the initial contract (or any subsequent reappointment after these guidelines have come into effect). Faculty may choose whether to be evaluated for promotion or reappointment at the same rank. Candidates who apply for promotion and are unsuccessful will still be eligible for reappointment at the same rank. The relative criteria for promotion or reappointment are to be specified in the original letter of appointment.

RECOMMENDATION 11
The "relative criteria for promotion or reappointment" need to be part of a reappointment and promotion policy. Most, if not all, NYU policies include this criteria.

Probationary Period and Review

RECOMMENDATION 12
We suggest that the section on pages 4-5, entitled "Terms of Appointment" might precede this section. This change would avoid raising (an unwarranted) question about the conditions that would normally justify only a one-year appointment. Alternatively, there could be simply a parenthetical reference to the later section, e.g., “Contract duration is explained in the section on ‘Terms of Appointment’ (pp.4-5, below).”

Continuing Contract Faculty are typically appointed to multi-year contracts. In accordance with UAE law, all initial appointments is subject to a probationary period of six months. As is the case for all NYUAD employees, Continuing Contract Faculty employment is subject to the individual faculty member obtaining and maintaining all approvals, clearances, and documentation as required by UAE law.

The relevant NYUAD Divisional Dean will conduct an initial review of the candidate’s performance within the first six months of the first year of any contract. In the case of a one-year contract, a successful initial review will make the candidate eligible for a renewal of not less than one year. In the case of initial contracts of two or more years, a successful probationary review will lead to the continuation of the full contract.

RECOMMENDATION 13
There appears to be a range of time for an initial contract. It has been stated as one year or two years or more. Initial contract lengths needs to be clarified by providing examples for each type of initial contracts.

In the event of a decision to terminate the appointment following a negative initial review, the faculty member must be notified in writing of the probationary review decision in a timely manner, and no later than six months after the beginning of the first year of the contract.

Guiding criteria for review within the first six months of the first year of appointment may include, without limitation, commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly and/or creative/artistic), and evidence of learning beyond the classroom, student evaluations, etc.; and/or (when applicable) scholarly and artistic/creative activity, including, but not
limited to, for example, research, publications, creative productions, exhibitions, and performances; student advising; consistent service including, but not limited to, service to the University community and within and to one’s profession; and additional academic roles and administrative responsibilities that contribute to NYUAD and the University’s educational, research, and service mission. When appropriate, professional activities and the quality of service contributions to the division and to the university may be considered.

Renewal of Contracts
Continuing Contract Faculty shall be subject to formal review. Faculty on multi-year appointments shall be reviewed in the penultimate year of appointment. Faculty on a series of one and/or two-year contracts shall be reviewed in the first semester of the third year of continuous appointment.

A faculty member’s eligibility to be considered for reappointment does not create a presumption in favor of reappointment, even if the faculty member has met or exceeded the expectations set out in the contract. Any review for reappointment and promotion shall consider major curricular and structural changes (e.g. termination of a program) and/or improvements in academic programs, even in those cases in which a candidate satisfies the appropriate standards of achievement for reappointment or promotion. Major curricular or structural changes do not, however, automatically warrant a denial of reappointment. In the case of such changes, the review considers whether the faculty member is able to teach in the revised curriculum or new academic structure and, if so, in what capacity.

If it is established (based on the aforementioned stipulations) by the beginning of the penultimate year of the contract that a position is to be eliminated at the end of the contract term, there is no review and reappointment process; the faculty member shall be so notified in writing by the end of the first month of the penultimate year. However, the faculty member may request a performance review for career development to be conducted within a time framework specified

Terms of Appointment
Continuing Contract Faculty are typically appointed for a period of three to five years:

- Rank of Assistant Professor/Lecturer: 3 years.
- Rank of Associate Professor/Lecturer: 4 years.
- Rank of Full Professor/Lecturer/Senior Lecturer: 5 years.

RECOMMENDATION 14
We recommend that the word “typically” (stated above) be deleted or replaced with explicit criteria for renewal.

RECOMMENDATION 15
At NYU, an appointment of at least five years is the norm for Clinical Associate/Lecturer. Provide an increase in term of appointment as follows: Associate Professor/Lecture: 5 years. We also recommend an increase in term for Full Professor/Lecturer/Senior Lecture to 6 years; this is the case at certain schools (e.g., The Gallatin School).

Reappointment after the completion of a successful review process must be at the same rank (except in cases of promotion) with consistency in title and will typically be at least for the same duration as the previous contract length.

3 Nothing precludes candidates for renewal from voluntarily requesting contracts of less than one year.
RECOMMENDATION 16
We recommend that the word “typically” (stated above) be deleted or replaced with explicit reasons for a change in contract length.

In some cases, Continuing Contract Faculty appointments can be made for a period of one or two years at the faculty member’s request or to address a specific academic need or a major programmatic change. Typically, faculty members on continuous one-year appointments are expected to move to multi-year appointments after the completion of two consecutive, successful review processes.

RECOMMENDATION 17
We recommend that the word “typically” (stated above) be deleted or replaced with explicit reasons as to why faculty members on continuous one-year appointments do not move to multi-year appointments. Please see recommendation #2.

In case of a negative review, the final year of the contract will become the terminal year of appointment.

On an exceptional basis, an additional one-year extension may be offered upon prior authorization by the NYU Provost; a successful formal review by the end of the then penultimate year of the contract may result in a multi-year reappointment.

Notification
For Continuing Contract Faculty on a contract of three or more years (both on an initial or subsequent three or more years contract), the review process for reappointment will take place in the final semester of the penultimate year of the contract, and the faculty member will be notified as to reappointment by no later than the end of the academic year of the penultimate year of the contract (i.e., August 31, in most cases).

Continuing Contract Faculty on a one or two-year contract will be notified of the reappointment decision by no later than 180 days prior to the expiration date of the appointment (i.e., March 1, in most cases).

<table>
<thead>
<tr>
<th>Contract Term</th>
<th>Docket Materials Due</th>
<th>Timing of Review Process</th>
<th>Notification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Probationary period and review for all initial contracts</td>
<td>N/A</td>
<td>Within first six month of employment</td>
<td>180 days after the start date of the appointment (by March 1, in most cases)</td>
</tr>
<tr>
<td>Initial or Subsequent 1 or 2-Year Contract</td>
<td>N/A</td>
<td></td>
<td>180 days prior to expiration date of the appointment (by March 1, in most cases)</td>
</tr>
<tr>
<td>Consecutive 1 or 2-Year appointments</td>
<td>Typically by October 1</td>
<td>First semester of the third year of continuous appointment</td>
<td>180 days prior to expiration date of the appointment (by March 1, in most cases)</td>
</tr>
</tbody>
</table>
In connection with formal reviews for reappointment and promotion, NYUAD will make available to all faculty in print and/or on the faculty portal:

i. Statement of the academic criteria in the areas of teaching, program and/or curriculum and course development, research (where appropriate), the creative and performing arts (where appropriate), and program and school service that will guide the committee’s evaluation.

ii. Statement of the criteria of assessment in effect at the time.

iii. Calendar for reviews and communication to faculty members that accords fair and timely notice of a review and of its outcome in writing, as well as adequate notice to faculty to pursue alternative employment in the event of a negative decision.

In addition to reviews at the time of potential reappointment, Continuing Contract Faculty on a contract greater than one year must submit an annual activity report to the relevant NYUAD Dean. In addition, NYUAD may carry out formal performance assessments (not more frequently than annually) in the course of multi-year appointments that are at least three years.

RECOMMENDATION 18
Recommend clarifying the ambiguity of the phrase, “at the time.” This could be a factor in a grievance. Is the intent “at the time of appointment” or “at the time of the review”?

ii. Calendar for reviews and communication to faculty members that accords fair and timely notice of a review and of its outcome in writing, as well as adequate notice to faculty to pursue alternative employment in the event of a negative decision.

In addition to reviews at the time of potential reappointment, Continuing Contract Faculty on a contract greater than one year must submit an annual activity report to the relevant NYUAD Dean. In addition, NYUAD may carry out formal performance assessments (not more frequently than annually) in the course of multi-year appointments that are at least three years.

RECOMMENDATION 19
It is not clear why “formal reviews” are taking place, except for reappointment and promotion. It seems a contract faculty member may be subject to a formal review at any time. What is included in the “formal review”? What is the process? What is the purpose? We recommend that the last sentence above be deleted, unless clarified.

2. FORMAL REVIEW PROCESS FOR REAPPOINTMENT

The review process for reappointment commences when a candidate for reappointment submits his or her docket for review to the relevant NYUAD Dean in accordance with the timeline above.

Preparation of the Docket Materials
Each division/program or area may determine, with approval from the Provost and relevant Dean, the exact makeup of the reappointment and promotion docket, as appropriate to the specific area or discipline. Normally, dockets should include:

a. A summary of most salient accomplishments in the statutory areas of review, including teaching philosophy, strategies, and goals; scholarship and creative/artistic achievements; administrative responsibilities; and service to NYUAD. (This summary should normally not exceed 2–3 pages in length and in no case shall exceed 5 single spaced pages.) This
summary should be accompanied by a copy of the criteria for review as specified in the
original letter of employment.

b. A current, up-to-date CV. The CV may be updated as the process continues to reflect
changes in academic achievement and accomplishment.

c. Materials that demonstrate teaching effectiveness (e.g., faculty course evaluations, peer
observations of teaching, formal assessments of teaching effectiveness, syllabi, lecture
notes, assignments or URL, and other relevant documents).

d. Demonstration of service to the NYUAD Community (e.g. curriculum development,
faculty governance, student mentoring, etc.).

e. Where applicable, a professional portfolio (showing publications, creative productions,
performances and professional development) demonstrating significant contributions to the
field during the appointment period.

f. Other evidence appropriate to the candidate’s discipline.

g. Candidates are encouraged to include any additional evidence that he or she believes bears
on the case for reappointment or promotion, not otherwise identified above.

Faculty Review Committee

a. The NYUAD Divisional Dean, in consultation with the Program Head or the research
center director (when applicable), appoints and charges the Faculty Review Committee.

RECOMMENDATION 20
The majority of the committee should be made up of elected, not “appointed,”
members; additionally, the majority of committee should be made up of
Continuing Contract faculty members.

For the composition of the committee, please see section 4.

b. Candidates for reappointment or promotion will be notified by the end of the first month of
the academic year in the penultimate year of an appointment that they are eligible for
review.

c. Candidates will submit materials for review to the NYUAD Divisional Dean prior to the
end of the first semester of the penultimate year of the contract (typically by December 1).

d. The NYUAD Divisional Dean forwards the materials for review to the committee, which
assesses it based on the review criteria specified in the candidate’s contract and formulates a
recommendation for or against reappointment.

e. The committee submits its recommendation to the NYUAD Divisional Dean along with a
written explanation of its assessment. A majority vote of the committee is required for
recommendation for reappointment. The committee prepares the written recommendation
on reappointment, including any minority opinions. One or more members of the
committee may prepare the written recommendation but each member of the committee
will review and sign it before it is submitted to the relevant NYUAD Dean.

RECOMMENDATION 21
We recommend that that candidate under review should get a copy of the
review committee’s letter.

NYUAD Dean

a. The relevant NYUAD Divisional Dean reviews the recommendation of the Faculty
Review Committee and submits his/her recommendation to the NYUAD Provost together
with all materials of the docket. The NYUAD Provost may, in turn, seek additional information, and/or internal or external reviews.

b. In formulating his/her decision, the NYUAD Divisional Dean may seek additional information (including, but not necessarily limited to, internal or external letters of review of the candidate’s professional contributions, e.g. student evaluations of teaching, internal letters of review of the candidate’s teaching, and service contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.

**QUESTION - 22**
Is this possibly too categorical an exclusion? While it may be customary to exclude a thesis adviser, if the candidate worked on a collaborative research or creative project or co-authored important journal articles or books at some distinct period in the past (5-10 years, for example) with certain individuals, wouldn’t their perspectives on the candidate (and his/her continued productivity in their fields) be of some merit?

c. If the NYUAD Divisional Dean’s decision is contrary to the recommendation of the Faculty Review Committee on reappointment, title, or length of contract, the Dean will provide the committee with reasons for not accepting its recommendation. In case a Dean’s decision not to reappoint the candidate is contrary to the committee’s recommendation, the committee members will have ten business days in which to provide additional feedback to the Dean before the Dean’s decision is finalized and submitted to the NYUAD Provost.

d. The Provost conveys his or her decision to the NYUAD Dean. The NYUAD Divisional Dean then conveys the decision to the candidate in writing.

e. The outcome of the review process will typically be discussed by the NYUAD Dean with the candidates in person.

f. In the case of a negative decision, candidates may avail themselves of the grievance procedures outlined in section 6 (“Grievance Procedures”).

g. Continuing Contract Faculty on a one or two-year contract will be notified of the decision no later than 180 days prior to the expiration date of the appointment and in the case of reappointment, receive a contract within the next 4 months. Continuing Contract Faculty on a contract of three or more years will be notified no later than the end of the academic year of the penultimate year of the contract (i.e. August 31, in most cases) together with a contract for reappointment or a written notification of non-reappointment.

h. In the event of a decision to reappoint, the Continuing Contract Faculty shall complete the remainder of his/her term and shall be reappointed, normally, for another contract of equal or greater length.

i. **RECOMMENDATION 23**
We recommend that the word “normally” be deleted, unless explicit criteria is offered as to why the faculty member would not receive another contract after a successful reappointment review.

j. In the event of a decision not to reappoint, the Continuing Contract Faculty member shall continue to be under contract until the end of the contract expiry date.
3. **FORMAL REVIEW PROCESS FOR PROMOTION**

The process for promotion is initiated by the candidate who confirms his/her eligibility with the relevant NYUAD Divisional Dean. The criteria for promotion are set out in each Continuing Contract Faculty’s contract, but typically to merit promotion, a candidate must demonstrate a record of outstanding teaching and service and (if applicable) distinguished professional accomplishments. Years served in previous institutions may be taken into consideration.

**RECOMMENDATION 24**

Again, eligibility requirements need to be provided for each title promotion.

a. Assistant / Associate Lecturers may be considered for promotion to the next rank after one term of appointment (of at least 3 years) at rank. Lecturers may be considered for promotion to the next rank after two terms of appointment (of at least 4 years) at rank. For professorial ranks, faculty at the assistant level may be considered for promotion after two terms of appointment (of at least 3 years) in rank. Faculty at the associate level may be considered for promotion after one term of appointment (of at least 4 years) in rank.

b. Any faculty member may submit a request for early promotion to the relevant NYUAD Dean. A promotion ahead of schedule will be granted only under extraordinary circumstances. It is not normally in the best interest of a candidate or of the institution to propose candidates for promotion ahead of schedule.

c. The review process for promotion is the same as the process for reappointment as outlined in section 2 of this document. The review committee will provide an assessment for contract renewal purposes, and in the same letter (if applicable) recommend whether the candidate meets the expectations for promotion.

d. Any negative decision on an application for promotion shall not affect eligibility for the continuation or renewal of an existing contract.

e. Continuing Contract Faculty appointments are normally not convertible to tenure track appointments. In rare cases, and then only with provostial approval, a non-tenure track position may be converted into a tenure track one for which the incumbent is eligible to apply within the search process. In these rare cases, conversion of a non-tenure track position into a tenure track position will not foreshorten an existing contract duration as could occur, for example, if the conversion occurred before expiration of an existing contract and the contractee was not selected for the tenured or tenure track appointment. However, a Continuing Contract Faculty faculty member must not be prohibited from applying for and being considered for any tenure track opening that arises within his or her school or elsewhere in the University; nor may his or her doing so be treated with prejudice.

**NOTE- 25**

Once promotion requirements for new titles are specified elsewhere in this document, this section will be clearer.

4. **COMPOSITION OF FACULTY REVIEW COMMITTEE**
a. The NYUAD Divisional Dean will appoint a Faculty Review Committee of three or five faculty members. At least one member of the committee will normally be a senior member of the Continuing Contract Faculty. Whenever possible, the majority of committee members shall be Continuing Contract Faculty. The committee may also include members of the tenured faculty. Finally, the committee may include an external member (i.e. an scholar/artist from outside of NYU) who is an expert in the field.

RECOMMENDATION 26
As is the norm for many, if not all, contract-faculty policies at NYU, the review committee should be made up of elected, not appointed, members.

b. In the usual case, the committee for reappointment or promotion shall be composed entirely of faculty of greater rank (whether tenured, tenure-track, or Continuing Contract Faculty) than the candidate, except in the case of a Full Professor, where all committee members need to have the rank of Full Professor. Typically, the majority of the committee shall be from the same academic discipline as the candidate. Typically, at least one member of the committee must be an NYUAD faculty member. Other members may be drawn from faculty at NYU portal campuses in New York and Shanghai.

c. In the review of any particular case, committee members shall recuse themselves in the case of an apparent or actual conflict of interest.

d. The committee may seek additional information (including, but not necessarily limited to, internal or external letters of review of the candidate’s professional contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.

5. GROUNDS FOR STOPPING THE CONTRACT CLOCK

The contract clock may be stopped for reasonable cause, e.g. medical, personal, as primary caregiver for child, spouse, parent, (same sex) domestic partner, or by contractual stipulation or negotiation.

QUESTION - 27
Why the restriction on the term “domestic partner”? Should the sex of the domestic partner matter? Is this simply intended to acknowledge a recognized, binding relationship?

6. GRIEVANCE PROCEDURE

Who Can Grieve
With respect to grievances related to reappointment and promotion: A Continuing Contract Faculty member who is not eligible for reappointment cannot grieve a decision not to reappoint. Individuals on multi-year contracts of three years or more who are subject to a review process to determine whether they are to be reappointed do have a right to grieve the process in the event it leads to a negative decision with respect to reappointment or promotion or the terms of reappointment or promotion; and they are entitled to grieve in the event they are denied reappointment without review for reasons other than elimination of the position.
Faculty on continuous one-year or two-year appointments are similarly entitled to grieve the process in the event the third-year review process leads to a negative decision; and they are entitled to grieve the process in the event they are not reappointed after a third year review when a review had been explicitly promised in connection with the possibility of reappointment subject to it, but was not undertaken for reasons other than elimination of the position.

Continuing Contract Faculty who are subject to a review process to determine whether they are to be promoted have a right to grieve the process in the event it leads to a negative decision.

With respect to grievances related to other matters: All Continuing Contract Faculty, including faculty on one-year appointments, are eligible to grieve.

**Grievances Related to Reappointment and Promotion**

Grievances related to reappointment and promotion of Continuing Contract Faculty are restricted to allegations of procedural defects and irregularities. Outcomes of the review process or decisions reached through the review process can be grieved only to the extent that they involve violation of university-protected rights of faculty members.

Thus, a grievance must allege that 1) the procedures used to reach the decision were improper, or that the case received inadequate consideration; or 2) that the decisions violated the academic freedom of the faculty member in question, in which case the burden of proof falls to the grievant. A decision not to undertake the reappointment process where a position is to be eliminated at the end of the contract term and there is no similar position open is not the basis for a grievance.

**Informal Settlement**

In the case of grievances related to reappointment and promotion, attempts shall be made to settle the dispute in a timely manner (typically within 15 working days after the request for an informal settlement) by informal discussions between the grievant and the NYUAD Provost, possibly with the assistance of mediators.

**RECOMMENDATION 28**

Add the following language:

“The grievant can also exercise the right to not have an informal discussion of the grievance with the NYUAD Provost, with or without the assistance of mediators. The grievant may then appeal to the NYUAD Vice Chancellor to convene the NYUAD Grievance Committee. The NYUAD Grievance Committee will be convened with 15 days of the faculty’s written notification.”

**NYUAD Vice Chancellor and NYUAD Grievance Committee**

In the event that the grievance is not settled informally at the level of the NYUAD Provost, the faculty member may appeal to the NYUAD Vice Chancellor to convene the NYUAD Grievance Committee, which is elected and appointed in accordance with the NYUAD Governance Guidelines and the NYUAD Grievance Committee charter.

**QUESTION & RECOMMENDATION 29**
How is the committee formed? The NYU Grievance Committee Charter does not yet exist, according to our information. The constitution of the grievance committee (how it is formed; who is a member, etc.) must be included in a contract-faculty policy on reappointment and promotion. Please see Recommendation #1.

The NYUAD Vice Chancellor must convene the NYUAD Grievance Committee within 15 business days of receipt of written notice of the faculty member’s appeal. In the event that the NYUAD Vice Chancellor does not convene the NYUAD Grievance Committee within said time, the faculty member has the right to bring it to the attention of the Provost of NYU.

**RECOMMENDATION 30**

In the case of schools where a division dean receives the committee report and passes that with a recommendation to reappoint or to promote to the NYUAD Provost, add language to ensure that NYUAD’s Provost receives the full record and recommendation of the Review Committee, as well as the recommendation of the divisional dean, similar to the following:

“The divisional dean must forward the review packet to the NYUAD Provost along with the committee's recommendation and any comments from the faculty.”

**RECOMMENDATION 31**

Add language similar to the following:

“In all cases of an appeal to a negative decision related to reappointment or promotion by the NYUAD’s Provost, the candidate will have access to the Review/Promotion Committee’s full report, including its recommendation and any comments from the faculty.”

The grievance committee will then hear evidence and report to the NYUAD Vice Chancellor in writing on its findings of fact and its opinion on a fair disposition of the case. The NYUAD Grievance Committee does not judge the professional merits of the case and only considers the appeal based on the grounds specified above. After deliberation, the NYUAD Grievance Committee advises the NYUAD Vice Chancellor of its recommendation.

The NYUAD Grievance Committee will provide its recommendation to the NYUAD Vice Chancellor within 30 business days of the convening of the committee.

**RECOMMENDATION 32**

Add the following language:

“The Grievance Committee Chair shall provide the grievant with status updates every 60 days for the duration of the process.”

For grievances brought by a member of the Continuing Contract Faculty, the NYUAD Grievance Committee will be expanded to include at least two seniors member of the Continuing Contract Faculty, if two senior members of the Continuing Contract Faculty are not already on the faculty-appointed Grievance Committee (bringing it to a total of seven member
The NYUAD Vice Chancellor reviews the NYUAD Grievance Committee’s recommendation and all pertinent information, decides the case, and notifies the faculty member and the NYUAD Grievance Committee in writing of his/her decision, together with reasons therefore and information about the procedure for appeal, no later than 15 working days after receiving the recommendation of the NYUAD Grievance Committee.

RECOMMENDATION 33
Add the following language (paraphrased from the Liberal Studies Reappointment and Promotion Policy, February, 2018) “If the committee’s report is accepted by both the grievant and the Vice Chancellor, the matter shall be considered settled. However, if the Vice Chancellor shall deny any findings of fact, or refuse to implement suggestions by the committee made as a part of the committee's recommendations on the disposition of a case, the Vice Chancellor is required to reply in writing giving in detail his or her reasons. This memorandum must be sent both to the grievant and to the committee.”

As a standing committee of the faculty, the NYUAD Grievance Committee must regularly report to the faculty on the number of cases heard or under study and the ultimate disposition of such cases, (for example, amicably settled or on appeal).

RECOMMENDATION 34
The development of this grievance process should be undertaken with full participation by the Continuing Contract Faculty and submitted to the faculty for discussion and a vote by the faculty. The process of consideration must include the right to offer amendments, and the vote may occur during a regular faculty meeting or by electronic ballot, as the faculty governance body may determine. Please see Recommendation #1.

Provost of NYU
If the decision of the NYUAD Vice Chancellor is not satisfactory to the faculty member, he or she may, within 15 working days of receipt of the NYUAD Vice Chancellor’s decision, appeal in writing to the Provost of NYU (or his/her designee) specifying all grounds for and materials in support of the appeal.

Appeals from the NYU Abu Dhabi Vice Chancellor’s decision can be made only on the basis of the grounds specified above. Where such an appeal is made, the NYUAD Vice Chancellor will transmit to the Provost of NYU a report of the proceedings in the case at its earlier stages.

The Provost of NYU will decide the case, and notify the grievant and the NYUAD Vice Chancellor. If the advice of the latter is not followed, the reasons will be reported with the decision. The decision of the Provost of NYU is final and subject to no further review.

RECOMMENDATION 35
Appeals should follow the spirit of the NYU Faculty Handbook. The Faculty Senate Grievance Committee should be convened for appeals. Why would contract-faculty at Abu Dhabi NYU not receive the same consideration as NYU contract faculty in New York?

7. CONTACTS
Subject Contact
General Inquiries

Faculty HR Affairs Department, NYUAD

+971 2 628 4048
nyuad.faculty.hr.affairs@nyu.edu
Response to C-FSC Recommendations re: NYUAD CF Guidelines

1. Faculty Governance at NYUAD is specified in the NYUAD Governance Guidelines, which details the full participation of Full Time Continuing Contract Faculty in governance processes at NYUAD. Furthermore, the current draft of the NYUAD CF guidelines (afterwards referred to as “NYUAD CF Guidelines”) underscores this fact (see Introduction, Participation in NYUAD Governance). It also stipulates that any future amendments of the NYUAD CF Guidelines require consultation with the NYUAD Faculty Council (see Introduction, Future Amendments). Faculty grievance processes are outlined in Appendix 2 of the recently revised NYUAD Faculty Governance Guidelines. The NYUAD CF Guidelines have been updated accordingly to reflect that (see section 6, Grievance Procedures).

2. NYUAD follows the University Guidelines for Full Time Continuing Contract Faculty in this respect. The NYUAD governance structure does not provide a process to provide justifications on contract decisions “to the faculty through the formal governance structure established at the school (the Faculty Assembly, etc.)”. These justifications are provided by the Dean to the NYUAD Provost.

3. As referenced in the NYUAD CF Guidelines, NYUAD is currently in the process of outlining the exact nomenclature with a clear description of each type of faculty and respective ranks in cooperation with the NYUAD Faculty Council Steering Committee (FCSC) and representatives of the NYUAD Full Time Continuing Contract Faculty.

4. A respective reference will be included in the NYUAD CF Nomenclature document (see also point 3).

5. The document is consistent in describing the length of an initial contract.

6. The NYUAD CF guidelines follow the University Guidelines for Full Time Continuing Contract Faculty and only employs the word “typically” to allow for limited administrative flexibility in exceptional circumstances.

7. The creation of the NYUAD CF guidelines followed the University Guidelines for Full Time Continuing Contract Faculty and is the result of extensive consultation with NYUAD faculty governance representatives in general, and NYUAD CF in particular. (See attachment 1, Document of NYUAD CF Consultation). The NYUAD FCSC partnered with the NYUAD CF Senators (Deepak Unnikrishnan, Ken Nielsen) at the beginning of the fall semester 2018 to form an ad hoc committee composed of Continuing Contract Faculty (members included Laila Familiar (FCSC A&H Rep; Lecturer, A&H), Deepak Unnikrishnan (C-FSC Senator, Lecturer, A&H), Ken Nielsen (C-FSC Senator Alternate, Senior Lecturer/Associate Director, A&H), John Burt (Associate Professor, Science), Christian Haefke (Professor, Social Science), Aysan Celik (Assistant Arts Professor, A&H; C-FSC Senator 2015-2018), Susan Crawford (Associate Lecturer, Science), Eric Hamilton (Lecturer, Social Science; Vice Chair, NYUAD FCSC), Khaled Shahin (Senior Lecturer, Engineering), Tomi Tsunoda (Assistant Professor of Practice/Program Head, A&H)). This committee worked on revising the existing guidelines throughout the semester, continuously seeking feedback by engaging in targeted consultations and listening sessions with NYUAD Continuing Contract Faculty, including two separate Continuing Contract faculty Assemblies (October 28, 2018 and on November 11, 2018), in addition to a variety of repeated
consultations with CF (for example, individual meetings with CF to further discuss revisions to the document were held October 5-November 30, 2018) in preparation for the vote. The guidelines were also presented to the NYUAD Faculty Council on November 25, 2018, as well as December 9, 2018. The NYUAD Continuing Contract Faculty participated in the subsequent vote on the guidelines. Recommendations of both the C- and the T-Faculty Senators Councils were reviewed and discussed with both groups during the course of the fall semester 2019.

The revision process for the NYUAD Faculty Governance Guidelines, which include updated NYUAD Grievance Procedures (Appendix 2), was led by the NYUAD FCSC in the fall of 2019 with the full consultation of all NYUAD faculty, both Tenured/Tenure Track and Full-Time Continuing Contract Faculty. The revised NYUAD Faculty Governance Guidelines were endorsed by the NYUAD FCSC and at the NYUAD Faculty Council meeting of November 24, 2019.

8. A reference to the NYUAD Faculty Governance Guidelines has been inserted into the document.

9. A reference to that eligibility is already included in the current draft. The respective processes governing each of these opportunities and program are outlined in their respective guidelines.

10. Any future changes to the NYUAD CF guidelines will follow processes outlined in the University Guidelines for Full Time Continuing Contract Faculty and the NYUAD Faculty Governance Guidelines. As stipulated in the document itself, any future amendments of the NYUAD CF Guidelines require consultation with the NYUAD Faculty Council (see Introduction, Future Amendments). Similar to the process that led to the current revision (see 7), NYUAD CF will be fully involved and consulted in the process. NYUAD Continuing Contract Faculty also participated in the vote on the current NYUAD CF as well as NYUAD Faculty Governance guidelines.

11. The relative criteria for promotion or reappointment will be outlined in the NYUAD Faculty Nomenclature document currently under discussion (see point 3).

12. The document has been reorganized accordingly.

13. The NYUAD CF guidelines follow the University Guidelines for Full Time Continuing Contract Faculty in this regard. Varying length of initial contracts can be due to candidate requests (see also point 5).

14. The relative criteria for promotion or reappointment will be outlined in the NYUAD Faculty Nomenclature document currently under discussion (see points 3, 11). The sentence referred to has been changed to “Continuing Contract Faculty are typically appointed for a period of three to five years within the context of UAE labor regulations and in consideration of the range of individual circumstances and curricular needs.”

15. The NYUAD CF guidelines’ specification of the appointment length is in accordance with the NYU Faculty Handbook. The appointment lengths in the NYUAD CF Guidelines have the approval of the NYU Provost Office; this model is common across the university.

16. The NYUAD CF guidelines follow the University Guidelines for Full Time Continuing Contract Faculty and only employs the word “typically” to allow for limited administrative flexibility only in exceptional circumstances.
17. The word “typically” has been deleted in this context so that the sentence reads: “Faculty members on continuous one-year appointments are expected to move to multi-year appointments after the completion of two consecutive, successful review processes.”
18. The sentences has been corrected to read “Statement of the criteria of assessment in effect at the time of the most recent appointment or renewal.”
19. The sentence “In addition, NYUAD may carry out formal performance assessments (not more frequently than annually) in the course of multi-year appointments that are at least three years.” has been deleted.
20. The composition and appointment process of the Faculty Review Committee in the NYUAD CF Guidelines follows the NYU Faculty Handbook, which does not require that members be elected.
21. The NYUAD CF Guidelines are aligned to University policy and guidelines in this regard. NYU T/TT faculty members also do not have access to the review committee’s letter. However, the respective passages (NYUAD Divisional Dean d and e) has been revised to require that the Dean submits a written report to the NYUAD Provost that clearly outlines any potential concerns that the candidate is not fulfilling the requirements of the position, as well as a summary report of the review committee’s full report to be countersigned by the faculty member acknowledging its receipt.
22. Drawing on external letters of evaluation from closely associated scholars, co-authors, joint producers, or other close associates would inevitably pose an actual or perceived conflict of interest.
23. See 16.
25. See 3, 11, 14.
27. The sentence has been corrected to follow the text of the NYU Faculty Handbook in this regard to read: “The contract clock may be stopped for reasonable cause, e.g. medical, personal, as primary caregiver for child, spouse, parent, domestic partner, or by contractual stipulation or negotiation.”
28. The NYUAD Grievance Procedures (Appendix 2, NYUAD Faculty Governance Guidelines) that the NYUAD CF Guidelines refer to in their revised version align to the NYU Faculty Handbook in this regard.
29. The NYUAD Full Time Continuing Contract Faculty Grievance Committee is elected by the NYUAD Full Time Continuing Contract Faculty in accordance with the NYUAD Faculty Governance Guidelines. The words “and appointed” have been deleted from the respective sentences in the NYUAD Grievance Procedures.
30. Recommendation 30, which appears in the Grievance section of the document, seems to pertain instead to the CF review process (see 21).
31. See 21.
32. Per the NYUAD Grievance Procedures, faculty with grievances should be notified of the status of their grievances as follows: the NYUAD Provost should convene the Grievance Committee within 15 NYUAD business days and the Grievance Committee should provide its recommendation within 30 NYUAD business days, and then the NYUAD Provost notifies the faculty member within 15 NYUAD business days after receiving the Grievance Committee recommendation.
33. The NYUAD Grievance Procedures follow the NYU Faculty Handbook, which specifies that “After obtaining the recommendation of the Grievance Committee, the Dean shall decide the case and in writing shall notify the concerned parties and the Grievance Committee of his or her decision, together with reasons therefore, and information on the procedure for appeal.

34. See 7.

35. The NYUAD Grievance Procedures are aligned to the NYU Faculty Handbook in this regard. Grievance processes always start at the school level before moving to the university level, where the respective grievance committee will be convened. The following sentence has been added to the relevant section (6.c) to clarify this: “The NYU Provost, in consultation with the NYU Abu Dhabi Vice Chancellor, will review each case in accordance with the procedures outlined in the NYU Faculty Handbook.”
Date: May 23, 2019

Memorandum to: Katherine Fleming, Provost

From: Wen Ling
Chairperson, T-Faculty Senators Council
A/Y 2018-2019

Subject: T-Faculty Senators Council Review: NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments

The T-Faculty Senators Council submits the attached recommendations regarding the NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments. These recommendations were approved by the Council at the May 9, 2019 meeting.

cc: Fabio Piano, Provost, NYU Abu Dhabi
Martin Klimke, Vice Provost for Academic Policies and Governance, NYU Abu Dhabi
Zvi Ben-Dor Benite, Associate Vice Chancellor for Global Network Faculty
Carol Morrow, Vice Provost
Peter Gonzalez, Associate Provost, Faculty Appointments
Nicholas Economides, T-FSC Vice Chairperson
Amanda Watson, T-FSC Secretary
Phyllis Frankl, T-FSC Personnel Policies and Tenure Modifications Committee Co-Chair
Robert Lapiner, T-FSC Personnel Policies and Tenure Modifications Committee Co-Chair
Mary Killilea, C-FSC Chairperson
On behalf of the T-FSC, we are herewith forwarding the evaluations by our Personnel Policies and Tenure Modifications (PPTM) Committee of the proposed policies submitted by NYU Abu Dhabi for Continuing Contract Faculty and by the College of Global Public Health for Tenured and Tenure-track Faculty. The comments/questions/recommendations for consideration are incorporated into the body of the documents. These were submitted for review and approval to the full T-FSC, and approved at our last meeting of the year.

Although we regret the length of time spent in the review process, we hope that our observations will prove of value to the respective schools.

(Please note that the PPTM committee also conferred with our counterparts in the C-FSC with respect to the Abu Dhabi proposals; in many areas, our comments align fully. Yet there were others where, as representatives of T-Faculty, though we may not have been in disagreement, we felt it was not in our purview to render a criticism or a recommendation.)

It is our strong belief that the consultations with our faculty councils represent a necessary obligation of shared governance. Because we recognize the foundational importance of these reviews, we strive to approach the review process with keen attention to and respect for the diversity of our schools and the governing framework of the Faculty Handbook. From an “editing” perspective, we are also particularly attentive to the need for clarity, internal consistency, and the avoidance of ambiguity which could lead to arbitrary applications of policies or simply conflicting interpretations of intent.

From our experience over the last few years, we would like to address some general issues that have emerged in our fulfilment of our obligations.

We honor the fact that there is no “template” that imposes strict adherence to one non-negotiable model at NYU. That would not be consistent with NYU’s prized culture of academic excellence expressed through the diversity of academic missions embodied within our schools.

This said, the efforts of the standing committee over time, with different members and different chairs, are challenged by several factors. One is of course the inherent discontinuity of membership and resultant institutional memory. So in each academic year there is both a learning curve and a search for precedents from what has been reviewed in the past by our predecessors. These are necessary, however much they contribute to our efforts being less expeditious than we would like.

But there are also other factors that derive from the autonomy of the schools, and a lack of clarity with respect to the extent that individual schools may have benefitted from consideration of the efforts of other schools—whose policies have already been approved. Further we are not aware of the guidance provided by the Provost’s Office prior to the elaboration of the proposed policies—and whether the concerns we occasionally raise are consistent with that guidance.

With these considerations in mind, we respectfully offer some modest suggestions that might greatly facilitate the efforts of the schools—and the responsible execution of the review process by the T-FSC: namely to provide the schools with examples of specific best practices, or at the least, Q & A guidelines that lead to greater consistency among like academic programs. Ideally, these could take the form of model policies for tenure-promotion and for continuing contract
faculty appointments and reappointments, distributed in a form that allows easy change-tracking. These models could distinguish clearly between a) those aspects of the policy that are governed by NYU as a whole, and therefore cannot be modified, and b) those that are under the jurisdiction of individual schools. For policies of type (a), details could be provided via links to other relevant documents, enabling individual school policies to be more succinct and making it much easier to maintain consistency should university-wide policies change in the future. For policies of type (b), one or two representative school policies could be listed, along with links to any relevant general policy constraints; individual schools could specify how they are satisfying those general constraints if they choose to justify their needs to deviate from the norms provided.

These are some case examples that our committee co-chairs have observed over the past several years: What happens should a tenure-track faculty not be accorded tenure, or the program in which an accomplished contract faculty member has been teaching admirably for years experiences dramatic enrollment decline which results in an academic reorganization that leads to non-renewal? In these hypotheticals, some schools affirm that once “terminated,” the candidate cannot be considered for any other position—academic or administrative—within the school. Others are silent on the issue. In view of the number of extraordinarily effective members of the university community made up administrators who had begun their NYU careers as tenure-track or tenured faculty, one could argue that closing the door altogether for further employment is short-sighted. And it’s also conceivable that a promising young tenure-track faculty member proves to be an outstanding teacher and departmental/school citizen, but falls short on expectations of research productivity. Should it be ruled out that that such an individual might become a contributing member of the clinical faculty, subject of course to the strict expectations of appointment in that capacity?

In a similar vein, in some schools, references for a promotion review exclude “in perpetuity” the usual suspects like the candidate’s thesis advisor. But some also exclude the possibility of references from individuals who collaborated in joint research projects or publications with the candidate—at any point in the past. Other policies are more accommodating, and allow letters of support from previous collaborations—provided that there has been a significant interceding lapse of time (5-10 years). (This is consistent with NSF guidelines for who may be invited to conduct reviews of major research proposals.)

Our concerns in flagging such issues is not just about reducing the likelihood of unnecessary or predictable editorial comments on future policy reviews from us. That would be nice! At the heart of our concern is the potential risks for the university, should wide disparities in practice from school to school appear arbitrary—and result in contentious grievances, not easily or favorably resolved for any party.
NYU ABU DHABI’s Proposed “Policies and Procedures for Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty”
Incorporating T-FSC Recommendations ad seriatim

GENERAL COMMENTS from T-FSC’S Personnel Policies and Tenure Modifications (PPTM) Committee:

The PPTM committee finds the NYUAD proposed policies to be in many ways exemplary—well-written, clearly explained, respectful, and demonstrating consistency with the expectations of the Faculty Handbook, the “University Guidelines for Full-Time Continuing Contract Faculty Appointment,” and supplementary instructions from the Office of the Provost. Though we offer a significant number of recommendations below, they are chiefly to add information/clarification that could help resolve ambiguities in the language that might otherwise compromise what appear to be otherwise well-thought out procedures. None of our recommendations, if accepted, should be difficult to interpolate.

The PPTM Committee consulted with our C-TFC counterparts, who shared their own recommendations with us. While we are in strong agreement with the intent and spirit of a clear majority of their recommendations—which incorporated a few of our own preliminary remarks recommendations—and we recognize the legitimate concerns that animate all of theirs, we nonetheless felt it more prudent to submit our evaluation of the proposed policies separately. The Provost’s Office and our NYUAD colleagues will note the many areas where our positions converge.

“Policies and Procedures for Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty”

BACKGROUND

In the fall semester of the academic year 2018/19, the NYUAD Faculty Council Steering Committee in collaboration with the NYUAD Contract Faculty Senators initiated a revision process of the existing NYUAD Guidelines for Full-Time Continuing Contract Faculty (CF) Appointments. A vote by the NYUAD Faculty Council on December 9, 2018 on the revised version of the guidelines among our faculty via the electronic Helios Voting system produced the following result: “Should the current version of the 2018 Revised Contract Faculty Guidelines be adopted?” The results were: Yes 107, No 6, and Abstain 31. (The official NYUAD faculty count as of November 2018 is 107 Continuing Contract Faculty, plus 119 Tenured/Tenure Track and 41 Other Faculty, adding up to a total of 267. The total faculty voter turnout is thus 53.93%). After consultations between NYU Vice Provost Carol Morrow and Martin Klimke (NYUAD Vice Provost for Academic Policies & Governance), another vote was held via the
electronic Helios Voting system at the beginning of this spring semester (January 27, 5pm-February 10, 5pm) to provide you with detailed information about how this policy was endorsed by the Tenured/Tenure track faculty and Continuing Contract faculty. The results were Yes 116; No 6; Abstain 19. On March 7, 2019, the Dean Fabio Piano submitted the document to NYU Provost, Katherine Fleming.

At NYU, our strong tradition is for schools to develop policies that are “consistent with school culture and history.” Within that tradition, the NYU Faculty Handbook (hereafter Handbook) provides that school policies will be reviewed by the Provost to determine “whether the substance of the policy: (i) is consistent with general University policy; (ii) is compatible with the University’s commitment to excellence in teaching, research, scholarship, or artistic achievement and service within a community of respectful and respected academic professionals; and (iii) has no adverse implications for the University.” As part of the process of finalizing the Abu Dhabi policy for its Clinical Faculty, NYU Provost Katherine E. Fleming invited the C-FSC to comment on the document called “11292018-NYUAD_CF Guidelines”, adopting the same perspective (per letter of March 7, 2010 from Katherine E. Fleming to the C-FSC and T-FSC Chairs).

The following document will enumerate various questions, comments and recommendations to the submitted policy. The recommendations are made within the body of the document for ease of review and discussion.

**GENERAL RECOMMENDATIONS ABOUT THE DOCUMENT AS A WHOLE:**

**T-FSC GENERAL RECOMMENDATION #1.** We recommend an introductory paragraph that acknowledges that the NYUAD policies are in full conformity with the NYU Faculty Handbook and the University Guidelines for Full-Time Continuing Contract Faculty Appointments, Grievance Procedures, and Disciplinary Regulations, affirming full respect for the responsibilities, rights, and protections that pertain to Continuing Contract Faculty.

Because there are a few places in the proposed polices where there might otherwise be some ambiguity about intent or practice—namely with respect to the use of the words “typically” or “normally” (when no explanations of exceptions are provided), such an affirmation should obviate the need to reiterate consistency with the governing university-wide frameworks.

**T-FSC GENERAL RECOMMENDATION #2.** In several places in this document, the reference to the composition of committees does not specify the expectation that committee membership must include those elected by the faculty, nor that it’s necessary to respect the expectation of peer-review by guaranteeing representation by the continuing contract faculty.
We recommend that in every instance, the document should affirm these expectations, namely that faculty will vote to elect members to serve on appointment-, review-, and promotion-committees, and that continuing contract faculty shall always be well-represented.

**T-FSC GENERAL RECOMMENDATION #3.** We understand that the NYUAD [Shared] Governance Guidelines and the NYU AD Grievance Committee Charter are under development.

Since an established grievance procedure is vitally important, especially for Continuing Contract faculty, it is a critical component of the policy document under consideration. Consequently the guidelines and the charter under development should be reviewed in parallel by the C-FSC and T-FSC, consistent with the provostial approval process.

Once approved, this revised policy document should describe their functioning in adequate detail where appropriate, and incorporate access to the approved Governance Guidelines and the Grievance Committee Charter either in appendices or hyperlinked references.

NEW YORK UNIVERSITY ABU DHABI
Guidelines for Full-Time Continuing Contract Faculty (CCF) Appointments

INTRODUCTION

Full-Time Continuing Contract Faculty (referred to as Continuing Contract Faculty) represent a distinct and vital part of the university academic community and contribute significantly to the university’s academic and service missions. Policies applicable to this group of faculty members must reflect the contributions that they make to the university’s commitment to academic excellence and service (including administrative responsibilities), while also embodying the university’s right to require exceptional teaching, scholarship and creative/artistic activities (where applicable), and service of all full-time faculty.

The NYU Abu Dhabi Full-Time Continuing Contract Faculty Guidelines (the Guidelines) set forth the principles and procedures for appointments, reappointments, and promotions at NYU Abu Dhabi. The purpose of these Guidelines is to map out the review principles and processes for Continuing Contract Faculty at NYUAD. They are designed to support standards of academic excellence in the processes of appointments, reappointments, and promotions and aim to provide a comprehensive and fair review of the candidates.

These guidelines shall apply to all appointments, reappointments, and promotions henceforth. Upon reappointment review for existing contracts, these guidelines shall apply with respect to, for example, review procedures, notification, consistency in case of reappointments with regard to length of contract,
rank and title, etc. These guidelines shall apply immediately to all new appointments.

These Guidelines are being implemented at NYU Abu Dhabi (NYUAD) to supplement NYU faculty policies applicable to Full-Time Continuing Contract Faculty as outlined in the NYU Faculty Handbook.¹ If any part of these Guidelines is inconsistent with NYU policies, the NYU policies then in effect will control.

**Scope**

These Guidelines apply to all NYUAD Continuing Contract Faculty. The titles currently held by Continuing Contract Faculty at NYUAD are the following:

- Arts Professor (Associate Arts Professor, Assistant Arts Professor)
- Professor of Practice (Associate Professor of Practice, Assistant Professor of Practice)
- Senior Language Lecturer (Language Lecturer)
- Senior Lecturer (Lecturer, Associate Lecturer, Assistant Lecturer)
- Teaching Professor (Associate Teaching Professor, Assistant Teaching Professor)
- Research Professor (Research Associate Professor, Research Assistant Professor)

An ongoing review is determining the appropriateness and usage of these titles in conjunction with an assessment of faculty appointment policies at NYUAD as the institution has evolved.

**Rights and Responsibilities**

**T-FSC Specific Recommendation #1.** This policy document is not explicit about how the expectations for tenured and non-tenured faculty differ. Especially in light of the diversity of titles held by Full-time Continuing Contract Faculty, we suggest that this section should be expanded to enumerate briefly what those expectations are as they pertain to each of the above categories. (Or if that information is provided in other NYUAD documents, it would be prudent to insert a hyperlink or other cross-referencing.) This recommendation is germane as well for clarifying the section on “Criteria for Review” below, that enumerates the diversity of expectations--but in general terms, not as they pertain to the titles listed above.

The responsibilities of Continuing Contract Faculty at NYUAD include, among others: teaching assignments, student advisement, program and committee responsibilities, scholarship and creative activities (where applicable), and avoidance of conflicts of interest.

The rights and privileges of NYUAD Continuing Contract Faculty are governed by the NYU Faculty Handbook and the NYUAD Faculty Governance Guidelines. They include, among others, academic freedom, leaves of absence, sabbaticals (when eligible), as well as serving as Principal Investigator on internal research grants funded by NYUAD (when eligible).² 

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¹ https://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/faculty-policies-applicable-to-full-time-continuing-contract-faculty.html

²
**T-FSC Specific Recommendation #2.** If NYUAD provides professional development support to FTCC faculty related to requirements for reappointment and promotion in keeping with expectations for their scholarly and/or creative activity—as well as pedagogical or curricular innovation—a reference to eligibility criteria and procedures should be included in the preceding paragraph.

**Participation in NYUAD Governance**

Other than eligibility for tenure, and except for participation in tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty, Continuing Contract Faculty enjoy the same rights and responsibilities as tenured and tenure-track faculty members in the governance of NYUAD and in the academic divisions in which they teach. Voting rights at NYUAD are extended to Continuing Contract Faculty in accordance with the guiding principles of the NYU Faculty Handbook and the NYUAD Faculty Council. In accordance with University Bylaws, Section 82(c), *Faculty Membership, College and School Governance*, Continuing Contract Faculty may hold their own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of NYUAD.

**Future Amendments**

As noted above, NYUAD is finalizing its procedures and processes for faculty nomenclature. Any amendment to these guidelines must be in writing and must be approved by the Provost of NYUAD, following consultation with the NYUAD Faculty Council, and the Provost of NYU. As with all NYUAD policies, these guidelines, or any provision hereof, are subject to change and the policies in effect at the time of an action will apply to that action.

1. **REVIEW PRINCIPLES**

These guidelines regarding Continuing Contract Faculty shall apply to all appointments, reappointments and promotions, subject to the terms of the employment contract between the faculty member and NYUAD, and the laws of the United Arab Emirates (UAE).

**Authorization**

All faculty lines and appointments require prior authorization from the NYUAD Provost. All initial appointments, reappointments, and promotions of faculty shall be approved by the NYUAD Provost.

2 All NYUAD standing, full-time faculty currently have PI-status for internal research grant opportunities offered by NYUAD.

...and are normally initiated by the relevant NYUAD Divisional Dean following consultation with the relevant faculty.

**Criteria for Review**

All contracts must include a clear statement of the criteria for each scheduled review for reappointment and/or promotion.

Guiding criteria for the formal review may include, without limitation:

1) commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, capstone
The expectations for achievement in teaching (based on contractually assigned teaching load/course equivalencies), service, and (if applicable) scholarly and/or artistic/creative activity, in order to achieve reappointment or promotion must be set out clearly in each individual contract.

In cases where professional, scholarly and/or artistic/creative activity are required or encouraged for reappointment and promotion, relevant funding to support this activity will be made available. In addition, information will be shared and publicly announced about respective internal grant/funding opportunities (on a competitive basis and with clear designations of eligibility) to support this activity.

The career pathway for Continuing Contract Faculty must be specified in the initial contract (or any subsequent reappointment after these guidelines have come into effect). Faculty may choose whether to be evaluated for promotion or reappointment at the same rank. Candidates who apply for promotion and are unsuccessful will still be eligible for reappointment at the same rank. The relative criteria for promotion or reappointment are to be specified in the original letter of appointment.

[See T-FSC Specific Recommendation #1, above.]

**T-FSC Specific Recommendation #3.** *It is salutary that the “relative criteria for promotion or reappointment” will be made known to faculty members in their original appointment letters; it would also be highly desirable to communicate those criteria—or the range of those criteria, since they presumably differ according to title and role-- in the policy document itself.*

**Probationary Period and Review**

**T-FSC Specific Recommendation #4.** *We strongly suggest that the section below, entitled “Terms of Appointment,” might precede this section. This change would avoid raising (an unwarranted) question about the conditions that would justify only a one-year appointment. Alternatively, a parenthetical reference to the later section, e.g., “Contract duration is explained in the section on ‘Terms of Appointment’ below, might obviate misapprehensions about contract length for the reader.*

Continuing Contract Faculty are typically appointed to multi-year contracts. In accordance with UAE law, all initial appointments is subject to a probationary period of six months. As is the case for all NYUAD employees, Continuing Contract Faculty employment is subject to the individual faculty member obtaining and maintaining all approvals, clearances, and documentation as required by UAE law.
The relevant NYUAD Divisional Dean will conduct an initial review of the candidate’s performance within the first six months of the first year of any contract. In the case of a one-year contract, a successful initial review will make the candidate eligible for a renewal of not less than one year. In the case of initial contracts of two or more years, a successful probationary review will lead to the continuation of the full contract.

In the event of a decision to terminate the appointment following a negative initial review, the faculty member must be notified in writing of the probationary review decision in a timely manner, and no later than six months after the beginning of the first year of the contract.

Guiding criteria for review within the first six months of the first year of appointment may include, without limitation, commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly and/or creative/artistic), and evidence of learning beyond the classroom, student evaluations, etc.; and/or (when applicable) scholarly and artistic/creative activity, including, but not limited to, for example, research, publications, creative productions, exhibitions, and performances; student advising; consistent service including, but not limited to, service to the University community and within and to one’s profession; and additional academic roles and administrative responsibilities that contribute to NYUAD and the University’s educational, research, and service mission. When appropriate, professional activities and the quality of service contributions to the division and to the university may be considered.

Renewal of Contracts
Continuing Contract Faculty shall be subject to formal review. Faculty on multi-year appointments shall be reviewed in the penultimate year of appointment. Faculty on a series of one and/or two-year contracts shall be reviewed in the first semester of the third year of continuous appointment.

A faculty member’s eligibility to be considered for reappointment does not create a presumption in favor of reappointment, even if the faculty member has met or exceeded the expectations set out in the contract. Any review for reappointment and promotion shall consider major curricular and structural changes (e.g. termination of a program) and/or improvements in academic programs, even in those cases in which a candidate satisfies the appropriate standards of achievement for reappointment or promotion. Major curricular or structural changes do not, however, automatically warrant a denial of reappointment. In the case of such changes, the review considers whether the faculty member is able to teach in the revised curriculum or new academic structure and, if so, in what capacity.

If it is established (based on the aforementioned stipulations) by the beginning of the penultimate year of the contract that a position is to be eliminated at the end of the contract term, there is no review and reappointment process; the faculty member shall be so notified in writing by the end of the first month of the penultimate year. However, the faculty member may request a performance review for career development to be conducted within a time framework specified

Terms of Appointment
Continuing Contract Faculty are typically appointed for a period of three to five years:
- Rank of Assistant Professor/Lecturer: 3 years.
- Rank of Associate Professor/Lecturer: 4 years.
- Rank of Full Professor/Lecturer/Senior Lecturer: 5 years.
Reappointment after the completion of a successful review process must be at the same rank (except in

3 Nothing precludes candidates for renewal from voluntarily requesting contracts of less than one year.

cases of promotion) with consistency in title and will typically be at least for the same duration as
the previous contract length.

In some cases, Continuing Contract Faculty appointments can be made for a period of one or two
years at the faculty member’s request or to address a specific academic need or a major
programmatic change. Typically, faculty members on continuous one-year appointments are
expected to move to multi-year appointments after the completion of two consecutive, successful
review processes.

In case of a negative review, the final year of the contract will become the terminal year of appointment.

On an exceptional basis, an additional one-year extension may be offered upon prior authorization by
the NYU Provost; a successful formal review by the end of the then penultimate year of the
contract may result in a multi-year reappointment.

Notification
For Continuing Contract Faculty on a contract of three or more years (both on an initial or subsequent
three or more years contract), the review process for reappointment will take place in the final
semester of the penultimate year of the contract, and the faculty member will be notified as to
reappointment by no later than the end of the academic year of the penultimate year of the
contract (i.e., August 31, in most cases).

Continuing Contract Faculty on a one or two-year contract will be notified of the reappointment
decision by no later than 180 days prior to the expiration date of the appointment (i.e., March 1, in
most cases).

<table>
<thead>
<tr>
<th>Contract Term</th>
<th>Docket Materials Due</th>
<th>Timing of Review Process</th>
<th>Notification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Probationary period and review for all initial contracts</td>
<td>N/A</td>
<td>Within first six month of employment</td>
<td>180 days after the start date of the appointment (by March 1, in most cases)</td>
</tr>
<tr>
<td>Initial or Subsequent 1 or 2-Year Contract</td>
<td>N/A</td>
<td></td>
<td>180 days prior to expiration date of the appointment (by March 1, in most cases)</td>
</tr>
<tr>
<td>Consecutive 1 or 2-Year appointments</td>
<td>Typically by October 1</td>
<td>First semester of the third year of continuous appointment</td>
<td>180 days prior to expiration date of the appointment (by March 1, in most cases)</td>
</tr>
</tbody>
</table>
Multi-Year Contracts of 3+ Years

| Typically by December 1 | Final semester of the penultimate year of the contract | No later than the end of the academic year of the penultimate year of the contract (typically by August 31) |

In connection with formal reviews for reappointment and promotion, NYUAD will make available to all faculty in print and/or on the faculty portal:

i. Statement of the academic criteria in the areas of teaching, program and/or curriculum and course development, research (where appropriate), the creative and performing arts (where appropriate), and program and school service that will guide the committee’s evaluation.

ii. Statement of the criteria of assessment in effect at the time.

T-FSC Specific recommendation #5.
We recommend clarifying the ambiguity of the phrase, “at the time.” This could be a factor in a grievance. Is the intent “at the time of appointment” or “at the time of the review”?

T-FSC Specific recommendation #6.
The last sentence in the preceding paragraph is hard to decipher. Perhaps an example could be provided of the exceptional circumstances that would merit supplementary reviews outside the anticipated rhythm.

2. FORMAL REVIEW PROCESS FOR REAPPOINTMENT

The review process for reappointment commences when a candidate for reappointment submits his or her docket for review to the relevant NYUAD Dean in accordance with the timeline above.

Preparation of the Docket Materials
Each division/program or area may determine, with approval from the Provost and relevant Dean, the exact makeup of the reappointment and promotion docket, as appropriate to the specific area or discipline. Normally, dockets should include:

a. A summary of most salient accomplishments in the statutory areas of review, including teaching philosophy, strategies, and goals; scholarship and creative/artistic achievements; administrative responsibilities; and service to NYUAD. (This summary should normally not exceed 2–3 pages in length and in no case shall exceed 5 single spaced pages.) This summary should be accompanied by a copy of the criteria for review as specified in the...
original letter of employment.
b. A current, up-to-date CV. The CV may be updated as the process continues to reflect changes in academic achievement and accomplishment).
c. Materials that demonstrate teaching effectiveness (e.g., faculty course evaluations, peer observations of teaching, formal assessments of teaching effectiveness, syllabi, lecture notes, assignments or URL, and other relevant documents).
d. Demonstration of service to the NYUAD Community (e.g. curriculum development, faculty governance, student mentoring, etc.).
e. Where applicable, a professional portfolio (showing publications, creative productions, performances and professional development) demonstrating significant contributions to the field during the appointment period.
f. Other evidence appropriate to the candidate’s discipline.
g. Candidates are encouraged to include any additional evidence that he or she believes bears on the case for reappointment or promotion, not otherwise identified above.

Faculty Review Committee
a. The NYUAD Divisional Dean, in consultation with the Program Head or the research center director (when applicable), appoints and charges the Faculty Review Committee.

T-FSC Specific recommendation #7. In keeping with our General Recommendation #2, it would be especially important to affirm that review committee members both for reappointment and promotion must include elected (not just appointed) members and significant representation of FTCC faculty.

For the composition of the committee, please see section 4.
b. Candidates for reappointment or promotion will be notified by the end of the first month of the academic year in the penultimate year of an appointment that they are eligible for review.
c. Candidates will submit materials for review to the NYUAD Divisional Dean prior to the end of the first semester of the penultimate year of the contract (typically by December 1).
d. The NYUAD Divisional Dean forwards the materials for review to the committee, which assesses it based on the review criteria specified in the candidate’s contract and formulates a recommendation for or against reappointment.
e. The committee submits its recommendation to the NYUAD Divisional Dean along with a written explanation of its assessment. A majority vote of the committee is required for recommendation for reappointment. The committee prepares the written recommendation on reappointment, including any minority opinions. One or more members of the committee may prepare the written recommendation but each member of the committee will review and sign it before it is submitted to the relevant NYUAD Dean.

NYUAD Dean
a. The relevant NYUAD Divisional Dean reviews the recommendation of the Faculty Review Committee and submits his/her recommendation to the NYUAD Provost together with all materials of the docket. The NYUAD Provost may, in turn, seek additional information, and/or internal or external reviews.
b. In formulating his/her decision, the NYUAD Divisional Dean may seek additional
information (including, but not necessarily limited to, internal or external letters of review of the candidate’s professional contributions, e.g. student evaluations of teaching, internal letters of review of the candidate’s teaching, and service contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.

**T-FSC Specific recommendation #8.** For consideration: *Is this possibly too categorical an exclusion? While it may be customary to exclude a thesis adviser, if the candidate worked on a collaborative research or creative project or co-authored important journal articles or books at some distinct period in the past (5-10 years, for example) with certain individuals, wouldn’t their perspectives on the candidate (and his/her continued productivity in their fields) be of some merit?*

c. If the NYUAD Divisional Dean’s decision is contrary to the recommendation of the Faculty Review Committee on reappointment, title, or length of contract, the Dean will provide the committee with reasons for not accepting its recommendation. In case a Dean’s decision not to reappoint the candidate is contrary to the committee’s recommendation, the committee members will have ten business days in which to provide additional feedback to the Dean before the Dean’s decision is finalized and submitted to the NYUAD Provost.
d. The Provost conveys his or her decision to the NYUAD Dean. The NYUAD Divisional Dean then conveys the decision to the candidate in writing.
e. The outcome of the review process will typically be discussed by the NYUAD Dean with the candidates in person.
f. In the case of a negative decision, candidates may avail themselves of the grievance procedures outlined in section 6 (“Grievance Procedures”).
g. Continuing Contract Faculty on a one or two-year contract will be notified of the decision no later than 180 days prior to the expiration date of the appointment and in the case of reappointment, receive a contract within the next 4 months. Continuing Contract Faculty on a contract of three or more years will be notified no later than the end of the academic year of the penultimate year of the contract (i.e. August 31, in most cases) together with a contract for reappointment or a written notification of non-reappointment.
h. In the event of a decision to reappoint, the Continuing Contract Faculty shall complete the remainder of his/her term and shall be reappointed, normally, for another contract of equal or greater length.
i. In the event of a decision not to reappoint, the Continuing Contract Faculty member shall continue to be under contract until the end of the contract expiry date.

3. **FORMAL REVIEW PROCESS FOR PROMOTION**

The process for promotion is initiated by the candidate who confirms his/her eligibility with the relevant NYUAD Divisional Dean. The criteria for promotion are set out in each Continuing Contract Faculty’s contract, but typically to merit promotion, a candidate must demonstrate a record of outstanding teaching and service and (if applicable) distinguished professional accomplishments. Years served in previous institutions may be taken into consideration.
**T-FSC Specific recommendation #9.** In keeping with our Specific recommendation #1 above, eligibility requirements for promotion should be provided, with respect to each FTCC faculty title in use.

a. Assistant / Associate Lecturers may be considered for promotion to the next rank after one term of appointment (of at least 3 years) at rank. Lecturers may be considered for promotion to the next rank after two terms of appointment (of at least 4 years) at rank. For professorial ranks, faculty at the assistant level may be considered for promotion after two terms of appointment (of at least 3 years) in rank. Faculty at the associate level may be considered for promotion after one term of appointment (of at least 4 years) in rank.

b. Any faculty member may submit a request for early promotion to the relevant NYUAD Dean. A promotion ahead of schedule will be granted only under extraordinary circumstances. It is not normally in the best interest of a candidate or of the institution to propose candidates for promotion ahead of schedule.

c. The review process for promotion is the same as the process for reappointment as outlined in section 2 of this document. The review committee will provide an assessment for contract renewal purposes, and in the same letter (if applicable) recommend whether the candidate meets the expectations for promotion.

d. Any negative decision on an application for promotion shall not affect eligibility for the continuation or renewal of an existing contract.

e. Continuing Contract Faculty appointments are normally not convertible to tenure track appointments. In rare cases, and then only with provostial approval, a non-tenure track position may be converted into a tenure track one for which the incumbent is eligible to apply within the search process. In these rare cases, conversion of a non-tenure track position into a tenure track position will not foreshorten an existing contract duration as could occur, for example, if the conversion occurred before expiration of an existing contract and the contractee was not selected for the tenured or tenure track appointment. However, a Continuing Contract Faculty faculty member must not be prohibited from applying for and being considered for any tenure track opening that arises within his or her school or elsewhere in the University; nor may his or her doing so be treated with prejudice.

4. **COMPOSITION OF FACULTY REVIEW COMMITTEE**

a. The NYUAD Divisional Dean will appoint a Faculty Review Committee of three or five faculty members. At least one member of the committee will normally be a senior member of the Continuing Contract Faculty. Whenever possible, the majority of committee members shall be Continuing Contract Faculty. The committee may also include members of the tenured faculty. Finally, the committee may include an external member (i.e. an scholar/artist from outside of NYU) who is an expert in the field.

b. In the usual case, the committee for reappointment or promotion shall be composed entirely of faculty of greater rank (whether tenured, tenure-track, or Continuing Contract Faculty) than the candidate, except in the case of a Full Professor, where all committee members need to have the rank of Full Professor. Typically, the majority of the committee shall be from the same academic discipline as the candidate. Typically, at least one member of the committee must be an NYUAD faculty member. Other members may be drawn from faculty at NYU portal
campuses in New York and Shanghai.

c. In the review of any particular case, committee members shall recuse themselves in the case of an apparent or actual conflict of interest.

d. The committee may seek additional information (including, but not necessarily limited to, internal or external letters of review of the candidate’s professional contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.

5. GROUNDS FOR STOPPING THE CONTRACT CLOCK

The contract clock may be stopped for reasonable cause, e.g. medical, personal, as primary caregiver for child, spouse, parent, (same sex) domestic partner, or by contractual stipulation or negotiation.

T-FSC Specific recommendation #10. For consideration: Why the parenthetical restriction on the term “domestic partner”? Should the sex of the domestic partner matter? On the supposition that this is simply intended to acknowledge a recognized, binding relationship, suggest dropping the parenthetical restriction altogether.

6. GRIEVANCE PROCEDURE

Who Can Grieve

With respect to grievances related to reappointment and promotion: A Continuing Contract Faculty member who is not eligible for reappointment cannot grieve a decision not to reappoint. Individuals on multi-year contracts of three years or more who are subject to a review process to determine whether they are to be reappointed do have a right to grieve the process in the event it leads to a negative decision with respect to reappointment or promotion or the terms of reappointment or promotion; and they are entitled to grieve in the event they are denied reappointment without review for reasons other than elimination of the position.

Faculty on continuous one-year or two-year appointments are similarly entitled to grieve the process in the event the third-year review process leads to a negative decision; and they are entitled to grieve the process in the event they are not reappointed after a third year review when a review had been explicitly promised in connection with the possibility of reappointment subject to it, but was not undertaken for reasons other than elimination of the position.

Continuing Contract Faculty who are subject to a review process to determine whether they are to be promoted have a right to grieve the process in the event it leads to a negative decision.

With respect to grievances related to other matters: All Continuing Contract Faculty, including faculty on one-year appointments, are eligible to grieve.

Grievances Related to Reappointment and Promotion

Grievances related to reappointment and promotion of Continuing Contract Faculty are restricted to allegations of procedural defects and irregularities. Outcomes of the review process or decisions reached through the review process can be grieved only to the extent that they involve violation of university-protected rights of faculty members.
Thus, a grievance must allege that 1) the procedures used to reach the decision were improper, or that the case received inadequate consideration; or 2) that the decisions violated the academic freedom of the faculty member in question, in which case the burden of proof falls to the grievant. A decision not to undertake the reappointment process where a position is to be eliminated at the end of the contract term and there is no similar position open is not the basis for a grievance.

**Informal Settlement**

In the case of grievances related to reappointment and promotion, attempts shall be made to settle the dispute in a timely manner (typically within 15 working days after the request for an informal settlement) by informal discussions between the grievant and the NYUAD Provost, possibly with the assistance of mediators.

**T-FSC Specific recommendation #11.** *We are concerned that there are no intermediate steps before a grievance rises to the attention of the NYUAD Provost. Strongly recommend that if a faculty member concludes that a grievance cannot be settled informally at the level of the Dean (or below the Dean, depending on the organizational structure of the school), the faculty member should be able to appeal to the Dean to convoke the designated grievance committee within 15 working days of the faculty’s written appeal.*

**NYUAD Vice Chancellor and NYUAD Grievance Committee**

In the event that the grievance is not settled informally at the level of the NYUAD Provost, the faculty member may appeal to the NYUAD Vice Chancellor to convene the NYUAD Grievance Committee, which is elected and appointed in accordance with the NYUAD Governance Guidelines and the NYUAD Grievance Committee charter.

The NYUAD Vice Chancellor must convene the NYUAD Grievance Committee within 15 business days of receipt of written notice of the faculty member’s appeal. In the event that the NYUAD Vice Chancellor does not convene the NYUAD Grievance Committee within said time, the faculty member has the right to bring it to the attention of the Provost of NYU.

**T-FSC Specific recommendation #12.** *Consistent with #11 above, if an NYUAD school’s organizational structure is organized into academic units headed by a Divisional Dean, the language in the grievance policy should anticipate the need in such cases for forwarding a complete review packet with faculty recommendations and comments to the Dean.*

The grievance committee will then hear evidence and report to the NYUAD Vice Chancellor in writing on its findings of fact and its opinion on a fair disposition of the case. The NYUAD Grievance Committee does not judge the professional merits of the case and only considers the appeal based on the grounds specified above. After deliberation, the NYUAD Grievance Committee advises the NYUAD Vice Chancellor of its recommendation.

The NYUAD Grievance Committee will provide its recommendation to the NYUAD Vice Chancellor within 30 business days of the convening of the committee.
**T-FSC Specific recommendation #13.** Given the impact of prolonged uncertainty about one’s professional future and the difficulty of convening committees because of extended breaks in the academic calendar, we strongly recommend that the Grievance Committee Chair be expected to provide status updates to the grievant, at least every two (2) months during the duration of the process.

For grievances brought by a member of the Continuing Contract Faculty, the NYUAD Grievance Committee will be expanded to include at least two senior members of the Continuing Contract Faculty, if two senior members of the Continuing Contract Faculty are not already on the faculty-appointed Grievance Committee (bringing it to a total of seven member

The NYUAD Vice Chancellor reviews the NYUAD Grievance Committee’s recommendation and all pertinent information, decides the case, and notifies the faculty member and the NYUAD Grievance Committee in writing of his/her decision, together with reasons therefore and information about the procedure for appeal, no later than 15 working days after receiving the recommendation of the NYUAD Grievance Committee.

**T-FSC Specific recommendation #14.** We concur with the C-FSC Recommendation #33, to add language in the spirit of their suggestion, which follows: “If the committee’s report is accepted by both the grievant and the Dean, the matter shall be considered settled. However, if the Dean shall deny any findings of fact, or refuse to implement suggestions by the committee made as a part of the committee’s recommendations on the disposition of a case, the Dean is required to reply in writing giving in detail his or her reasons. This memorandum must be sent both to the grievant and to the committee.”

As a standing committee of the faculty, the NYUAD Grievance Committee must regularly report to the faculty on the number of cases heard or under study and the ultimate disposition of such cases, (for example, amicably settled or on appeal).

**Provost of NYU**

If the decision of the NYUAD Vice Chancellor is not satisfactory to the faculty member, he or she may, within 15 working days of receipt of the NYUAD Vice Chancellor’s decision, appeal in writing to the Provost of NYU (or his/her designee) specifying all grounds for and materials in support of the appeal.

Appeals from the NYU Abu Dhabi Vice Chancellor’s decision can be made only on the basis of the grounds specified above. Where such an appeal is made, the NYUAD Vice Chancellor will transmit to the Provost of NYU a report of the proceedings in the case at its earlier stages.

The Provost of NYU will decide the case, and notify the grievant and the NYUAD Vice Chancellor. If the advice of the latter is not followed, the reasons will be reported with the decision. The decision of the Provost of NYU is final and subject to no further review.

7. CONTACTS

Subject Contact

General InquiriesFaculty HR Affairs Department, NYUAD

+971 2 628 4048

nyuad.faculty.hr.affairs@nyu.edu
Response to T-FSC Recommendations re: NYUAD CF Guidelines

GENERAL RECOMMENDATIONS

1. Agreed. This now appears in the introduction to the current draft of the NYUAD Continuing Contract Faculty guidelines (afterwards referred to as “NYUAD CF Guidelines”).

2. Members of appointment-, review-, and promotion committees at NYUAD are not elected but appointed by the respective Dean. The composition and appointment process of these committees as outlined in the NYUAD CF Guidelines follows the University Guidelines for Full Time Continuing Contract Faculty. An election of these committees would, among other factors, also be challenging in terms of the current size of NYUAD in each respective area, management of conflict of interests, etc. The NYUAD Grievance Committee is elected by the NYUAD faculty in accordance with the NYUAD Faculty Governance Guidelines and the remit of the NYUAD Grievance committee. With regard to the latter point, the respective corrections will be made to the NYUAD CF Guidelines to clarify this.

3. The current version of the NYUAD Governance Guidelines were issued February 25, 2015. The Grievance Procedures were included herein. However, in the fall semester 2019 NYU Abu Dhabi Faculty Governance Guidelines were revised under the leadership of the NYU Abu Dhabi Faculty Council Steering Committee (FCSC) and in consultation with all faculty following the presentation of these guidelines during the Faculty Forum on November 10, 2019 and the meeting of the Faculty Council on November 24, 2019. In addition, these guidelines were endorsed by all faculty via a vote that was held November 25-December 5, 2019. The NYU Abu Dhabi Faculty Governance Guidelines also include as Appendix 2 revised Faculty Grievance Procedures that establish a separate NYU Abu Dhabi Full-Time Continuing Contract Faculty Grievance Committee. These comprehensive grievance procedures replace the previous section “6. Grievance Procedures” in the NYU Abu Dhabi Guidelines for Full-Time Continuing Contract Faculty Appointments.

SPECIFIC RECOMMENDATIONS:

1. NYUAD is currently in the process of outlining the exact nomenclature with a clear description of each type of faculty and respective ranks in cooperation with the NYUAD FCSC and representatives of the NYUAD Full Time Continuing Contract Faculty. A reference to this document can be included once finalized.

2. The respective processes governing faculty development opportunities and programs available at NYUAD are outlined in their respective guidelines. All NYUAD standing, full-time faculty are currently eligible to apply for participation in those. The NYUAD Office of the Vice Provost for Faculty Development and Diversity is in the process of creating a respective website for NYUAD CF; this resource will serve as a centralized platform for these opportunities.

3. See 1, Specific Recommendations.
4. The document has been reorganized accordingly.
5. The sentence has been corrected to read “Statement of the criteria of assessment in effect at the time of the most recent appointment or renewal.”
6. The sentence “In addition, NYUAD may carry out formal performance assessments (not more frequently than annually) in the course of multi-year appointments that are at least three years.” has been deleted.
7. See 2, General Recommendations. See also NYUAD CF Guidelines, 4.a, which details the composition of the Faculty Review Committee and states, “Whenever possible, the majority of committee members shall be Continuing Contract Faculty.”
8. Our policy is aligned with the NYU Faculty Handbook. Drawing on external letters of evaluation from closely associated scholars, co-authors, joint producers, or other close associates would inevitably pose an actual or perceived conflict of interest.
9. See 1, Specific Recommendations.
10. The sentence has been corrected to follow the text of the NYU Faculty Handbook in this regard to read: “The contract clock may be stopped for reasonable cause, e.g. medical, personal, as primary caregiver for child, spouse, parent, domestic partner, or by contractual stipulation or negotiation.”
11. The NYUAD Grievance Procedures (Appendix 2, NYUAD Faculty Governance Guidelines) specify two levels of grievance/appeal: informal settlement at or below the level of the Dean, and then appeal to the Dean and to the NYU Provost. NYUAD Guidelines actually offer the following levels of appeal: informal settlement at or below the NYUAD Provost, then appeal to the NYUAD Provost, and then to the NYU Provost and NYUAD Vice Chancellor. Thus, faculty bringing grievances at NYUAD have equivalent levels of appeal to those specified by the NYU Faculty Handbook.
12. See the previous point.
13. Per the NYUAD Grievance Procedures, faculty with grievances should be notified of the status of their grievances as follows: the NYUAD Provost should convene the Grievance Committee within 15 NYUAD business days and the Grievance Committee should provide its recommendation within 30 NYUAD business days, and then the NYUAD Provost notifies the faculty member within 15 NYUAD business days after receiving the Grievance Committee recommendation.
14. The NYUAD CF Guidelines follow the NYU Faculty Handbook, which specifies that “After obtaining the recommendation of the grievance committee, the Dean shall decide the case and in writing shall notify the concerned parties and the grievance committee of his or her decision, together with reasons therefore, and information on the procedure for appeal.”
NEW YORK UNIVERSITY ABU DHABI

Guidelines for Full-Time Continuing Contract Faculty (CCF) Appointments

INTRODUCTION

Full-Time Continuing Contract Faculty (referred to as Continuing Contract Faculty) represent a distinct and vital part of the university academic community and contribute significantly to the university’s academic and service missions. Policies applicable to this group of faculty members must reflect the contributions that they make to the university’s commitment to academic excellence and service (including administrative responsibilities), while also embodying the university’s right to require exceptional teaching, scholarship and creative/artistic activities (where applicable), and service of all full-time faculty.

The NYU Abu Dhabi Full-Time Continuing Contract Faculty Guidelines (the Guidelines) set forth the principles and procedures for appointments, reappointments, and promotions at NYU Abu Dhabi (referred to as NYUAD). The purpose of these Guidelines is to map out the review principles and processes for Continuing Contract Faculty at NYUAD. They are designed to support standards of academic excellence in the processes of appointments, reappointments, and promotions and aim to provide a comprehensive and fair review of the candidates.

These guidelines shall apply to all appointments, reappointments, and promotions henceforth. Upon reappointment review for existing contracts, these guidelines shall apply with respect to, for example, review procedures, notification, consistency in case of reappointments with regard to length of contract, rank and title, etc. These guidelines shall apply immediately to all new appointments.

These Guidelines are being implemented at NYUAD to supplement NYU faculty policies applicable to Full-Time Continuing Contract Faculty as outlined in the NYU Faculty Handbook. If any part of these Guidelines is inconsistent with NYU policies, the NYU policies then in effect will control.

Scope

These Guidelines apply to all NYUAD Continuing Contract Faculty. The titles currently held by Continuing Contract Faculty at NYUAD are the following:

- Arts Professor (Associate Arts Professor, Assistant Arts Professor)
- Professor of Practice (Associate Professor of Practice, Assistant Professor of Practice)

1 https://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/faculty-policies-applicable-to-full-time-continuing-contract-faculty.html

DRAFT VERSION: November 17, 2019
Rights and Responsibilities

The responsibilities of Continuing Contract Faculty at NYUAD include, among others: teaching assignments, student advisement, program and committee responsibilities, scholarship and creative activities (where applicable), and avoidance of conflicts of interest.

The rights and privileges of NYUAD Continuing Contract Faculty are governed by the NYU Faculty Handbook and the NYUAD Faculty Governance Guidelines. They include, among others, academic freedom, leaves of absence, as well as serving as Principal Investigator on internal research grants funded by NYUAD (when eligible).

Participation in NYUAD Governance

Other than eligibility for tenure, and except for participation in tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure-track faculty, Continuing Contract Faculty enjoy the same rights and responsibilities as tenured and tenure-track faculty members in the governance of NYUAD and in the academic divisions in which they teach. Voting rights at NYUAD are extended to Continuing Contract Faculty in accordance with the guiding principles of the NYU Faculty Handbook and the NYUAD Faculty Council. In accordance with University Bylaws, Section 82(c), Faculty Membership, College and School Governance, Continuing Contract Faculty may hold their own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of NYUAD.

Future Amendments

Any amendment to these guidelines must be in writing and must be approved by the Provost of NYUAD, following consultation with the NYUAD Faculty Council, and the Provost of NYU.

1. REVIEW PRINCIPLES

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2 An ongoing review in AY 2019/20 is determining the appropriateness and usage of these titles in conjunction with an assessment of faculty appointment policies at NYUAD as the institution has evolved.

3 https://intranet.nyuad.nyu.edu/faculty-resources/governance/governance-guidelines/

4 All NYUAD standing, full-time faculty currently have PI-status for internal research grant opportunities offered by NYUAD.
These guidelines regarding Continuing Contract Faculty shall apply to all appointments, reappointments and promotions, subject to the terms of the employment contract between the faculty member and NYUAD, and the laws of the United Arab Emirates (UAE).

Authorization
All faculty lines and appointments require prior authorization from the NYUAD Provost. All initial appointments, reappointments, and promotions of faculty shall be approved by the NYUAD Provost and are normally initiated by the relevant NYUAD Divisional Dean following consultation with the relevant faculty.

Criteria for Review
All contracts must include a clear statement of the criteria for each scheduled review for reappointment and/or promotion. These criteria must be part of the docket transmitted to the Faculty Review Committee.

Guiding criteria for the formal review may include, without limitation:

1) commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, capstone supervision, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly or creative/artistic), evidence of learning beyond the classroom, student evaluations, etc.;
2) (when applicable) scholarly and/or artistic/creative activity, including, but not limited to, for example, research, publications, creative productions, exhibitions, and performances;
3) student advising and mentoring;
4) service including, but not limited to, service to the University community and within and to one’s profession; and
5) additional academic roles and administrative responsibilities that contribute to NYUAD and the University’s educational, research, and service mission.

The expectations for achievement in teaching (based on contractually assigned teaching load/course equivalencies), service, and (if applicable) scholarly and/or artistic/creative activity, in order to achieve reappointment or promotion must be set out clearly in each individual contract.

In cases where professional, scholarly and/or artistic/creative activity are required or encouraged for reappointment and promotion, relevant funding to support this activity will be made available. In addition, information will be shared and publicly announced about respective internal grant/funding opportunities (on a competitive basis and with clear designations of eligibility) to support this activity.

The career pathway for Continuing Contract Faculty must be specified in the initial contract (or any subsequent reappointment after these guidelines have come into effect). Faculty may choose whether to be evaluated for promotion or reappointment at the same rank. Candidates who apply for promotion and are unsuccessful will still be eligible for
reappointment at the same rank. The relative criteria for promotion or reappointment are to be specified in the original letter of appointment.

Terms of Appointment
Continuing Contract Faculty are typically appointed for a period of three to five years within the context of UAE labor regulations and in consideration of the range of individual circumstances and curricular needs:

- Rank of Lecturer: 3-5 years.
- Rank of Assistant Professor: 3 years.
- Rank of Associate Professor: 4 years.
- Rank of Full Professor/Senior Lecturer: 5 years.

Reappointment after the completion of a successful review process must be at the same rank (except in cases of promotion) with consistency in title and will typically be at least for the same duration as the previous contract length.

In some cases, Continuing Contract Faculty appointments can be made for a period of one or two years at the faculty member’s request or to address a specific academic need or a major programmatic change. Faculty members on continuous one-year appointments are expected to move to multi-year appointments after the completion of two consecutive, successful review processes.

In case of a negative review, the final year of the contract will become the terminal year of appointment.

On an exceptional basis, an additional one-year extension may be offered upon prior authorization by the NYU Provost; a successful formal review by the end of the then penultimate year of the contract may result in a multi-year reappointment.

Notification
For Continuing Contract Faculty on a contract of three or more years (both on an initial or subsequent three or more years contract), the review process for reappointment will take place in the final semester of the penultimate year of the contract, and the faculty member will be notified as to reappointment by no later than the end of the academic year of the penultimate year of the contract (i.e., August 31, in most cases).

Continuing Contract Faculty on a one or two-year contract will be notified of the reappointment decision by no later than 180 days prior to the expiration date of the appointment (i.e., March 1, in most cases).

<table>
<thead>
<tr>
<th>Contract Term</th>
<th>Docket Materials Due</th>
<th>Timeline</th>
<th>Notification</th>
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<tr>
<td>Probationary period and review for all initial contracts</td>
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<td>Within first six months of employment</td>
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In connection with formal reviews for reappointment and promotion, NYUAD will make available to all faculty in print and/or on the faculty portal:

i. Statement of the academic criteria in the areas of teaching, program and/or curriculum and course development, research (where appropriate), the creative and performing arts (where appropriate), and program and school service that will guide the committee’s evaluation.

ii. Statement of the criteria of assessment in effect at the time of the most recent appointment or renewal.

iii. Calendar for reviews and communication to faculty members that accords fair and timely notice of a review and of its outcome in writing, as well as adequate notice to faculty to pursue alternative employment in the event of a negative decision.

In addition to reviews at the time of potential reappointment, Continuing Contract Faculty on a contract greater than one year must submit an annual activity report to the relevant NYUAD Divisional Dean.

Probationary Period and Review

Continuing Contract Faculty are typically appointed to multi-year contracts. In accordance with UAE law, all initial appointments are subject to a probationary period of six months. As is the case for all NYUAD employees, Continuing Contract Faculty employment is subject to the individual faculty member obtaining and maintaining all approvals, clearances, and documentation as required by UAE law.

The relevant NYUAD Divisional Dean will conduct an initial review of the candidate’s performance within the first six months of the first year of any contract. In the case of a one-year contract, a successful initial review will make the candidate eligible for a renewal
of not less than one year. In the case of initial contracts of two or more years, a successful probationary review will lead to the continuation of the full contract.

In the event of a decision to terminate the appointment following a negative initial review, the faculty member must be notified in writing of the probationary review decision in a timely manner, and no later than six months after the beginning of the first year of the contract.

Guiding criteria for review within the first six months of the first year of appointment may include, without limitation, commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly and/or creative/artistical), and evidence of learning beyond the classroom, student evaluations, etc.; and/or (when applicable) scholarly and artistic/creative activity, including, but not limited to, for example, research, publications, creative productions, exhibitions, and performances; student advising; consistent service including, but not limited to, service to the University community and within and to one’s profession; and additional academic roles and administrative responsibilities that contribute to NYUAD and the University’s educational, research, and service mission. When appropriate, professional activities and the quality of service contributions to the division and to the university may be considered.

Renewal of Contracts

Continuing Contract Faculty must be subject to formal review. Faculty on multi-year appointments shall be reviewed in the penultimate year of appointment. Faculty on a series of one and/or two-year contracts shall be reviewed in the first semester of the third year of continuous appointment.

A faculty member’s eligibility to be considered for reappointment does not create a presumption in favor of reappointment, even if the faculty member has met or exceeded the expectations set out in the contract.

Any review for reappointment and promotion shall consider major curricular and structural changes (e.g. termination of a program) and/or improvements in academic programs, even in those cases in which a candidate satisfies the appropriate standards of achievement for reappointment or promotion. Major curricular or structural changes do not, however, automatically warrant a denial of reappointment. In the case of such changes, the review considers whether the faculty member is able to teach in the revised curriculum or new academic structure and, if so, in what capacity.

If it is established (based on the aforementioned stipulations) by the beginning of the penultimate year of the contract that a position is to be eliminated at the end of the contract term, there is no review and reappointment process; the faculty member shall be so notified in writing by the end of the first month of the penultimate year. However, the faculty member may request a performance review for career development to be conducted within a time framework specified by NYUAD.

6 Nothing precludes candidates for renewal from voluntarily requesting contracts of less than one year.
2. FORMAL REVIEW PROCESS FOR REAPPOINTMENT

The review process for reappointment commences when a candidate for reappointment submits his or her docket for review to the relevant NYUAD Divisional Dean in accordance with the timeline above.

Preparation of the Docket Materials

Each division/program or area may determine, with approval from the NYUAD Provost and relevant NYU Divisional Dean, the exact makeup of the reappointment and promotion docket, as appropriate to the specific area or discipline. Normally, dockets should include:

a. A summary of most salient accomplishments in the statutory areas of review, including teaching philosophy, strategies, and goals; scholarship and creative/artistic achievements (if appropriate); administrative responsibilities (if appropriate); and service to NYUAD. (This summary should normally not exceed 2–3 pages in length and in no case shall exceed 5 single spaced pages.) This summary should be accompanied by a copy of the criteria for review as specified in the original letter of employment.

b. A current, up-to-date CV. The CV may be updated as the process continues to reflect changes in academic achievement and accomplishment.

c. Materials that demonstrate teaching effectiveness (e.g., faculty course evaluations, peer observations of teaching, formal assessments of teaching effectiveness, syllabi, lecture notes, assignments or URL, and other relevant documents).

d. Demonstration of service to the NYUAD community (e.g. curriculum development, faculty governance, student mentoring, etc.).

e. Where applicable, a professional portfolio (showing publications, creative productions, performances and professional development) demonstrating significant contributions to the field during the appointment period.

f. Other evidence appropriate to the candidate’s discipline.

g. Candidates are encouraged to include any additional evidence that he or she believes bears on the case for reappointment or promotion, not otherwise identified above.

Faculty Review Committee

a. The NYUAD Divisional Dean, in consultation with the Program Head or the research center director (when applicable), appoints and charges the Faculty Review Committee. For the composition of the committee, please see section 4.

b. Candidates for reappointment or promotion will be notified by the end of the first month of the academic year in the penultimate year of an appointment that they are eligible for review.

c. Candidates will submit materials for review to the NYUAD Divisional Dean prior to the end of the first semester of the penultimate year of the contract (typically by December 1).
d. The NYUAD Divisional Dean forwards the materials for review to the committee, which assesses it based on the review criteria specified in the candidate’s contract and formulates a recommendation for or against reappointment.

e. The committee submits its recommendation to the NYUAD Divisional Dean along with a written explanation of its assessment. A majority vote of the committee is required for recommendation for reappointment. The committee prepares the written recommendation on reappointment, including any minority opinions. One or more members of the committee may prepare the written recommendation but each member of the committee will review and sign it before it is submitted to the relevant NYUAD Divisional Dean.

NYUAD Divisional Dean

a. The relevant NYUAD Divisional Dean reviews the recommendation of the Faculty Review Committee and submits his/her recommendation to the NYUAD Provost together with all materials of the docket. The NYUAD Provost may, in turn, seek additional information, and/or internal or external reviews.

b. In formulating his/her decision, the NYUAD Divisional Dean may seek additional information (including, but not necessarily limited to, internal or external letters of review of the candidate’s professional contributions, e.g. student evaluations of teaching, internal letters of review of the candidate’s teaching, and service contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.

c. If the NYUAD Divisional Dean’s decision is contrary to the recommendation of the Faculty Review Committee on reappointment, title, or length of contract, the Dean will provide the committee with reasons for not accepting its recommendation. In case a Dean’s decision not to reappoint the candidate is contrary to the committee’s recommendation, the committee members will have ten business days in which to provide additional feedback to the Dean before the Dean’s decision is finalized and submitted to the NYUAD Provost.

d. If the Dean has any concerns that the candidate is not fulfilling the requirements of the position, these should be clearly outlined in the report submitted to the NYUAD Provost. The Dean must submit a written report to the NYUAD Provost that includes the substance of the review and a recommendation for reappointment, promotion or termination. The Provost conveys his or her decision to the NYUAD Dean. The NYUAD Divisional Dean then conveys the decision to the candidate in writing.

e. The outcome of the review process will be discussed by the NYUAD Divisional Dean with the candidates in person. Any reservations must be shared in writing and in person with the faculty member, who is obliged to acknowledge receipt of this information by countersigning the report on a summary of the report, so that he or she is under no misunderstanding regarding the expectations for him or her.

f. In the case of a negative decision, candidates may avail themselves of the grievance procedures outlined in section 6 (“Grievance Procedures”).

g. Continuing Contract Faculty on a one or two-year contract will be notified of the decision no later than 180 days prior to the expiration date of the appointment and
in the case of reappointment, receive a contract within the next 4 months. Continuing Contract Faculty on a contract of three or more years will be notified no later than the end of the academic year of the penultimate year of the contract (i.e. August 31, in most cases) together with a contract for reappointment or a written notification of non-reappointment.

h. In the event of a decision to reappoint, the Continuing Contract Faculty shall complete the remainder of his/her term and shall be reappointed, normally, for another contract of equal or greater length.

i. In the event of a decision not to reappoint, the Continuing Contract Faculty member shall continue to be under contract until the end of the contract expiry date.

3. FORMAL REVIEW PROCESS FOR PROMOTION

The process for promotion is initiated by the candidate who confirms his/her eligibility with the relevant NYUAD Divisional Dean. The criteria for promotion are set out in each Continuing Contract Faculty’s contract, but typically to merit promotion, a candidate must demonstrate a record of outstanding teaching and service and (if applicable) distinguished professional accomplishments. Years served in previous institutions may be taken into consideration.

a. Assistant / Associate Lecturers may be considered for promotion to the next rank after one term of appointment (of at least 3 years) at rank. Lecturers may be considered for promotion to the next rank after two terms of appointment (of at least 4 years each) at rank. For professorial ranks, faculty at the assistant level may be considered for promotion after two terms of appointment (of at least 3 years each) in rank. Faculty at the associate level may be considered for promotion after one term of appointment (of at least 4 years) in rank.

b. Any faculty member may submit a request for early promotion to the relevant NYUAD Divisional Dean. A promotion ahead of schedule will be granted only under extraordinary circumstances. It is not normally in the best interest of a candidate or of the institution to propose candidates for promotion ahead of schedule.

c. The review process for promotion is the same as the process for reappointment as outlined in section 2 of this document. The Faculty Review Committee will provide an assessment for contract renewal purposes, and in the same letter (if applicable) recommend whether the candidate meets the expectations for promotion.

d. Any negative decision on an application for promotion shall not affect eligibility for the continuation or renewal of an existing contract.

e. Continuing Contract Faculty appointments are normally not convertible to tenure track appointments. In rare cases, and then only with provostial approval, a non-tenure track position may be converted into a tenure track one for which the incumbent is eligible to apply within the search process. In these rare cases, conversion of a non-tenure track position into a tenure track position will not foreshorten an existing contract.
duration as could occur, for example, if the conversion occurred before expiration of an existing contract and the contractee was not selected for the tenured or tenure track appointment. However, a Continuing Contract Faculty faculty member must not be prohibited from applying for and being considered for any tenure track opening that arises within his or her unit or elsewhere in the University; nor may his or her doing so be treated with prejudice.

4. COMPOSITION OF FACULTY REVIEW COMMITTEE

a. The NYUAD Divisional Dean will appoint a Faculty Review Committee of three or five faculty members. At least one member of the committee will normally be a senior member of the Continuing Contract Faculty. Whenever possible, the majority of committee members shall be Continuing Contract Faculty. The committee may also include members of the tenured faculty. Finally, the committee may include an external member (i.e., a scholar/artist from outside of NYU) who is an expert in the field.

b. In the usual case, the committee for reappointment or promotion shall be composed entirely of faculty of greater rank (whether tenured, tenure-track, or Continuing Contract Faculty) than the candidate, except in the case of a Full Professor, where all committee members need to have the rank of Full Professor. Typically, the majority of the committee shall be from the same academic discipline as the candidate. Typically, at least one member of the committee must be an NYUAD faculty member. Other members may be drawn from faculty at NYU portal campuses in New York and Shanghai.

c. In the review of any particular case, committee members must recuse themselves in the case of an apparent or actual conflict of interest.

d. The committee may seek additional information (including, but not necessarily limited to, internal or external letters of review of the candidate’s professional contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.

5. GROUNDS FOR STOPPING THE CONTRACT CLOCK

The contract clock may be stopped for reasonable cause, e.g. medical, personal, as primary caregiver for child, spouse, parent, domestic partner, or by contractual stipulation or negotiation.
6. GRIEVANCE PROCEDURE

For the grievance procedures for a Continuing Contract Faculty member, please see the Appendix II of the “NYU Abu Dhabi Faculty Governance Guidelines”.

7. CONTACTS

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Inquiries</td>
<td>Faculty HR Affairs Department, NYUAD</td>
</tr>
<tr>
<td></td>
<td>+971 2 628 4048</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:nyuad.faculty.hr.affairs@nyu.edu">nyuad.faculty.hr.affairs@nyu.edu</a></td>
</tr>
</tbody>
</table>

Deleted: Who Can Grieve?
With respect to grievances related to reappointment and promotion:

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NEW YORK UNIVERSITY ABU DHABI
Guidelines for Full-Time Continuing Contract Faculty (CCF) Appointments

INTRODUCTION

Full-Time Continuing Contract Faculty (referred to as Continuing Contract Faculty) represent a distinct and vital part of the university academic community and contribute significantly to the university’s academic and service missions. Policies applicable to this group of faculty members must reflect the contributions that they make to the university’s commitment to academic excellence and service (including administrative responsibilities), while also embodying the university’s right to require exceptional teaching, scholarship and creative/artistic activities (where applicable), and service of all full-time faculty.

The NYU Abu Dhabi Full-Time Continuing Contract Faculty Guidelines (the Guidelines) set forth the principles and procedures for appointments, reappointments, and promotions at NYU Abu Dhabi (referred to as NYUAD). The purpose of these Guidelines is to map out the review principles and processes for Continuing Contract Faculty at NYUAD. They are designed to support standards of academic excellence in the processes of appointments, reappointments, and promotions and aim to provide a comprehensive and fair review of the candidates.

These guidelines shall apply to all appointments, reappointments, and promotions henceforth. Upon reappointment review for existing contracts, these guidelines shall apply with respect to, for example, review procedures, notification, consistency in case of reappointments with regard to length of contract, rank and title, etc. These guidelines shall apply immediately to all new appointments.

These Guidelines are being implemented at NYUAD to supplement NYU faculty policies applicable to Full-Time Continuing Contract Faculty as outlined in the NYU Faculty Handbook.1 If any part of these Guidelines is inconsistent with NYU policies, the NYU policies then in effect will control.

Scope

These Guidelines apply to all NYUAD Continuing Contract Faculty. The titles currently held by Continuing Contract Faculty at NYUAD are the following:

- Arts Professor (Associate Arts Professor, Assistant Arts Professor)
- Professor of Practice (Associate Professor of Practice, Assistant Professor of Practice)

1 https://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/faculty-policies-applicable-to-full-time-continuing-contract-faculty.html
Rights and Responsibilities

The responsibilities of Continuing Contract Faculty at NYUAD include, among others: teaching assignments, student advisement, program and committee responsibilities, scholarship and creative activities (where applicable), and avoidance of conflicts of interest.

The rights and privileges of NYUAD Continuing Contract Faculty are governed by the NYU Faculty Handbook and the NYUAD Faculty Governance Guidelines. They include, among others, academic freedom, leaves of absence, as well as serving as Principal Investigator on internal research grants funded by NYUAD (when eligible).

Participation in NYUAD Governance

Other than eligibility for tenure, and except for participation in tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty, Continuing Contract Faculty enjoy the same rights and responsibilities as tenured and tenure-track faculty members in the governance of NYUAD and in the academic divisions in which they teach. Voting rights at NYUAD are extended to Continuing Contract Faculty in accordance with the guiding principles of the NYU Faculty Handbook and the NYUAD Faculty Council. In accordance with University Bylaws, Section 82(c), Faculty Membership, College and School Governance, Continuing Contract Faculty may hold their own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of NYUAD.

Future Amendments

Any amendment to these guidelines must be in writing and must be approved by the Provost of NYUAD, following consultation with the NYUAD Faculty Council, and the Provost of NYU.

1. REVIEW PRINCIPLES

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2 An ongoing review in AY 2019/20 is determining the appropriateness and usage of these titles in conjunction with an assessment of faculty appointment policies at NYUAD as the institution has evolved.

3 [https://intranet.nyuad.nyu.edu/faculty-resources/governance/governance-guidelines/](https://intranet.nyuad.nyu.edu/faculty-resources/governance/governance-guidelines/)

4 All NYUAD standing, full-time faculty currently have PI-status for internal research grant opportunities offered by NYUAD.
These guidelines regarding Continuing Contract Faculty shall apply to all appointments, reappointments and promotions, subject to the terms of the employment contract between the faculty member and NYUAD, and the laws of the United Arab Emirates (UAE).

Authorization
All faculty lines and appointments require prior authorization from the NYUAD Provost. All initial appointments, reappointments, and promotions of faculty shall be approved by the NYUAD Provost and are normally initiated by the relevant NYUAD Divisional Dean following consultation with the relevant faculty.

Criteria for Review
All contracts must include a clear statement of the criteria for each scheduled review for reappointment and/or promotion. These criteria must be part of the docket transmitted to the Faculty Review Committee.

Guiding criteria for the formal review may include, without limitation:

1) commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, capstone supervision, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly or creative/artistic), evidence of learning beyond the classroom, student evaluations, etc.;
2) (when applicable) scholarly and/or artistic/creative activity, including, but not limited to, research, publications, creative productions, exhibitions, and performances;
3) student advising and mentoring;
4) service including, but not limited to, service to the University community and within and to one’s profession; and
5) additional academic roles and administrative responsibilities that contribute to NYUAD and the University’s educational, research, and service mission.

The expectations for achievement in teaching (based on contractually assigned teaching load/course equivalencies), service, and (if applicable) scholarly and/or artistic/creative activity, in order to achieve reappointment or promotion must be set out clearly in each individual contract.

In cases where professional, scholarly and/or artistic/creative activity are required or encouraged for reappointment and promotion, relevant funding to support this activity will be made available. In addition, information will be shared and publicly announced about respective internal grant/funding opportunities (on a competitive basis and with clear designations of eligibility) to support this activity.

The career pathway for Continuing Contract Faculty must be specified in the initial contract (or any subsequent reappointment after these guidelines have come into effect). Faculty may choose whether to be evaluated for promotion or reappointment at the same rank. Candidates who apply for promotion and are unsuccessful will still be eligible for
reappointment at the same rank. The relative criteria for promotion or reappointment are to be specified in the original letter of appointment.

**Terms of Appointment**
Continuing Contract Faculty are typically appointed for a period of three to five years within the context of UAE labor regulations and in consideration of the range of individual circumstances and curricular needs:

- Rank of Lecturer: 3-5 years.
- Rank of Assistant Professor: 3 years.
- Rank of Associate Professor: 4 years.
- Rank of Full Professor/Senior Lecturer: 5 years.

Reappointment after the completion of a successful review process must be at the same rank (except in cases of promotion) with consistency in title and will typically be at least for the same duration as the previous contract length.

In some cases, Continuing Contract Faculty appointments can be made for a period of one or two years at the faculty member’s request or to address a specific academic need or a major programmatic change. Faculty members on continuous one-year appointments are expected to move to multi-year appointments after the completion of two consecutive, successful review processes.

In case of a negative review, the final year of the contract will become the terminal year of appointment.

On an exceptional basis, an additional one-year extension may be offered upon prior authorization by the NYU Provost; a successful formal review by the end of the then penultimate year of the contract may result in a multi-year reappointment.

**Notification**
For Continuing Contract Faculty on a contract of three or more years (both on an initial or subsequent three or more years contract), the review process for reappointment will take place in the final semester of the penultimate year of the contract, and the faculty member will be notified as to reappointment by no later than the end of the academic year of the penultimate year of the contract (i.e., August 31, in most cases).

Continuing Contract Faculty on a one or two-year contract will be notified of the reappointment decision by no later than 180 days prior to the expiration date of the appointment (i.e., March 1, in most cases).

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<td>Within first six month of employment</td>
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<th>Type of Contract</th>
<th>Review Period</th>
<th>deadline for renewal or appointment (typical)</th>
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<td>Typically by October 1 (for 2-Year Contracts)</td>
<td>Third semester of second year (for 2-Year Contracts)</td>
<td>180 days prior to expiration date of the appointment (by March 1, in most cases)</td>
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### Consecutive 1 or 2-Year appointments

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### Multi-Year Contracts of 3+ Years

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<td>Final semester of the penultimate year of the contract</td>
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In connection with formal reviews for reappointment and promotion, NYUAD will make available to all faculty in print and/or on the faculty portal:

i. Statement of the academic criteria in the areas of teaching, program and/or curriculum and course development, research (where appropriate), the creative and performing arts (where appropriate), and program and school service that will guide the committee’s evaluation.

ii. Statement of the criteria of assessment in effect at the time of the most recent appointment or renewal.

iii. Calendar for reviews and communication to faculty members that accords fair and timely notice of a review and of its outcome in writing, as well as adequate notice to faculty to pursue alternative employment in the event of a negative decision.

In addition to reviews at the time of potential reappointment, Continuing Contract Faculty on a contract greater than one year must submit an annual activity report to the relevant NYUAD Divisional Dean.

### Probationary Period and Review

Continuing Contract Faculty are typically appointed to multi-year contracts. In accordance with UAE law, all initial appointments are subject to a probationary period of six months. As is the case for all NYUAD employees, Continuing Contract Faculty employment is subject to the individual faculty member obtaining and maintaining all approvals, clearances, and documentation as required by UAE law.

The relevant NYUAD Divisional Dean will conduct an initial review of the candidate’s performance within the first six months of the first year of any contract. In the case of a one-year contract, a successful initial review will make the candidate eligible for a renewal...
of not less than one year. In the case of initial contracts of two or more years, a successful probationary review will lead to the continuation of the full contract.

In the event of a decision to terminate the appointment following a negative initial review, the faculty member must be notified in writing of the probationary review decision in a timely manner, and no later than six months after the beginning of the first year of the contract.

Guiding criteria for review within the first six months of the first year of appointment may include, without limitation, commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly and/or creative/artistic), and evidence of learning beyond the classroom, student evaluations, etc.; and/or (when applicable) scholarly and artistic/creative activity, including, but not limited to, for example, research, publications, creative productions, exhibitions, and performances; student advising; consistent service including, but not limited to, service to the University community and within and to one’s profession; and additional academic roles and administrative responsibilities that contribute to NYUAD and the University’s educational, research, and service mission. When appropriate, professional activities and the quality of service contributions to the division and to the university may be considered.

Renewal of Contracts
Continuing Contract Faculty must be subject to formal review. Faculty on multi-year appointments shall be reviewed in the penultimate year of appointment. Faculty on a series of one and/or two-year contracts shall be reviewed in the first semester of the third year of continuous appointment.

A faculty member’s eligibility to be considered for reappointment does not create a presumption in favor of reappointment, even if the faculty member has met or exceeded the expectations set out in the contract.

Any review for reappointment and promotion shall consider major curricular and structural changes (e.g. termination of a program) and/or improvements in academic programs, even in those cases in which a candidate satisfies the appropriate standards of achievement for reappointment or promotion. Major curricular or structural changes do not, however, automatically warrant a denial of reappointment. In the case of such changes, the review considers whether the faculty member is able to teach in the revised curriculum or new academic structure and, if so, in what capacity.

If it is established (based on the aforementioned stipulations) by the beginning of the penultimate year of the contract that a position is to be eliminated at the end of the contract term, there is no review and reappointment process; the faculty member shall be so notified in writing by the end of the first month of the penultimate year. However, the faculty member may request a performance review for career development to be conducted within a time framework specified by NYUAD.

Nothing precludes candidates for renewal from voluntarily requesting contracts of less than one year.
2. FORMAL REVIEW PROCESS FOR REAPPOINTMENT

The review process for reappointment commences when a candidate for reappointment submits his or her docket for review to the relevant NYUAD Divisional Dean in accordance with the timeline above.

Preparation of the Docket Materials
Each division/program or area may determine, with approval from the NYUAD Provost and relevant NYUAD Divisional Dean, the exact makeup of the reappointment and promotion docket, as appropriate to the specific area or discipline. Normally, dockets should include:

a. A summary of most salient accomplishments in the statutory areas of review, including teaching philosophy, strategies, and goals; scholarship and creative/artistic achievements (if appropriate); administrative responsibilities (if appropriate); and service to NYUAD. (This summary should normally not exceed 2–3 pages in length and in no case shall exceed 5 single spaced pages.) This summary should be accompanied by a copy of the criteria for review as specified in the original letter of employment.

b. A current, up-to-date CV. The CV may be updated as the process continues to reflect changes in academic achievement and accomplishment.

c. Materials that demonstrate teaching effectiveness (e.g., faculty course evaluations, peer observations of teaching, formal assessments of teaching effectiveness, syllabi, lecture notes, assignments or URL, and other relevant documents).

d. Demonstration of service to the NYUAD community (e.g. curriculum development, faculty governance, student mentoring, etc.).

e. Where applicable, a professional portfolio (showing publications, creative productions, performances and professional development) demonstrating significant contributions to the field during the appointment period.

f. Other evidence appropriate to the candidate’s discipline.

g. Candidates are encouraged to include any additional evidence that he or she believes bears on the case for reappointment or promotion, not otherwise identified above.

Faculty Review Committee

a. The NYUAD Divisional Dean, in consultation with the Program Head or the research center director (when applicable), appoints and charges the Faculty Review Committee. For the composition of the committee, please see section 4.

b. Candidates for reappointment or promotion will be notified by the end of the first month of the academic year in the penultimate year of an appointment that they are eligible for review.

c. Candidates will submit materials for review to the NYUAD Divisional Dean prior to the end of the first semester of the penultimate year of the contract (typically by December 1).
d. The NYUAD Divisional Dean forwards the materials for review to the committee, which assesses it based on the review criteria specified in the candidate’s contract and formulates a recommendation for or against reappointment.

e. The committee submits its recommendation to the NYUAD Divisional Dean along with a written explanation of its assessment. A majority vote of the committee is required for recommendation for reappointment. The committee prepares the written recommendation on reappointment, including any minority opinions. One or more members of the committee may prepare the written recommendation but each member of the committee will review and sign it before it is submitted to the relevant NYUAD Divisional Dean.

**NYUAD Divisional Dean**

a. The relevant NYUAD Divisional Dean reviews the recommendation of the Faculty Review Committee and submits his/her recommendation to the NYUAD Provost together with all materials of the docket. The NYUAD Provost may, in turn, seek additional information, and/or internal or external reviews.

b. In formulating his/her decision, the NYUAD Divisional Dean may seek additional information (including, but not necessarily limited to, internal or external letters of review of the candidate’s professional contributions, e.g. student evaluations of teaching, internal letters of review of the candidate’s teaching, and service contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.

c. If the NYUAD Divisional Dean’s decision is contrary to the recommendation of the Faculty Review Committee on reappointment, title, or length of contract, the Dean will provide the committee with reasons for not accepting its recommendation. In case a Dean’s decision not to reappoint the candidate is contrary to the committee’s recommendation, the committee members will have ten business days in which to provide additional feedback to the Dean before the Dean’s decision is finalized and submitted to the NYUAD Provost.

d. If the Dean has any concerns that the candidate is not fulfilling the requirements of the position, these should be clearly outlined in the report submitted to the NYUAD Provost. The Dean must submit a written report to the NYUAD Provost that includes the substance of the review and a recommendation for reappointment, promotion or termination. The Provost conveys his or her decision to the NYUAD Dean. The NYUAD Divisional Dean then conveys the decision to the candidate in writing.

e. The outcome of the review process will be discussed by the NYUAD Divisional Dean with the candidates in person. Any reservations must be shared in writing and in person with the faculty member, who is obliged to acknowledge receipt of this information by countersigning the report on a summary of the report, so that he or she is under no misunderstanding regarding the expectations for him or her.

f. In the case of a negative decision, candidates may avail themselves of the grievance procedures outlined in section 6 (“Grievance Procedures”).

g. Continuing Contract Faculty on a one or two-year contract will be notified of the decision no later than 180 days prior to the expiration date of the appointment and
in the case of reappointment, receive a contract within the next 4 months. Continuing Contract Faculty on a contract of three or more years will be notified no later than the end of the academic year of the penultimate year of the contract (i.e. August 31, in most cases) together with a contract for reappointment or a written notification of non-reappointment.

h. In the event of a decision to reappoint, the Continuing Contract Faculty shall complete the remainder of his/her term and shall be reappointed, normally, for another contract of equal or greater length.

i. In the event of a decision not to reappoint, the Continuing Contract Faculty member shall continue to be under contract until the end of the contract expiry date.

3. FORMAL REVIEW PROCESS FOR PROMOTION

The process for promotion is initiated by the candidate who confirms his/her eligibility with the relevant NYUAD Divisional Dean. The criteria for promotion are set out in each Continuing Contract Faculty’s contract, but typically to merit promotion, a candidate must demonstrate a record of outstanding teaching and service and (if applicable) distinguished professional accomplishments. Years served in previous institutions may be taken into consideration.

a. Assistant / Associate Lecturers may be considered for promotion to the next rank after one term of appointment (of at least 3 years) at rank. Lecturers may be considered for promotion to the next rank after two terms of appointment (of at least 4 years each) at rank. For professorial ranks, faculty at the assistant level may be considered for promotion after two terms of appointment (of at least 3 years each) in rank. Faculty at the associate level may be considered for promotion after one term of appointment (of at least 4 years) in rank.

b. Any faculty member may submit a request for early promotion to the relevant NYUAD Divisional Dean. A promotion ahead of schedule will be granted only under extraordinary circumstances. It is not normally in the best interest of a candidate or of the institution to propose candidates for promotion ahead of schedule.

c. The review process for promotion is the same as the process for reappointment as outlined in section 2 of this document. The Faculty Review Committee will provide an assessment for contract renewal purposes, and in the same letter (if applicable) recommend whether the candidate meets the expectations for promotion.

d. Any negative decision on an application for promotion shall not affect eligibility for the continuation or renewal of an existing contract.

e. Continuing Contract Faculty appointments are normally not convertible to tenure track appointments. In rare cases, and then only with provostial approval, a non-tenure track position may be converted into a tenure track one for which the incumbent is eligible to apply within the search process. In these rare cases, conversion of a non-tenure track position into a tenure track position will not foreshorten an existing contract.
duration as could occur, for example, if the conversion occurred before expiration of
an existing contract and the contractee was not selected for the tenured or tenure track
appointment. However, a Continuing Contract Faculty faculty member must not be
prohibited from applying for and being considered for any tenure track opening that
arises within his or her unit or elsewhere in the University; nor may his or her doing so
be treated with prejudice.

4. COMPOSITION OF FACULTY REVIEW COMMITTEE

   a. The NYUAD Divisional Dean will appoint a Faculty Review Committee of three or
      five faculty members. At least one member of the committee will normally be a
      senior member of the Continuing Contract Faculty. Whenever possible, the majority
      of committee members shall be Continuing Contract Faculty. The committee may
      also include members of the tenured faculty. Finally, the committee may include an
      external member (i.e. a scholar/artist from outside of NYU) who is an expert in the
      field.

   b. In the usual case, the committee for reappointment or promotion shall be composed
      entirely of faculty of greater rank (whether tenured, tenure-track, or Continuing
      Contract Faculty) than the candidate, except in the case of a Full Professor, where all
      committee members need to have the rank of Full Professor. Typically, the majority
      of the committee shall be from the same academic discipline as the candidate.
      Typically, at least one member of the committee must be an NYUAD faculty
      member. Other members may be drawn from faculty at NYU portal campuses in New
      York and Shanghai.

   c. In the review of any particular case, committee members must recuse themselves
      in the case of an apparent or actual conflict of interest.

   d. The committee may seek additional information (including, but not necessarily
      limited to, internal or external letters of review of the candidate’s professional
      contributions). In the event that external letters are solicited, these evaluators should
      not be scholars or artists with whom the candidate has been closely associated, such
      as a thesis advisor, co-author, joint producer, or other close associates.

5. GROUNDS FOR STOPPING THE CONTRACT CLOCK

   The contract clock may be stopped for reasonable cause, e.g. medical, personal, as primary
caregiver for child, spouse, parent, domestic partner, or by contractual stipulation or
negotiation.
6. GRIEVANCE PROCEDURE

For the grievance procedures for a Continuing Contract Faculty member, please see the Appendix I.

7. CONTACTS

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<td>General Inquiries</td>
<td>Faculty HR Affairs Department, NYUAD</td>
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<tr>
<td></td>
<td>+971 2 628 4048</td>
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<tr>
<td></td>
<td><a href="mailto:nyuad.faculty.hr.affairs@nyu.edu">nyuad.faculty.hr.affairs@nyu.edu</a></td>
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</tbody>
</table>
MEMORANDUM

TO: Katherine Fleming
FROM: Eileen Sullivan-Marx
CC: Kris Day
    Carol Morrow

DATE: July 26, 2019

RE: Meyers College of Nursing Appointment, Reappointment, and Promotion Policy of Full-Time Continuing Contract Faculty

I am writing to inform you that the Meyers College of Nursing has voted to approve the attached revised Policies and Procedures for Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty. The document is dated April 14, 2019.

This policy was presented to the faculty at a Meyers College Faculty Council meeting held on May 13, 2019. The required number of faculty voted to establish a quorum and the document as attached was approved by a majority of those voting.

Please note that the revised policy takes into consideration the Faculty Steering Committee (FSC) recommendations, which were incorporated where deemed appropriate. At Meyers College, the document was reviewed and revised by our Faculty Council Steering Committee.

With Provostial approval, Meyers College of Nursing will formally adopt these guidelines.

For your review I am attaching the following documents:


2. Tracked copy AP document which was prepared on June 12, 2019 indicating edits to the March 30, 2019 version; previously reviewed by the T-FSC and C-FSC. Edits were approved by Meyers faculty on May 13, 2019.

3. Meyers College responses to the recommendations of the FSC.
MEMORANDUM

TO: Katherine Fleming
FROM: Eileen Sullivan-Marx
CC: Kris Day
    Carol Morrow

DATE: July 26, 2019

RE: Response to Recommendations of the NYU T-FSC and C-FSC from Rory Meyers College of Nursing regarding Policies and Procedures for Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty

We appreciate the time and effort on the part of the T-FSC and C-FSC faculty members of the NYU University Senate in reviewing and recommending edits to the NYU Rory Meyers College of Nursing Policies and Procedures for Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty. As a professional health school and in accordance with the Faculty Handbook, we aim to meet the spirit and values reflected in the NYU guidelines in this policy while acknowledging those particular situations that are unique to the nursing profession and mandated by external accrediting bodies.

The FSC recommendations have been reviewed at NYU Meyers by the Chair of the Appointment and Promotion Committee, the Assistant Dean for Clinical and Adjunct Faculty Affairs, and the Dean. Below find are our responses to the suggested recommendations of the T-FSC and C-FSC committees. (The recommendations appear in bold and our responses appear in italics). The final document, which incorporated the FSC recommendations when deemed appropriate, was presented to and approved by the full Meyers faculty on May 13, 2019.

1. Add a description of the faculty voting process for the approval of this document.
This document was presented to the faculty at a Dean with Faculty Meeting on Monday, May 13, 2019 where a vote was taken to approve the final draft version. The document was approved by a majority of those attending. (A quorum had been established).

The NYU Rory Meyers College of Nursing takes pride in its faculty governance structure which includes representative members of tenure track, tenured, and continuing contract faculty on both our Faculty Council and Faculty Council Steering Committee. Any subsequent amendments to this document must first be approved by NYU Meyers Faculty Council with final approval to be provided by the NYU Provost.

2. Page 2. Appointment as a Member of the Faculty.
We recommend including research (which is not required but could be considered) in the evaluation of CCF.
We are using the term “scholarship” rather than “research”. Scholarship is a much broader term than research and is one of several factors used in the evaluation of CCF in all reappointment and promotion reviews.
3. Page 2. Appointment as a Member of the Faculty.
We recommend the inclusion of a section that describes faculty participation in shared governance.
See response to number 1, we have included this.

4. Page 3. Appointment as a Member of the Faculty.
Clarify the Meyers policy for supporting “publications or presentations at scholarly meetings.”
Meyers has an extensive, funded and formal mentorship program for all faculty that provides support and guidance in the areas of teaching, scholarship, and service. All faculty members are provided with funds to promote and advance their scholarship activities. Additionally, all Meyers full time faculty T/TTF and CCF faculty, are provided with a weekly allotment of time for scholarship activities which is separate from classroom preparation and other activities.

5. Page 3. Section II. Appointment as a Member of the Faculty.
We recommend that a statement of hiring practices be included. Transparency is needed.
We have added a description of the Meyers faculty search and appointment process. Recruitment of faculty begins with the Meyers Faculty Council Search Committee which is an elected body of the Meyers Faculty Council and is comprised of both T/TTF and CCF faculty, and includes a member of both the Faculty Council’s AP and APT committees. The Faculty Council Search Committee is responsible for making recommendations to the Dean regarding potential faculty hires. Meyers’ Executive Vice Dean and Assistant Dean for Clinical and Adjunct Faculty Affairs sit on the Search Committee as ex officio members with a T/TTF faculty and a CCF faculty serving as co-chairs. The Search Committee is charged with making all hiring recommendations to the Dean. The Dean and Executive Vice Dean follow up with the candidate in accordance with our Faculty Council Bylaws, the policies and procedures as outlined in the University Handbook, and Meyers APT and AP guidelines.

We recommend adding here or in Appendix a time line for reappointment processes, including reappointment evaluation and notification of contract renewal or termination.
We will add an appendix describing our timeline.

Clarify the distinction between titles as reflected in the duration of contracts. An appointment of at least five years is the norm for a Clinical Associate Professor, with an increase in term of appointment for Clinical Professor.
The length of contracts for Meyers continuing contract faculty were fully vetted and approved by the T/TTF and CCF faculty and Meyers administrative leadership. These terms work well for the faculty in all ranks and are consistent with those found at peer health professional schools. As outlined in the guidelines, Clinical Assistant/Associate titles are appointed for 3-years, and Clinical Professor titles are appointed for 5-years.

We recommend that paragraph three address reappointment only and be reworded as follows.
“Reappointment will be contingent upon the faculty candidate demonstrating excellence in teaching, scholarship, and/or service at NYU Meyers or clinical care at affiliated or other
The policy should also indicate that curricular or programmatic need does not automatically warrant a denial of reappointment. Instead the denial should have a rational basis, and it should include a process for determining whether the professor can or cannot teach under the new curriculum or structure. We recommend adding the following language to the end of paragraph 3:

“In such event, the review would focus on whether the faculty member would be able to teach in the revised curriculum and/or new academic structure and, if so, in what capacity.”

We have revised and added the following language to the document:

“A faculty member’s eligibility to be considered for reappointment does not create a presumption in favor of reappointment, even if the faculty member has met or exceeded the expectations set out in the contract. Any review for reappointment and promotion shall consider major curricular and structural changes (e.g. termination of a program) and/or improvements in academic programs, even in those cases in which a candidate satisfies the appropriate standards of achievement for reappointment or promotion. Major curricular or structural changes however, do not automatically warrant a denial of reappointment. In the case of such changes, the review considers whether the faculty member is able to teach in the revised curriculum or new academic structure and, if so, in what capacity.”

9. Page 3. General Criteria for Appointment, Reappointment, and Promotion, paragraph 3. We recommend that termination of a contract include the specific timeframe in which notification must be given, as specified in the Handbook on pages 55-56. We suggest the following language:

Notice of intention not to reappoint a Clinical Faculty member of any rank shall be sent to the individual affected according to the following schedule:

(a) Not later than March 1 of the first year of academic service, if the appointment is to be terminated on August 31.

(b) Not later than August 31 of the penultimate year, if the appointment is to be terminated on the following August 31, or not later than one year before the termination of the appointment.

We have added a timeline as an appendix to the document which outlines the annual review process for all appointments, reappointments, and promotions. Reappointment after the completion of a successful review process must be at the same rank (except in cases of promotion) with consistency in title and will typically be at least for the same duration as the previous contract length. In the case of a negative review, the final year of the contract will become the terminal year of appointment.

In accordance with University Bylaws, Section 87(b), Contracts and Titles, appointments automatically terminate at the time stipulated in the contract, unless there is an official notice of renewal from the Executive Vice Dean or Dean of NYU Meyers.
   We recommend deleting because the substance of this paragraph has already been
   addressed in II. Appointment as a Member of the Faculty, paragraph 2.
   
   Agreed.

   Since Continuing Contract faculty are exclusively non-tenured, add language describing
   non-tenured faculty expectations. We recommend the following edit and addition:
   “Continuing Contract faculty lines differ from tenure-track lines. Although continuing
   contract lines are without tenure, they are typically multiyear. Clinical faculty will have no
   limit on the number of reappointments at each rank.”
   
   Agreed.

   We recommend adding a description of the circumstances in which CCF faculty may apply
   for a vacant TT position, detailed in NYU CCF guidelines 2014.
   
   We have added the following language to the guidelines:
   “Continuing Contract Faculty appointments are not normally convertible to tenure track
   appointments. In rare cases, and then only with the approval of the NYU Provost, a non-tenure
   track position may be converted into a tenure track one for which the incumbent is eligible to
   apply within the search process. In these rare cases, conversion of a non-tenure track position
   into a tenure track position will not foreshorten an existing contract duration as could occur, for
   example, if the conversion occurred before expiration of an existing contract and the contractee
   was not selected for the tenured or tenure track appointment. However, a Continuing Contract
   Faculty member must not be prohibited from applying for and being considered for any tenure
   track opening that arises within his or her school or elsewhere in the University; nor may any
   school policy treat his or her doing so with prejudice. In an open and competitive search for a
   tenure track position, if a Continuing Contract Faculty member successfully obtains a tenure-
   track position, this faculty member may not hold a Continuing Contract Faculty position at NYU
   Meyers at any time in the future”.

13. Page 5. Other faculty titles
   Recommendation: Consider the development of a “clinical ladder for advancement.”
   
   NYU Meyers does provide a three-rank clinical title, with opportunities for promotion.

   Change duration of contracts. An appointment of at least five years is the norm for
   Clinical Associate Professor.
   
   As stated in recommendation response to number 7, we will keep the clinical associate professor
   appointment at three years, renewable. This has the approval of our faculty and is aligned with
   practice at peer schools of nursing.

   Change duration of contracts. An appointment of at least six years is the norm for Clinical
   Professor.
   
   As stated in recommendation response to number 7, we will maintain the clinical professor
   appointment at the current five years, which is renewable. This has the approval of our faculty
   and is aligned with practice at peer schools of nursing.
   To prevent the establishment of a permanent group of continuing contract faculty on one-
   year appointments, add language allowing for a transition to an appointment of at least
   three years for faculty on one-year appointments who successfully complete a formal
   review.
   National accreditation standards for faculty in schools of nursing require a doctoral degree for
   a faculty title with teaching, service, and scholarship expectations. The clinical instructor
   appointment at Meyers is intended for those who do not have a doctoral degree or those whose
careers are not directed toward either a T/TTF or CCF faculty track. We typically only hire a
few clinical instructors to fill specific teaching needs. Clinical instructors are evaluated on a
year-by-year basis and we provide mentoring to assist in the development of their careers.

   Contract Faculty.
   Add language regarding the process and timetable. We recommend language similar to:
   “The faculty member shall receive notification that they are up for review no later than the
   first week of the academic year in the penultimate year of their appointment.”
   We have added a timeline as an appendix. We have also included the following language to the
document:
   “The review process for reappointment commences when a candidate for reappointment submits
   his or her docket for review to the EVD in accordance with the above timeline (to be created for
   each academic year).

   “The process for promotion is initiated by the candidate who confirms his/her eligibility with the
   Office of the EVD. The candidate should make a formal request to the EVD. Candidates can
   apply for promotion in the year prior to the third or sixth year review, or during an existing
   contract period. Review for promotion shall consider curricular or structural changes and
   improvements in academic programs”.

   We recommend incorporating part of paragraph 3 into paragraph 2 after sentence 3 using
   this language to reflect the communication process
   Agreed. The document has been revised as recommended.

   We have retained the original language, see response for numbers 8 and 9.

   The duration of contracts as noted in response 7 will remain.

   Specify “teaching portfolio” to include a range of factors that can be considered for
   promotion. We recommend deleting “that includes student and peer evaluation” from item
   (c) and inserting the following language at the end of sentence 1: “The teaching portfolio
   may include course materials (e.g. syllabi, lecture notes, assignments), course development
   and innovation, instructor development, collegial observations, self-presentation, samples
   of student writing, evidence of continuing influence upon students, examples of learning
   beyond the classroom, student evaluations, etc. For faculty whose responsibilities also
include administration, greater weight will be given to performance in this area in reviews for reappointment or promotion.”

We have added language to describe the teaching portfolio as recommended. We have retained student and peer evaluation as these are standard assessments of faculty required by our accreditation process.

We have declined to add language stating that we will give greater weight for administration responsibility performance for those faculty with administrative responsibilities. Administrative responsibilities at NYU Meyers represent a percentage of overall faculty effort and are compensated with an additional stipend. Administrative performance is evaluated separately by the dean as part of the annual faculty review and reappointment process. Administrative service is viewed as a component of service and leadership.

22. Page 8. Standards for Promotion to Clinical Professor, paragraph 2, between sentences 4 and 5.

Add language detailing the process governing the creation of the AP/CCF Committee’s recommendation. We recommend inserting the following language after sentence 4: “The recommendation may be written by one or more members of Meyer’s five member AP/CCF Committee, but all members of the committee should read the recommendation before it is submitted to the Dean. The recommendation should represent a collective judgement of the committee or, in the case of a divided opinion, a majority of the committee. If there is a division of opinion, the minority opinion should be appended to the majority recommendation.”

We have accepted this recommendation.

23. Page 8. Standards for Promotion to Clinical Professor, add paragraph 3.

Add language about communicating the results of the reappointment or promotion recommendation to the faculty member as well as procedures to be followed. We recommend adding a third paragraph to this section of the policy.

We believe that there is a misunderstanding in this recommendation as it does not reflect any language that we currently have in the document. The Executive Vice Dean is only responsible for supplying the AP committee with the necessary summary and documents needed for review in accordance with the reappointment and promotion timeline. The Executive Vice Dean does not make recommendations.

All recommendations from the AP Committee go to the Dean not the Executive Vice Dean. We decline to give the candidate access to the full AP report of the committee as this document is discussed in confidence among colleagues as part of the review. This is also the policy that we follow for tenure track faculty as well. Keeping the dossier and notes within the committee is standard among all schools of nursing. We have included language related to the formal grievance process in the final document.


Add language allowing for a transition from one-year to three-year appointments to the end of this paragraph, such as: “A Clinical Instructor on continuous one-year appointment shall move to a three-year appointment if promoted to Clinical Assistant Professor.”

As noted in response 16, meeting the qualifications for a Clinical Instructor title does not qualify the candidate to be appointed to a Clinical rank.
Add language similar to the following at the end of this paragraph: “In all cases of an appeal of a negative decision related to reappointment or promotion by the Executive Vice Dean, the candidate will have access to the Meyer’s AP/CCF Committee’s full report, including its recommendations and any comments from the faculty.”
In the case of all grievances, attempts shall be made to settle the dispute by informal discussions: and that if the grievance is not settled informally at a level below the Dean, or by the Dean, the faculty member may appeal to the Dean to convene the Grievance Committee of the school or faculty. (The Executive Vice Dean is not part of the grievance procedure). The Grievance Committee is advisory to the Dean and they will review the evidence and make a recommendation to the Dean. The report is confidential and is not to be shared with the grievant. If the grievant wishes, they can follow the procedures specified in the NYU Faculty Handbook to appeal the Dean’s decision to the Provost.

Add “in writing” to the end of sentence 5, then add language to further clarify procedures before sentence 6, such as: “If the committee’s report is accepted by both the grievant and the Executive Vice Dean, the matter shall be considered settled. However, if the Executive Vice Dean shall deny any findings of fact, or refuse to implement suggestions by the committee made as a part of the committee’s recommendations on the disposition of a case, the Dean is required to reply in writing giving in detail his reasons. This memorandum must be sent both to the grievant and to the committee along with the procedure for appeal.”
As noted above, the Executive Vice Dean is not involved in grievance proceedings. The Dean who receives the report, and as noted in response 25, the report is advisory to the Dean. The report is confidential and it is not shared with the candidate. The Meyers grievance procedures are described within the guidelines and provide that the Dean shall decide the case and notify the grievant and the grievance committee of the decision, together with reasons therefore, and information on the procedure for appeal.

As recommended we have deleted the word clinical and have consistently used the term ‘scholarship’ throughout the document.

For purposes of clarity, we recommend deleting the last phrase “and its affiliated clinical facilities and hospitals.” The sentence should read, “The rank of Clinical Professor may be granted to those members of the faculty who have served in a position that includes in its title Associate Professor or its equivalent at NYU or other institutions and who fulfill leadership service roles in NYU Meyers.”
We accepted the deletion of “and its affiliated clinical facilities and hospitals”. We did not accept the recommendation to add “and who fulfill leadership service roles in NYU Meyers”. The latter additional phrase is not consistent with the expectation of faculty for rank appointment or promotion. Leadership roles are addressed as a separate assignment and are evaluated by the Dean. This is consistent with peer schools of nursing. Those persons who have administrative leadership roles and who are faculty are evaluated separately for their faculty role and their administrative leadership role.
29–36. We accept all of these recommendations and will edit as stated.
July 29, 2019

MEMORANDUM

To: Eileen M. Sullivan-Marx, Dean, Rory Meyers College of Nursing
    Nicholas Economides, Chair, T-FSC
    Larry Slater, Chair, C-FSC

From: Katherine E. Fleming, Provost

CC: Thomas Freedman, Administrative Manager, Meyers College of Nursing
    Carol Morrow, Vice Provost
    Peter Gonzalez, Associate Provost, Faculty Appointments
    Karyn Ridder, Manager of Faculty Governance

Subject: Meyers Policies and Procedures for the Appointment, Reappointment and Promotion of Continuing Contract Faculty

I write to formally conclude the iterative process to establish the Meyers Continuing Contract Faculty policy.

The final steps of this process involved a review of the recommendations of the T-FSC and the C-FSC on earlier drafts of the policy. In considering these recommendations, Meyers undertook an extended consultative process that is described in the attached memo from Dean Sullivan-Marx. My office also reviewed these recommendations with reference to University policies and the Faculty Handbook, keeping in mind that the Handbook provides general principles while leaving schools the flexibility to develop policies that are consistent with their culture, history, and organization. That process has now been completed and FSC recommendations have been incorporated as appropriate into the final documents.

I am attaching the titled Meyers Policies and Procedures for Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty. This policy is effective as of August 10, 2019 and Meyers will post the policy on its website. In addition to the clean copy of this policy, I am also attaching a copy that tracks changes to the earlier draft, and the Meyers responses to the FSC recommendations.

Sincere thanks to Dean Sullivan-Marx and to the Meyers faculty for all your efforts in developing these guidelines. Thank you to the T-FSC and the C-FSC for your thoughtful review of the Meyers policy, which your recommendations have helped to strengthen.

Enclosed
1. Transmittal memo from Dean Sullivan-Marx to Provost Fleming
2. Appointment & Promotion policy for Continuing Contract Faculty (clean copy).
3. Appointment & Promotion policy for Continuing Contract Faculty (tracked copy)
4. Meyers College responses to the recommendations of the FSC
Dated April 14, 2019 with faculty vote taken on May 13, 2019. Document was approved by faculty.

NYU

Rory Meyers College of Nursing

Policies and Procedures for
Appointment, Reappointment, and Promotion of Full-Time
Continuing Contract Faculty
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INTRODUCTION

Full-time Continuing Clinical Contract Faculty (Continuing Contract Faculty) represent a distinct and vital part of the academic community of the New York University Rory Meyers College of Nursing (NYU Meyers) and contribute significantly to its academic mission. These guidelines set forth the principles and procedures for appointments, reappointments and promotion of Continuing Contract Faculty at NYU Meyers.

The purpose of these policies and procedures is to map out the review principles and processes for Continuing Contract Faculty at NYU Meyers. They are designed to support standards of academic excellence and aim to provide a comprehensive and fair review of the candidates.

These guidelines shall apply to all appointments, reappointments, and promotion henceforth, including reappointment and promotion review for existing contracts and new appointments.

These policies and procedures supplement New York University (NYU) policies applicable to Full-time Continuing Contract Faculty as outlined in the NYU Faculty Handbook. If any part of these guidelines is inconsistent with NYU policies, the NYU policies then in effect will control.

Future Amendments

The Provost of NYU, following consultation with the NYU Meyers Faculty Council, must approve any amendments to these guidelines. As with all NYU Meyers policies, the Guidelines, or any provision hereof, are subject to change and the policies in effect at the time of an action will apply to that action.

Scope

These guidelines apply to all NYU Meyers Continuing Contract Faculty including the following:

Ranked Titles

- **Clinical Assistant Professor**
  The rank of Clinical Assistant Professor may be granted to those who have earned a doctoral degree appropriate to their field, have appropriate clinical experience, have demonstrated competence in their practice discipline, and have demonstrated effective teaching and scholarship. Clinical Assistant Professors are expected to show promise of continuing development with clear evidence of future potential to significantly advance in their field.

- **Clinical Associate Professor**
  The rank of Clinical Associate Professor may be granted to those members of the faculty who have served as Assistant or Associate Professors at NYU or elsewhere, who have demonstrated excellence in their clinical discipline and teaching activities, have made scholarly contributions to higher education and the profession and who
have earned a strong local and regional reputation. They also have fulfilled important
service responsibilities at NYU Meyers and/or its affiliated clinical facilities.

- **Clinical Professor**
  The rank of Clinical Professor may be granted to those members of the faculty who have
  served in a position that includes in its title “Associate Professor” or its equivalent at NYU
  or other institutions and who fulfill leadership service roles in NYU Meyers. In addition,
  faculty members with this rank will be expected to have earned a strong national (and
  may have in addition an international) reputation through their scholarship.

**Non-Ranked Titles**

- **Clinical Instructor**
  The Clinical Instructor title is awarded to individuals who do not have an earned doctoral
degree and/or whose career paths are directed neither towards tenure track nor ranked
Continuing Contract Faculty track. The primary responsibility of the Clinical Instructor is
to teach. Appointment as a Clinical Instructor carries with it the possibility of annual
and/or multi-year reappointment, and eligibility to apply for promotion to Clinical
Assistant Professor.

**Rights and Responsibilities**

The responsibilities of the Continuing Contract Faculty at NYU Meyers include among others: teaching
assignments, student advisement, program and committee responsibilities, scholarship, and avoidance of
conflicts of interest.

The rights and privileges of NYU Meyers Continuing Contract Faculty are governed by the NYU Faculty
Handbook and the NYU Meyers Faculty Governance Guidelines. They include, among others, academic
freedom, leaves of absence and serving as Principal Investigator on sponsored programs, in accordance
with University policy.

**Participation in NYU Meyers Governance**

Other than eligibility for tenure and participation in tenure decisions or those otherwise set aside by
University Bylaws as falling within the exclusive domain of tenured and tenure track faculty, Continuing
Contract Faculty enjoy the same rights and responsibilities as tenured and tenure-track faculty members
in the governance of NYU Meyers and in the academic divisions in which they teach. Continuing Contract
Faculty participate fully in faculty governance on the NYU Meyers Faculty Council and the NYU Meyers
Faculty Council Steering Committee, and are eligible to serve on the University Continuing Contract
Faculty Senators Council.

Voting rights at NYU Meyers are extended to Continuing Contract Faculty in accordance with the guiding
principles of the NYU Faculty Handbook and the NYU Meyers Faculty Council. Additionally, in accordance
with the University Bylaws, Section 82 (c), *Faculty Membership, College and School Governance*,
Continuing Contract Faculty may hold their own faculty meetings and may grant rights of attendance and
voting privileges to other categories of faculty of NYU Meyers.

REVIEW PRINCIPLES

These Guidelines regarding Continuing Contract Faculty shall apply to all appointments, reappointments and promotions, subject to the terms of employment between the faculty member and NYU Meyers.

Authorization

Appointment, reappointment and promotion as (Clinical Assistant / Associate/ Full) Professor requires a formal process that includes a review and recommendation by the NYU Meyers Appointments and Promotion (AP) Committee, and a final decision by the Dean of NYU Meyers. The NYU Meyers AP Committee is a standing and independent committee of NYU Meyers responsible for reviewing credentials and making recommendations to the Dean of all appointments, reappointments and promotions for Continuing Contract Faculty.

NYU Meyers Appointments and Promotions Committee

NYU Meyers Continuing Contract Faculty shall elect five clinical faculty (3 Professors and 2 Associate Professors or higher) to recommend to the Dean for NYU Meyers AP Committee membership. Membership is for a two (2) year term with overlap so that only a minority percentage of the NYU Meyers AP Committee members terminate their appointment period in any one year ensuring continuity in Committee membership. Members may be reelected for up to a total of two (2) consecutive terms. If a faculty member has served on the committee for a total of six (6) years, they may not be on the ballot the year immediately after the sixth-year of their term. Unexpected vacancies on the NYU Meyers AP Committee will be appointed by the Dean for the duration of the vacated term of appointment.

The NYU Meyers AP Committee is responsible for making appointment and promotion recommendations to the Dean for faculty at the rank of Clinical Assistant Professor or Clinical Associate Professor. Voting on faculty seeking appointment or promotion to the rank of Clinical Professor is limited to Clinical Professors at NYU Meyers; they do not have to be members of the NYU Meyers AP Committee.

Following the review of a candidate’s appointment or promotion materials, the NYU Meyers AP Committee shall relay their recommendation to the Dean in the form of a narrative summary of the candidate’s strengths and weaknesses. In addition to this narrative summary, materials forwarded to the Dean should also include the following:

a. candidate’s up-to-date CV;
b. three (3) or five (5) candidate-selected publications depending on the rank being sought;
c. description of the candidate’s achievements and future academic plans;
d. a teaching portfolio documenting participation and effectiveness in teaching; and,
e. for all candidates for promotion, external letters of reference as is addressed below.
If for any reason, the NYU Meyers AP Committee does not believe that it has adequate expertise to review a candidate, members will consult with the Dean on the appointment of an ad hoc advisory group of two Continuing Contract Faculty members with the requisite expertise needed to review the candidate in question. These two faculty members will participate in all subsequent discussions of this candidate and have voting rights as ad hoc members of the NYU Meyers AP Committee.

Criteria for Review

All contracts must include a clear statement of the criteria for each scheduled review for reappointment and/or promotion.

Guiding criteria for the formal review may include, without limitation:

1) commitment to excellence in teaching as evidenced by for example, syllabi and other course materials, course/program development and innovation, instructor development, classroom observations, reports from program directors, self-presentation, samples of student works, evidence of learning beyond the classroom and student evaluations;
2) scholarship, including, but not limited to training grants, clinical projects, publications, and innovative instructional products;
3) student advising and mentoring;
4) service, including, but not limited to, service to the University community and within and to one's profession; and
5) additional academic roles and administrative responsibilities that contribute to NYU Meyers or NYU’s educational, research, and service missions.

The expectations for achievement in teaching (based on contractually assigned teaching load/course equivalencies), service, and (if applicable) scholarly activity, in order to achieve reappointment or promotion must be set out clearly in each individual contract.

The career pathway for Continuing Contract Faculty must be specified in the initial contract or any subsequent reappointment. Faculty may choose whether to be evaluated for promotion or reappointment at the same rank. Candidates who apply for promotion and are unsuccessful will still be eligible for reappointment at the same rank. The relevant criteria for promotion or reappointment are to be specified in the original letter of appointment.

Renewal of Contracts

Continuing Contract Faculty shall be subject to formal review. Faculty on multi-year appointments shall be reviewed in the penultimate year of appointment (the year prior to contract end).

A faculty member’s eligibility to be considered for reappointment does not create a presumption in favor of reappointment, even if the faculty member has met or exceeded the expectations set out in the contract. Any review for reappointment and promotion shall consider major curricular and structural changes (e.g. termination of a program) and/or improvements in academic programs, even in those cases in which a candidate satisfies the appropriate standards of achievement for reappointment or promotion.
Major curricular or structural changes however, do not automatically warrant a denial of reappointment. In the case of such changes, the review considers whether the faculty member is able to teach in the revised curriculum or new academic structure and, if so, in what capacity.

Terms of Appointment

Initial appointment for all titles is for a duration of one (1) year. Initial hires at any level will follow the same process upon the recommendation of the respective Faculty Council Search Committee. (Recruitment of faculty begins with the NYU Meyers Faculty Council Search Committee, an elected body of the NYU Meyers Faculty Council, who make recommendations to the Dean regarding potential faculty hires).

After the initial year, reappointments are made as follows:

- **Clinical Assistant/Associate titles are appointed for three (3) years.**
  - Initial new hire appointment as a Clinical Assistant or Associate Professor is for one (1) academic year. Thereafter, the faculty member is eligible for a three (3)-year renewable reappointment.

- **Clinical Professor titles are appointed for five (5) years.**
  - Initial new hire appointment as a Clinical Professor is for one (1) academic year. Thereafter, the faculty member is eligible for a five (5) year renewable reappointment. Faculty promoted from Clinical Associate Professor to Clinical Professor are eligible for a five (5) year renewable reappointment.

Reappointment after the completion of a successful review process must be at the same rank (except in cases of promotion) with consistency in title and will typically be at least for the same duration as the previous contract length. In the case of a negative review, the final year of the contract will become the terminal year of appointment.

In accordance with University Bylaws, Section 87(b), Contracts and Titles, appointments automatically terminate at the time stipulated in the contract, unless there is an official notice of renewal from the Executive Vice Dean or Dean of NYU Meyers.

Preparation of the Docket Materials

The Dean shall determine the exact makeup of the reappointment and/or promotion docket. Normally, docket should include:

a. A summary of the most salient accomplishments in the statutory areas of review, including teaching philosophy, strategies, and goals; scholarship; administrative responsibilities; and service to NYU Meyers. (This summary should normally not exceed 2-3 pages in length and in no case shall exceed 5 single-spaced pages.) This summary should be accompanied by a copy of the criteria for review as specified in the original letter of employment.
b. A current, up-to-date CV. The CV may be updated as the process continues to reflect changes in academic achievement and accomplishment.

c. Materials that demonstrate teaching effectiveness (e.g. faculty course evaluations, peer observations of teaching, formal assessments of teaching effectiveness, syllabi, lecture notes, assignments or URL, and other relevant documents).

d. Demonstration of service to the NYU Meyers community (e.g. curriculum development, faculty governance, student mentoring, etc.).

e. Where applicable, a professional portfolio (e.g. showing publications, professional development, etc.) demonstrating significant contributions to the field during the appointment period.

f. Other evidence appropriate to the candidate’s discipline.

g. Candidates are encouraged to include any additional evidence that he or she believes bears on the case for reappointment or promotion, not otherwise identified above.

h. As noted above, Continuing Contract Faculty who are applying for promotion will need external letters of reference. Details regarding this process can be found below in those sections outlining “Promotion from Clinical Assistant to Clinical Associate Professor” and “Promotion from Clinical Associate to Clinical Professor.”

**Definition of Scholarship**

Scholarship can be defined as those activities that systematically advance teaching, research, and practice through rigorous inquiry that: 1) is significant to the nursing and/or health related professions, 2) is creative, 3) can be documented, 4) can be replicated or elaborated, and 5) can be peer-reviewed through various methods.\(^1\) Further, scholarship covers the domains of discovery (where new and unique knowledge is generated and/or expanded), teaching (where the faculty creatively builds bridges between his or her own understanding and the students’ learning), application (where the emphasis is on translating knowledge, and improving and transforming healthcare delivery and patient outcomes), and integration (where knowledge is viewed in new ways and new relationships among disciplines are discovered).\(^2\) While the discovery of new knowledge is not a primary responsibility of Continuing Contract Faculty, teaching, application, and integration are integral components of their roles in academic schools of nursing.

Time for scholarship is provided for all Continuing Contract Faculty as required by national and state accrediting bodies for schools of nursing. Formal and extensive development for teaching, scholarship, and service at NYU Meyers is organized through the NYU Meyers Faculty Development Academy and is available for all faculty including Continuing Contract Faculty.

**Notification**

For Continuing Contract Faculty on a contract of three or more years (both on an initial or subsequent three- or more year-contract), the review process for reappointment will take place in the final semester.

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of the penultimate year of the contract. The faculty member will be notified as to reappointment by no later than the end of the academic year of the penultimate year of the contract (i.e., August 31 in most cases), allowing the faculty 1 (one) year to plan transition during the final year of the contract. In connection with formal reviews for reappointment and promotion, NYU Meyers will make available to all faculty in print and/or on the faculty portal:

i. Statement of the academic criteria in the areas of teaching, program and/or curriculum and course development, scholarship, and program and school service that will guide the AP Committee’s evaluation.
ii. State of the criteria of assessment in effect at the time.
iii. Calendar for reviews and communication to faculty members that accords fair and timely notice of a review and of its outcome in writing, as well as adequate notice to faculty to pursue alternative employment in the event of a negative decision.

Professional Activity Form (PAF)

In addition to reviews at the time of potential reappointment, Continuing Contract Faculty on a contract greater than one-year must submit an annual activity report referred to as Professional Activity Form (PAF) to the Office of the Executive Vice Dean (EVD). (The PAF is a document that serves as a faculty generated list of activities in each prior year that informs an annual discussion between faculty and the EVD for purposes of goal setting, mentoring, annual planning of teaching assignments, and recognition of accomplishments).

FORMAL REVIEW PROCESS FOR REAPPOINTMENT

The review process for reappointment commences when a candidate for reappointment submits his or her docket for review to the EVD in accordance with the above timeline (to be created for each academic year).

Reappointment is based on departmental criteria of overall performance in their role as clinical faculty. This includes a commitment to excellence in teaching and maintaining a degree of scholarship, service, and/or clinical care. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint or promote may be dictated by curricular and structural changes in academic programs at NYU Meyers and the University. In these situations, the basis for non-reappointment will be clearly stated in the notice given to the faculty member.

The NYU Meyers AP Committee will conduct a formal review of the dockets for each Clinical Assistant and Clinical Associate Professor in the year prior to the third and sixth years of his or her appointment, to coincide with the 3-year contract term. A formal review of the dockets for each Clinical Professor will occur to coincide with the 5-year contract term. The faculty member shall receive notification of the review process no later than the first week of the academic year in the penultimate year of their appointment.

The EVD of NYU Meyers will inform the faculty member and the NYU Meyers AP Committee of the schedule for these reviews at the beginning of the second and fifth years for all candidates. In addition to
providing a schedule of reviews, the EVD will also provide the NYU Meyers AP Committee with a written review of the faculty candidate. This review will include a summary description of the academic responsibilities and contributions of the faculty member at NYU Meyers. The NYU Meyers AP Committee is responsible for reviewing and making reappointment recommendations to the Dean.

FORMAL REVIEW PROCESS FOR PROMOTION

The process for promotion is initiated by the candidate who confirms his/her eligibility with the Office of the EVD. The candidate should make a formal request to the EVD. Candidates can apply for promotion in the year prior to the third or sixth year review, or during an existing contract period. Review for promotion shall consider curricular or structural changes and improvements in academic programs.

Ranked Continuing Contract Faculty candidates for promotion should submit their docket (as outlined above) to the NYU Meyers AP Committee. In addition to other materials submitted, the docket should contain the following:

a. an application for promotion;
b. an up-to-date CV;
c. a teaching portfolio that includes student and peer evaluations, as well as, relevant course materials;
d. a personal statement;
e. three (3) representative published papers for promotion from Clinical Assistant to Clinical Associate or five (5) representative published papers for promotion from Clinical Associate to Clinical Professor; and
f. external letters of reference as outlined in the following 2 sections.

The review process for promotion is the same as the process for reappointment as outlined above. The NYU Meyers AP Committee will provide an assessment for contract renewal purposes, and in the same letter (if applicable) recommend whether the candidate meets the expectations for promotion.

Ranked Continuing Contract Faculty

Promotion from Clinical Assistant to Clinical Associate Professor

In consultation with the EVD, the candidate may be asked to suggest the names of five (5) potential external referees. The EVD, in consultation with the chair of the NYU Meyers College AP Committee, will obtain letters from at least three (3) external referees from institutions on par with NYU. These referees may or may not be the referees as suggested by the candidate. The candidate is expected to demonstrate evidence of increased and excellent contributions in the areas of teaching, service and scholarship through publications and presentations at the regional and national level.

Promotion from Clinical Associate Professor to Clinical Professor

In consultation with the EVD, the candidate may be asked to provide the names of seven (7) potential external referees who can provide letters of evaluation attesting to the candidate’s national and
international (if applicable) reputation in a specific area of nursing. The EVD, in consultation with the chair of the NYU Meyers College AP Committee, will obtain letters from at least five (5) external referees from institutions on par with NYU. These referees may or may not be the referees as suggested by the candidate. The candidate is expected to demonstrate sustained excellence and significant contributions in the areas of teaching, service, and scholarship through presentations and publications with an emphasis on leadership in the field, and a focused area of recognition.

Non-Ranked Continuing Contract Faculty

Continuing Contract Faculty who have the title Clinical Instructor may apply to be considered for promotion to Clinical Assistant Professor. The faculty candidate should consult with the EVD and Chair of the NYU Meyers AP Committee as to procedure. In order to be eligible for promotion to the rank of clinical assistant professor, the candidate should have earned a doctoral degree appropriate to their field, have evidence of effective teaching and scholarship, and show promise of continuing development with clear evidence of future potential in their field. The faculty candidate will be asked to provide a letter of recommendation from the NYU Meyers Director of Undergraduate Program or the Senior Associate Dean for Academic Programs. The NYU Meyers AP Committee will review materials submitted for promotion and submit vote results along with their recommendation to the EVD who will make the final decision.

TRANSFER BETWEEN CONTINUING CONTRACT FACULTY AND TENURED OR TENURE TRACK APPOINTMENTS

Continuing Contract Faculty appointments are not normally convertible to tenure track appointments. In rare cases, and then only with the approval of the NYU Provost, a non-tenure track position may be converted into a tenure track one for which the incumbent is eligible to apply within the search process. In these rare cases, conversion of a non-tenure track position into a tenure track position will not foreshorten an existing contract duration as could occur, for example, if the conversion occurred before expiration of an existing contract and the contractee was not selected for the tenured or tenure track appointment. However, a Continuing Contract Faculty member must not be prohibited from applying for and being considered for any tenure track opening that arises within his or her school or elsewhere in the University; nor may any school policy treat his or her doing so with prejudice. In an open and competitive search for a tenure track position, if a Continuing Contract Faculty member successfully obtains a tenure-track position, this faculty member may not hold a Continuing Contract Faculty position at NYU Meyers at any time in the future.

GRIEVANCE PROCEDURES FOR CONTINUING CONTRACT FACULTY

Continuing Contract Faculty can seek redress for a grievance with respect to appointment, reappointment, and promotion through the grievance procedures of NYU Meyers that are stated in the Essential Bylaws of Faculty Governance on the NYU Meyers Intranet. A grievant must be a faculty member at NYU Meyers when he or she initiates a grievance.

Grievances of the faculty can be submitted only on the basis of process, on the grounds: a) That the procedure used to reach the decision was improper, or that the case received inadequate consideration;
b) That the decisions violated the academic freedom of the person in question, in which case the burden of proof is on that person.

In the case of all grievances, attempts shall be made to settle the dispute by informal discussions; and that if the grievance is not settled informally at a level below the dean, or by the Dean, the faculty member may appeal to the Dean to convoke the Grievance Committee of the school or faculty. The Dean shall do so within 15 working days.

The Grievance Committee shall be constituted of five (5) full time faculty members elected from the Faculty Council, three of whom shall be tenured members of the NYU Meyers faculty and two holding a senior clinical appointment (associate clinical professor or clinical professor) at NYU Meyers. The committee shall not include a faculty member whose primary assignment is administrative. Terms of service are staggered two-year terms. The Grievance Committee will review the evidence and make a recommendation to the Dean. The Dean shall notify the concerned parties and the Grievance Committee of his or her decision together with reasons. If the grievant wishes, he or she can then follow the procedures specified in the NYU Faculty Handbook to appeal the Dean’s decision to the Provost. The NYU Meyers grievance procedures for continuing contract faculty align with the NYU Faculty Handbook on the University website.
APPENDIX

MEYERS COLLEGE OF NURSING
TIMELINE FOR APPOINTMENT, REAPPOINTMENT, AND PROMOTION OF FULL-TIME CONTINUINIG CONTRACT FACULTY

1. Faculty Recruitment/Search 2019-2020
   A. Appointment Process Initiated Ongoing
      1. Initial appointment is for one-year for all ranks
      2. Conversion to three-year reappointment for faculty hired at Clinical Assistant and Associate Professor ranks or to five-year reappointment for faculty hired at Clinical Professor rank
   B. Charge to Search Committee Ongoing

2. Personnel Reviews
   A. Third Year Review for Clinical Track Faculty - Assistant and Associate Ranks
      1. EVD/ADCAFA notifies faculty and Chair of AP Committee of pending review during year 2 Fall, 2019
      2. Candidate submits review materials to Interfolio January 15, 2020
         (Appropriate 3rd year Review Forms as per checklist).
      3. Chair of AP requests evaluation of candidate’s teaching from Associate Dean or Director; ADCAFA provides AP a summary description of the academic responsibilities and contributions of the candidate. February 1, 2020
      4. Faculty Affairs Administrator reviews packet for completeness. February 2020
      5. AP Committee members notified of available materials March 2020 for review.
      6. AP Committee meets to review materials and completes assessment of academic progress in writing to the Dean with cc to EVD/ADCAFA. April-June, 2020
      7. The ADCAFA reviews materials and writes assessment summary letter that is sent to HR personnel file. July, 2020
      8. Candidate meets with ADCAFA to review progress. July-August, 2020

   B. Sixth Year Review for Clinical Track Faculty – Assistant and Associate Ranks
      1. EVD/ADCAFA notifies faculty and Chair of AP of pending review during year 5. Fall, 2019
      2. Candidate submits review materials to Interfolio January 15, 2020
         (Appropriate 6th Year Review Forms as per checklist.)
3. Chair of AP requests evaluation of candidate’s teaching from the Associate Dean or Director; ADCAFA provides AP a summary description of the academic responsibilities and contributions of the candidate. February 1, 2020

4. Faculty Affairs Administrator reviews packet for completeness. February 2020

5. AP Committee members notified of available materials for review. March 2020

6. AP Committee meets to review materials and completes assessment of academic progress in writing to the Dean with cc to EVD/ADCAFA. April-June, 2020

7. The ADCAFA reviews materials and writes assessment summary letter for clinical track faculty; all are sent to HR personnel file. July 2020

8. Candidate meets with ADCAFA to review progress. July-August, 2020

C. Contract Reappointment

1. Three-year for Clinical Assistant and Clinical Associate Professors Coordinate with third-year and six-year reviews.

2. Five-year for Clinical Professor During year 4 following same timeline as A and B above

3. Conversion to three- or five-year contract after first year of initial appointment

D. Promotion Applications

1. EVD/ADCAFA notifies all faculty of promotion cycles for coming year. Fall 2019

2. Candidate meets with ADCAFA/Chair AP to discuss intention to request promotion. Fall 2019

3. Candidate submits a list of potential external referees (5 for promotion to Associate; 7 for promotion to Professor); Chair of AP identifies potential external referees (3 letters needed for Associate; 5 needed for Professor) March 1, 2020

4. ADCAFA/AP Chair contacts external referees. April 1, 2020

5. Candidate submits review materials to Interfolio (Appropriate Review Forms as per checklist. Publications (3 needed for promotion to Associate; 5 needed for Professor.)) April 15, 2020

6. Faculty Affairs Administrator reviews packet for completeness. May 2020

7. Review Materials sent to external referees. June 1, 2020

8. Chair of AP requests evaluation of candidate’s teaching from Associate Dean or Director; ADCAFA provides AP a summary description of the academic responsibilities and contributions of the candidate. July 15, 2020

9. Faculty Affairs Administrator follows up with reminders to external referees 6 weeks and 2 weeks before the due date for completed external reviews. August 15, 2020

10. External Reviews due. September 1, 2020

11. AP Committee members notified of available September 15, 2020
materials for review.

12. AP Committee meets to review materials and makes recommendation regarding promotion in writing to the Dean with cc to EVD/ADCAFA. October-November 2020

13. Candidate notified of decision by Dean/ADCAFA. All are sent to HR personnel file. Spring 2021

E. Sabbatical Leaves [Not Applicable to Clinical Track Faculty]

F. Professor Emeritus [Only Eligible Clinical Professors]
   1. Candidate submits CV and letter outlining career accomplishments to EVD/ADCAFA. October 1, 2019
      Ad Hoc Committee of at least 3 full-time professors, convened by the Dean, reviews Emeritus request and forwards recommendation to the Dean. November 15, 2019
   2. The Dean reviews materials and writes recommendation. November 30, 2019
   3. Recommendation is forwarded to Provost’s Office. December 15, 2019
   4. Faculty is notified of Emeritus decision. Spring 2020

G. Annual Performance Development Reviews for Faculty and Merit Increases
   1. Faculty submit annual evaluation materials to ADCAFA. February 1, 2020
   2. Draft faculty evaluations and recommendations by Associate Deans and Program Directors completed and submitted to ADCAFA. March 1, 2020
   3. ADCAFA begins meeting with faculty to share recommendations. March-June, 2020
   4. Faculty notified of salary for Academic Year 2019-2020. August 30, 2020
NYU
Rory Meyers College of
Nursing

Policies and Procedures for
Appointment, Reappointment, and Promotion of Full-Time
Continuing Contract Faculty
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INTRODUCTION

Full-time Continuing Clinical Contract Faculty (Continuing Contract Faculty) represent a distinct and vital part of the academic community of the New York University Rory Meyers College of Nursing (NYU Meyers) and contribute significantly to its academic mission. These guidelines set forth the principles and procedures for appointments, reappointments and promotion of Continuing Contract Faculty at NYU Meyers.

The purpose of these policies and procedures is to map out the review principles and processes for Continuing Contract Faculty at NYU Meyers. They are designed to support standards of academic excellence and aim to provide a comprehensive and fair review of the candidates.

These guidelines shall apply to all appointments, reappointments, and promotion henceforth, including reappointment and promotion review for existing contracts and new appointments.

These policies and procedures supplement New York University (NYU) policies applicable to Full-time Continuing Contract Faculty as outlined in the NYU Faculty Handbook. If any part of these guidelines is inconsistent with NYU policies, the NYU policies then in effect will control.

Future Amendments

The Provost of NYU, following consultation with the NYU Meyers Faculty Council, must approve any amendments to these guidelines. As with all NYU Meyers policies, the Guidelines, or any provision hereof, are subject to change and the policies in effect at the time of an action will apply to that action.

Scope

These guidelines apply to all NYU Meyers Continuing Contract Faculty including the following:

Ranked Titles

- **Clinical Assistant Professor**
  The rank of Clinical Assistant Professor may be granted to those who have earned a doctoral degree appropriate to their field, have appropriate clinical experience, have demonstrated competence in their practice discipline, and have demonstrated effective teaching and scholarship. Clinical Assistant Professors are expected to show promise of continuing development with clear evidence of future potential to significantly advance in their field.

- **Clinical Associate Professor**
  The rank of Clinical Associate Professor may be granted to those members of the faculty who have served as Assistant or Associate Professors at NYU or elsewhere, who have demonstrated excellence in their clinical discipline and teaching activities, have made scholarly contributions to higher education and the profession and who have earned a strong local and regional reputation. They also have fulfilled important
service responsibilities at NYU Meyers and/or its affiliated clinical facilities.

- **Clinical Professor**
  The rank of Clinical Professor may be granted to those members of the faculty who have served in a position that includes in its title “Associate Professor” or its equivalent at NYU or other institutions and who fulfill leadership service roles in NYU Meyers. In addition, faculty members with this rank will be expected to have earned a strong national (and may have in addition an international) reputation through their scholarship.

Non-Ranked Titles
- **Clinical Instructor**
  The Clinical Instructor title is awarded to individuals who do not have an earned doctoral degree and/or whose career paths are directed neither towards tenure track nor ranked Continuing Contract Faculty track. The primary responsibility of the Clinical Instructor is to teach. Appointment as a Clinical Instructor carries with it the possibility of annual and/or multi-year reappointment, and eligibility to apply for promotion to Clinical Assistant Professor.

**Rights and Responsibilities**

The responsibilities of the Continuing Contract Faculty at NYU Meyers include among others: teaching assignments, student advisement, program and committee responsibilities, scholarship, and avoidance of conflicts of interest.

The rights and privileges of NYU Meyers Continuing Contract Faculty are governed by the NYU Faculty Handbook and the NYU Meyers Faculty Governance Guidelines. They include, among others, academic freedom, leaves of absence and serving as Principal Investigator on sponsored programs, in accordance with University policy.

**Participation in NYU Meyers Governance**

Other than eligibility for tenure and participation in tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty, Continuing Contract Faculty enjoy the same rights and responsibilities as tenured and tenure-track faculty members in the governance of NYU Meyers and in the academic divisions in which they teach. Continuing Contract Faculty participate fully in faculty governance on the NYU Meyers Faculty Council and the NYU Meyers Faculty Council Steering Committee, and are eligible to serve on the University Continuing Contract Faculty Senators Council.

Voting rights at NYU Meyers are extended to Continuing Contract Faculty in accordance with the guiding principles of the NYU Faculty Handbook and the NYU Meyers Faculty Council. Additionally, in accordance with the University Bylaws, Section 82 (c), Faculty Membership, College and School Governance, Continuing Contract Faculty may hold their own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of NYU Meyers.
**REVIEW PRINCIPLES**

These Guidelines regarding Continuing Contract Faculty shall apply to all appointments, reappointments and promotions, subject to the terms of employment between the faculty member and NYU Meyers.

**Authorization**

Appointment, reappointment and promotion as (Clinical Assistant / Associate/ Full) Professor requires a formal process that includes a review and recommendation by the NYU Meyers Appointments and Promotion (AP) Committee, and a final decision by the Dean of NYU Meyers. The NYU Meyers AP Committee is a standing and independent committee of NYU Meyers responsible for reviewing credentials and making recommendations to the Dean of all appointments, reappointments and promotions for Continuing Contract Faculty.

**NYU Meyers Appointments and Promotions Committee**

NYU Meyers Continuing Contract Faculty shall elect five clinical faculty (3 Professors and 2 Associate Professors or higher) to recommend to the Dean for NYU Meyers AP Committee membership. Membership is for a two (2) year term with overlap so that only a minority percentage of the NYU Meyers AP Committee members terminate their appointment period in any one year ensuring continuity in Committee membership. Members may be reelected for up to a total of two (2) consecutive terms. If a faculty member has served on the committee for a total of six (6) years, they may not be on the ballot the year immediately after the sixth-year of their term. Unexpected vacancies on the NYU Meyers AP Committee will be appointed by the Dean for the duration of the vacated term of appointment.

The NYU Meyers AP Committee is responsible for making appointment and promotion recommendations to the Dean for faculty at the rank of Clinical Assistant Professor or Clinical Associate Professor. Voting on faculty seeking appointment or promotion to the rank of Clinical Professor is limited to Clinical Professors at NYU Meyers; they do not have to be members of the NYU Meyers AP Committee.

Following the review of a candidate’s appointment or promotion materials, the NYU Meyers AP Committee shall relay their recommendation to the Dean in the form of a narrative summary of the candidate’s strengths and weaknesses. In addition to this narrative summary, materials forwarded to the Dean should also include the following:

a. candidate’s up-to-date CV;

b. three (3) or five (5) candidate-selected publications depending on the rank being sought;

c. description of the candidate’s achievements and future academic plans;

d. a teaching portfolio documenting participation and effectiveness in teaching; and,

e. for all candidates for promotion, external letters of reference as is addressed below.

If for any reason, the NYU Meyers AP Committee does not believe that it has adequate expertise to...
review a candidate, members will consult with the Dean on the appointment of an ad hoc advisory group of two Continuing Contract Faculty members with the requisite expertise needed to review the candidate in question. These two faculty members will participate in all subsequent discussions of this candidate and have voting rights as ad hoc members of the NYU Meyers AP Committee.

Criteria for Review

All contracts must include a clear statement of the criteria for each scheduled review for reappointment and/or promotion.

Guiding criteria for the formal review may include, without limitation:

1) commitment to excellence in teaching as evidenced by for example, syllabi and other course materials, course/program development and innovation, instructor development, classroom observations, reports from program directors, self-presentation, samples of student works, evidence of learning beyond the classroom and student evaluations;
2) scholarship, including, but not limited to training grants, clinical projects, publications, and innovative instructional products;
3) student advising and mentoring;
4) service, including, but not limited to, service to the University community and within and to one’s profession; and
5) additional academic roles and administrative responsibilities that contribute to NYU Meyers or NYU’s educational, research, and service missions.

The expectations for achievement in teaching (based on contractually assigned teaching load/course equivalencies), service, and (if applicable) scholarly activity, in order to achieve reappointment or promotion must be set out clearly in each individual contract.

The career pathway for Continuing Contract Faculty must be specified in the initial contract or any subsequent reappointment. Faculty may choose whether to be evaluated for promotion or reappointment at the same rank. Candidates who apply for promotion and are unsuccessful will still be eligible for reappointment at the same rank. The relevant criteria for promotion or reappointment are to be specified in the original letter of appointment.

Renewal of Contracts

Continuing Contract Faculty shall be subject to formal review. Faculty on multi-year appointments shall be reviewed in the penultimate year of appointment (the year prior to contract end).

A faculty member’s eligibility to be considered for reappointment does not create a presumption in favor of reappointment, even if the faculty member has met or exceeded the expectations set out in the contract. Any review for reappointment and promotion shall consider major curricular and structural changes (e.g. termination of a program) and/or improvements in academic programs, even in those cases in which a candidate satisfies the appropriate standards of achievement for reappointment or promotion. Major curricular or structural changes however, do not automatically warrant a denial of reappointment.

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In the case of such changes, the review considers whether the faculty member is able to teach in the revised curriculum or new academic structure and, if so, in what capacity.

**Terms of Appointment**

Initial appointment for all titles is for a duration of one (1) year. Initial hires at any level will follow the same process upon the recommendation of the respective Faculty Council Search Committee. Recruitment of faculty begins with the NYU Meyers Faculty Council Search Committee, an elected body of the NYU Meyers Faculty Council, who make recommendations to the Dean regarding potential faculty hires.

After the initial year, reappointments are made as follows:

- **Clinical Assistant/Associate titles** are appointed for three (3) years.
  - Initial new hire appointment as a Clinical Assistant or Associate Professor is for one (1) academic year. Thereafter, the faculty member is eligible for a three (3)-year renewable reappointment.

- **Clinical Professor titles** are appointed for five (5) years.
  - Initial new hire appointment as a Clinical Professor is for one (1) academic year. Thereafter, the faculty member is eligible for a five (5) year renewable reappointment. Faculty promoted from Clinical Associate Professor to Clinical Professor are eligible for a five (5) year renewable reappointment.

Reappointment after the completion of a successful review process must be at the same rank (except in cases of promotion) with consistency in title and will typically be at least for the same duration as the previous contract length. In the case of a negative review, the final year of the contract will become the terminal year of appointment.

In accordance with University Bylaws, Section 87(b), Contracts and Titles, appointments automatically terminate at the time stipulated in the contract, unless there is an official notice of renewal from the Executive Vice Dean or Dean of NYU Meyers.

**Preparation of the Docket Materials**

The Dean shall determine the exact makeup of the reappointment and/or promotion docket. Normally, docket should include:

a. A summary of the most salient accomplishments in the statutory areas of review, including teaching philosophy, strategies, and goals; scholarship; administrative responsibilities; and service to NYU Meyers. (This summary should normally not exceed 2-3 pages in length and in no case shall exceed 5 single-spaced pages.) This summary should be accompanied by a copy of the criteria for review as specified in the original letter of employment.

b. A current, up-to-date CV. The CV may be updated as the process continues to reflect changes in academic achievement and accomplishment.
c. Materials that demonstrate teaching effectiveness (e.g., faculty course evaluations, peer observations of teaching, formal assessments of teaching effectiveness, syllabi, lecture notes, assignments or URL, and other relevant documents).

d. Demonstration of service to the NYU Meyers community (e.g., curriculum development, faculty governance, student mentoring, etc.).

e. Where applicable, a professional portfolio (e.g., showing publications, professional development, etc.) demonstrating significant contributions to the field during the appointment period.

f. Other evidence appropriate to the candidate’s discipline.

g. Candidates are encouraged to include any additional evidence that he or she believes bears on the case for reappointment or promotion, not otherwise identified above.

h. As noted above, Continuing Contract Faculty who are applying for promotion will need external letters of reference. Details regarding this process can be found below in those sections outlining “Promotion from Clinical Assistant to Clinical Associate Professor” and “Promotion from Clinical Associate to Clinical Professor.”

Definition of Scholarship

Scholarship can be defined as those activities that systematically advance, teaching, research, and practice through rigorous inquiry that: 1) is significant to the nursing and/or health related professions, 2) is creative, 3) can be documented, 4) can be replicated or elaborated, and 5) can be peer-reviewed through various methods. Further, scholarship covers the domains of discovery (where new and unique knowledge is generated and/or expanded), teaching (where the faculty creatively builds bridges between his or her own understanding and the students’ learning), application (where the emphasis is on translating knowledge, and improving and transforming healthcare delivery and patient outcomes), and integration (where knowledge is viewed in new ways and new relationships among disciplines are discovered). While the discovery of new knowledge is not a primary responsibility of Continuing Contract Faculty, teaching, application, and integration are integral components of their roles in academic schools of nursing.

Time for scholarship is provided for all Continuing Contract Faculty as required by national and state accrediting bodies for schools of nursing. Formal and extensive development for teaching, scholarship, and service at NYU Meyers is organized through the NYU Meyers Faculty Development Academy and is available for all faculty including Continuing Contract Faculty.

Notification

For Continuing Contract Faculty on a contract of three or more years (both on an initial or subsequent three- or more year-contract), the review process for reappointment will take place in the final semester of the penultimate year of the contract. The faculty member will be notified as to reappointment no later than the end of the academic year of the penultimate year of the contract (i.e., August 31 in most years).


cases), allowing the faculty 1 (one) year to plan transition during the final year of the contract. In connection with formal reviews for reappointment and promotion, NYU Meyers will make available to all faculty in print and/or on the faculty portal:

i. Statement of the academic criteria in the areas of teaching, program and/or curriculum and course development, scholarship, and program and school service that will guide the AP Committee’s evaluation.

ii. State of the criteria of assessment in effect at the time.

iii. Calendar for reviews and communication to faculty members that accords fair and timely notice of a review and of its outcome in writing, as well as adequate notice to faculty to pursue alternative employment in the event of a negative decision.

Professional Activity Form (PAF)

In addition to reviews at the time of potential reappointment, Continuing Contract Faculty on a contract greater than one-year must submit an annual activity report referred to as Professional Activity Form (PAF) to the Office of the Executive Vice Dean (EVD). (The PAF is a document that serves as a faculty generated list of activities in each prior year that informs an annual discussion between faculty and the EVD for purposes of goal setting, mentoring, annual planning of teaching assignments, and recognition of accomplishments).

FORMAL REVIEW PROCESS FOR REAPPOINTMENT

The review process for reappointment commences when a candidate for reappointment submits his or her docket for review to the EVD in accordance with the above timeline (to be created for each academic year).

Reappointment is based on departmental criteria of overall performance in their role as clinical faculty. This includes a commitment to excellence in teaching and maintaining a degree of scholarship, service, and/or clinical care. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint or promote may be dictated by curricular and structural changes in academic programs at NYU Meyers and the University. In these situations, the basis for non-reappointment will be clearly stated in the notice given to the faculty member.

The NYU Meyers AP Committee will conduct a formal review of the dockets for each Clinical Assistant and Clinical Associate Professor in the year prior to the third and sixth years of his or her appointment, to coincide with the 3-year contract term. A formal review of the dockets for each Clinical Professor will occur to coincide with the 5-year contract term. The faculty member shall receive notification of the review process no later than the first week of the academic year in the penultimate year of their appointment.

The EVD of NYU Meyers will inform the faculty member and the NYU Meyers AP Committee of the schedule for these reviews at the beginning of the second and fifth years for all candidates. In addition to providing a schedule of reviews, the EVD will also provide the NYU Meyers AP Committee with a written review of the faculty candidate. This review will include a summary description of the academic
responsibilities and contributions of the faculty member at NYU Meyers. The NYU Meyers AP Committee is responsible for reviewing and making reappointment recommendations to the Dean.

FORMAL REVIEW PROCESS FOR PROMOTION

The process for promotion is initiated by the candidate who confirms his/her eligibility with the Office of the EVD. The candidate should make a formal request to the EVD. Candidates can apply for promotion in the year prior to the third or sixth year review, or during an existing contract period. Review for promotion shall consider curricular or structural changes and improvements in academic programs.

Ranked Continuing Contract Faculty candidates for promotion should submit their docket (as outlined above) to the NYU Meyers AP Committee. In addition to other materials submitted, the docket should contain the following:

a. an application for promotion;
b. an up-to-date CV;
c. a teaching portfolio that includes student and peer evaluations, as well as, relevant course materials;
d. a personal statement;
e. three (3) representative published papers for promotion from Clinical Assistant to Clinical Associate or five (5) representative published papers for promotion from Clinical Associate to Clinical Professor; and
f. external letters of reference as outlined in the following 2 sections.

The review process for promotion is the same as the process for reappointment as outlined above. The NYU Meyers AP Committee will provide an assessment for contract renewal purposes, and in the same letter (if applicable) recommend whether the candidate meets the expectations for promotion.

Ranked Continuing Contract Faculty

Promotion from Clinical Assistant to Clinical Associate Professor

In consultation with the EVD, the candidate may be asked to suggest the names of five (5) potential external referees. The EVD, in consultation with the chair of the NYU Meyers College AP Committee, will obtain letters from at least three (3) external referees from institutions on par with NYU. These referees may or may not be the referees as suggested by the candidate. The candidate is expected to demonstrate evidence of increased and excellent contributions in the areas of teaching, service, and scholarship through publications and presentations at the regional and national level.

Promotion from Clinical Associate Professor to Clinical Professor

In consultation with the EVD, the candidate may be asked to provide the names of seven (7) potential external referees who can provide letters of evaluation attesting to the candidate’s national and international reputation in a specific area of nursing. The EVD, in consultation with the chair of the NYU Meyers College AP Committee, will obtain letters from at least five (5) external referees.
Continuing Contract Faculty who have the title Clinical Instructor may apply to be considered for promotion to Clinical Assistant Professor. The faculty candidate should consult with the EVD and Chair of the NYU Meyers AP Committee as to procedure. In order to be eligible for promotion to the rank of clinical assistant professor, the candidate should have earned a doctoral degree appropriate to their field, have evidence of effective teaching and scholarship, and show promise of continuing development with clear evidence of future potential in their field. The faculty candidate will be asked to provide a letter of recommendation from the NYU Meyers Director of Undergraduate Program or the Senior Associate Dean for Academic Programs. The NYU Meyers AP Committee will review materials submitted for promotion and submit vote results along with their recommendation to the EVD who will make the final decision.

**TRANSFER BETWEEN CONTINUING CONTRACT FACULTY AND TENURED OR TENURE TRACK APPOINTMENTS**

Continuing Contract Faculty appointments are not normally convertible to tenure track appointments. In rare cases, and then only with the approval of the NYU Provost, a non-tenure track position may be converted into a tenure track one for which the incumbent is eligible to apply within the search process. In these rare cases, conversion of a non-tenure track position into a tenure track position will not foreshorten an existing contract duration as could occur, for example, if the conversion occurred before expiration of an existing contract and the contractee was not selected for the tenured or tenure track appointment. However, a Continuing Contract Faculty member must not be prohibited from applying for and being considered for any tenure track opening that arises within his or her school or elsewhere in the University; nor may any school policy treat his or her doing so with prejudice. In an open and competitive search for a tenure track position, if a Continuing Contract Faculty member successfully obtains a tenure-track position, this faculty member may not hold a Continuing Contract Faculty position at NYU Meyers at any time in the future.

**GRIEVANCE PROCEDURES FOR CONTINUING CONTRACT FACULTY**

Continuing Contract Faculty can seek redress for a grievance with respect to appointment, reappointment, and promotion through the grievance procedures of NYU Meyers that are stated in the Essential Bylaws of Faculty Governance on the NYU Meyers Intranet. A grievant must be a faculty member at NYU Meyers when he or she initiates a grievance.

Grievances of the faculty can be submitted only on the basis of process, on the grounds: a) That the procedure used to reach the decision was improper, or that the case received inadequate consideration; b) That the decisions violated the academic freedom of the person in question, in which case the burden of proof is on that person.
In the case of all grievances, attempts shall be made to settle the dispute by informal discussions; and that if the grievance is not settled informally at a level below the dean, or by the Dean, the faculty member may appeal to the Dean to convolve the Grievance Committee of the school or faculty. The Dean shall do so within 15 working days.

The Grievance Committee shall be constituted of five (5) full time faculty members elected from the Faculty Council, three of whom shall be tenured members of the NYU Meyers faculty and two holding a senior clinical appointment (associate clinical professor or clinical professor) at NYU Meyers. The committee shall not include a faculty member whose primary assignment is administrative. Terms of service are staggered two-year terms. The Grievance Committee will review the evidence and make a recommendation to the Dean. The Dean shall notify the concerned parties and the Grievance Committee of his or her decision together with reasons. If the grievant wishes, he or she can then follow the procedures specified in the NYU Faculty Handbook to appeal the Dean’s decision to the Provost. The NYU Meyers grievance procedures for continuing contract faculty align with the NYU Faculty Handbook on the University website.

NYU Meyers Continuing Contract Faculty shall elect five clinical faculty (3 Professors and 2 Associate Professors, or higher) to recommend to the Dean of NYU Meyers for membership on the AP Committee. The recommendation is for two (2) year terms with overlap such that only a minority percentage of the Committee members terminate their appointment period in any one year to ensure continuity in Committee membership to maintain consistent standards for appointment, reappointment for third and sixth years, and promotion decisions. Members may be reelected for up to a total of two consecutive terms. If a faculty member has been on the committee for a total of six years, that person may not be on the ballot the year immediately after the sixth-year of their term. Vacancies on the Committee will be replaced by the Dean for the duration of the vacated term of appointment.
C-FSC Proposed Resolution

to Amend, Replace and Clarify the Grievance Procedures Pertaining to Full-Time
Continuing Contract Faculty (CCF)

WHEREAS currently, inconsistencies and ambiguities in the language contained within the
Grievance Policy set forth in the NYU Faculty Handbook undermine both the spirit of the
safeguards provided to contract faculty, and the University’s efforts to create a culture of
inclusion, diversity, equity, and belonging;

RESOLVED the following bolded passages should be inserted, and the stricken passage should
be removed, from page 58 of the NYU Faculty Handbook, under “Grievance Procedures”, “Who
Can Grieve”, paragraph 1, sentences 3 and 4, as indicated here:

Faculty on continuous one-year or two-year appointments are similarly entitled to grieve the
process in the event the third-year review process leads to a negative decision; and they are entitled to grieve the process in the event they are not reappointed after a third year review when a review had been explicitly promised or is standard and customary practice in connection with the possibility of reappointment subject to it, but was not undertaken for reasons other than elimination of the position. Continuing Contract Faculty who are subject to a review process to determine whether they are to be promoted have a right to grieve the process in the event it leads to a negative decision.

FURTHER RESOLVED the following bolded passages should be inserted, from page 58 of the NYU Faculty Handbook, under “Grievance Procedures”, “The School Grievance Process”, paragraph 2, as indicated here:

In the case of all grievances, within 15 working days* of the faculty member notifying the Dean of their intent to file a grievance, an attempt shall be made, if the grievant wishes, to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators which shall include an approved NYU mediator or an NYU faculty member or administrator chosen by the Grievant.

FURTHER RESOLVED the following bolded passage should be inserted as a footnote into the bottom of page 58 of the NYU Faculty Handbook, related to “Grievance Procedures”, “The School Grievance Process”, as indicated here:

*Working days are when NYU administrative offices are open.
FURTHER RESOLVED the following bolded passages should be inserted, and the stricken passages should be removed, from page 58 of the NYU Faculty Handbook, under “Grievance Procedures”, “The School Grievance Process”, paragraph 3, as indicated here:

If the faculty member finds that the grievance cannot be settled informally at a level below the Dean, or by the Dean himself or herself, the faculty member may appeal to the Dean to convene the grievance committee of the school or faculty within 15 working days of the faculty member’s written notification. Each school or faculty shall select a faculty committee to hear grievances in order to advise the Dean. Unless otherwise authorized in the school’s policy and approved by the Provost, each school shall either establish a new standing faculty committee for Continuing Contract Faculty grievances, which will include senior Continuing Contract Faculty and Tenured/Tenure Track Faculty elected by the voting members of these faculty; or shall expand its existing standing grievance committee for Tenured/Tenure Track Faculty to include (elected) senior Continuing Contract Faculty who shall participate in hearing and evaluating only those grievances that are filed by Continuing Contract Faculty. Unless there are insufficient numbers of senior Continuing Contract Faculty a majority of the membership shall be comprised of senior Continuing Contract Faculty. The faculty grievance committee(s) shall not include departmental chairpersons or department heads or any faculty member whose primary assignment is administrative. The Grievance Committee Chair shall provide the grievant with status updates every 60 calendar days for the duration of the process.

FURTHER RESOLVED the following bolded passage should be inserted into page 58 of the NYU Faculty Handbook, under “Grievance Procedures”, “The School Grievance Process”, as a new paragraph, between the current paragraphs 4 and 5, as indicated here:

The grievance committee shall hold a hearing and shall complete its deliberations and notify the Dean of its recommendations preferably within 30 working days of the close of the hearing, but in any case within 60 working days. At that time, the grievance committee shall also notify the grievant as to whether they found a violation of their University-protected rights, and if so, on which grounds.
FURTHER RESOLVED the following bolded passage should be inserted, and the stricken passage should be removed, from page 58 of the NYU Faculty Handbook, under “Grievance Procedures”, “The School Grievance Process”, paragraph 5, as indicated here:

The grievance committee does not judge the professional merits of the case, but considers the grounds specified above (“Basis for Grievance”). **Within 15 working days of** After obtaining the recommendation of the grievance committee, the Dean shall decide the case and in writing shall notify the concerned parties and the grievance committee of his or her decision, together with reasons therefore, and information on the procedure for appeal.

FURTHER RESOLVED the following bolded passage should be inserted into page 58 of the NYU Faculty Handbook, under “Grievance Procedures”, “The School Grievance Process”, as two new paragraphs, following the current paragraph 5, as indicated here:

**Having been convoked, the grievance committee will then hear evidence and report to the Dean in writing of its findings of fact and its opinion on a fair disposition of the case. After considering the advice of the committee, the Dean will inform the grievant in writing of their decision, and include a summary of the committee’s report.**

If the committee’s report is accepted by both the grievant and the Dean, the matter shall be considered settled. However, if the Dean shall deny any findings of fact, or refuse to implement suggestions by the committee made as a part of the committee's recommendations on the disposition of a case, the Dean is required to reply in writing giving in detail their reasons. This memorandum must be sent both to the grievant and to the committee.

FURTHER RESOLVED the following bolded passage should be inserted into page 58 of the NYU Faculty Handbook, under “Grievance Procedures”, “The School Grievance Process”, as two new paragraphs, following the current paragraph 5, as indicated here:

**As a standing committee of the faculty, the school grievance committee must regularly report to the faculty on the number of cases heard or under study and the ultimate disposition of such cases.**
FURTHER RESOLVED the following bolded passage should be inserted into page 59 of the NYU Faculty Handbook, under “Grievance Procedures”, “Appeal from a Dean’s Decision on Reappointment or Promotion”, paragraph 2, as indicated here:

A faculty member intending to make such an appeal shall indicate such intention in writing to the Provost (or Executive Vice President for Health), specifying all grounds for and materials in support of the appeal within 15 working days after receiving written notification of the Dean’s decision. An exception to this may be made only with the consent of the grievant, the Dean, and the Provost (or Executive Vice President for Health).

FURTHER RESOLVED the following bolded passages should be inserted into page 59 of the NYU Faculty Handbook, under “Grievance Procedures”, “Appeal from a Dean’s Decision on Reappointment or Promotion”, paragraph 3, as indicated here:

Where such an appeal is made, the Dean shall within 15 working days transmit to the Provost (or Executive Vice President for Health) a report of the proceedings in the case at its earlier stages. The Provost (or Executive Vice President for Health) shall in each case obtain the advice of an ad hoc advisory committee – Continuing Contract Faculty Grievance Advisory Committee – with faculty drawn from a standing committee that shall consist of the members of the C-FSC Grievance Committee and the T-FSC Grievance Committee; in each case committee members shall be selected within 15 working days by the relevant faculty senators council but need not necessarily be members of the particular council. The Continuing Contract Faculty Grievance Advisory Committee shall consist of three members, none of whom are from the grievant’s school: one from the C-FSC standing Grievance Committee, one from the T-FSC standing Grievance Committee, and one senior administrator selected by the Steering Committee of the C-FSC. The C-FSC Vice-Chair shall provide the grievant with status updates every 60 calendar days for the duration of the process.

FURTHER RESOLVED the following bolded passages should be inserted, and the stricken passage should be removed, from page 59 of the NYU Faculty Handbook, under “Grievance Procedures”, “Appeal from a Dean’s Decision on Reappointment or Promotion”, paragraph 3, sentences 1, as indicated here:

The Continuing Contract Faculty Grievance Advisory Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations preferably within 30 working days of the close of the hearing, but in any case within 60 working days.
FURTHER RESOLVED the following bolded passages should be inserted, and the stricken passage should be removed, from page 59 of the NYU Faculty Handbook, under “Grievance Procedures”, “Appeal from a Dean’s Decision on Reappointment or Promotion”, paragraph 5, as indicated here:

Within 30 working days of receiving the advice of the Continuing Contract Faculty Grievance Advisory Committee, the Provost (or Executive Vice President for Health) shall decide the case, and notify the grievant, the Dean, and the Chairperson of the Continuing Contract Faculty Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The Continuing Contract Faculty Grievance Advisory Committee shall annually report to the Continuing-Contract Faculty Senators Council on the number of cases heard or under study and the ultimate disposition of such cases. The decision of the Provost (or Executive Vice President for Health) is final and subject to no further review.

FURTHER RESOLVED the following bolded passages should be inserted, and the stricken passage should be removed, from page 59 of the NYU Faculty Handbook, under “Grievance Procedures”, “Appeal from a Dean’s Decision on Reappointment or Promotion”, paragraph 5, as indicated here:

Within 30 working days of receiving the advice of the Continuing Contract Faculty Grievance Advisory Committee, the Provost (or Executive Vice President for Health) shall decide the case, and notify the grievant, the Dean, and the Chairperson of the Continuing Contract Faculty Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. As a standing committee, the Continuing Contract Faculty Grievance Advisory Committee must regularly report to the Continuing-Contract Faculty Senators Council on the number of cases heard or under study and the ultimate disposition of such cases. The decision of the Provost (or Executive Vice President for Health) is final and subject to no further review.

FURTHER RESOLVED the following bolded passage should be inserted into page 59 of the NYU Faculty Handbook, under “Grievance Procedures”, “Appeal from a Dean’s Decision on Matters Such as Duties, Salaries, Perquisites, and Working Conditions”, paragraph 1, as indicated here:

Where such an appeal is desired by a Continuing Contract faculty member, and the Provost of the University (or Executive Vice President for Health) is so informed within 15 working days after the faculty member is notified of the Dean’s decision, the Provost (or Executive Vice President for Health) shall make informal procedures available.
Continuing Contract Faculty Senators Council (C-FSC) Proposed Resolution to Express Concern with Enrollment and Scheduling Practices

WHEREAS New York University values language instruction and a diverse curriculum is a core element of being a global networked university;

WHEREAS sequential language study has unique requirements for scheduling and consistency of practice to ensure student success;

WHEREAS certain scheduling practices risk decreasing enrollment for certain sections and strains departments, with important implications for faculty;

WHEREAS Contract Faculty (C-Faculty) hired on an as needed basis are particularly vulnerable to arbitrary and/or sudden changes in enrollment and scheduling practice;

WHEREAS scheduling C-Faculty members inconsistently and/or to teach only early morning and late afternoon classes compromises work-life balance and the recruitment and retention of high caliber colleagues for our students;

WHEREAS providing students with predictable and advantageous course time options is essential for their academic success, the valuable experience of small classes, the proper sequencing in language courses, and timely degree completion;

WHEREAS having only early morning and then late afternoon classes may create scheduling conflicts with extra-curricular activities and internship opportunities that shape the undergraduate student experience;

WHEREAS Ghania Chaudhry, Senator at Large for Students Studying Away with Minority and Marginalized Identities, expressed similar and additional concerns in a letter to the administration on behalf of constituents in Middle Eastern and Islamic Studies, East Asian Studies, and Hebrew and Judaic Studies;

THEREFORE, BE IT RESOLVED that the University ensure that smaller language departments are prioritized in scheduling practices;

FURTHER BE IT RESOLVED that the University provide these smaller Language Departments and Courses the resources to ensure student success and C-Faculty equity including but not limited to room assignments for the scheduling periods originally set in place for the courses;
FURTHER BE IT RESOLVED that the University inform students and faculty of changes to scheduling for smaller language courses at least one semester before enrollment of the current semester;

FURTHER BE IT RESOLVED that the University consult smaller language departments to ensure their pedagogical needs are being met and ensure appropriate classroom facilities;

FURTHER BE IT RESOLVED that the University commit to consultation with other smaller departments and units that might be adversely impacted by changes in scheduling practices.
Committee on Faculty Benefits and Housing
Report for the C-FSC meeting of January 30, 2020

Together with the observers from the T-FSC and the AMC, I attended the fourth-quarter meeting of the Retirement Plan Investment Committee on December 16, 2019, at which a number of changes to the retirement plan were approved. Assistant Vice President for Global Benefits Trish Halley will be attending our March 12th council meeting to highlight these changes, which are scheduled for implementation this spring.

Respectfully submitted,

Vincent Renzi,
chair
C-FSC Finance & Policy Planning Committee
Summary of Activities
January 23, 2020

The undersigned chair submits this summary of the activities of the C-FSC Finance & Policy Planning Committee (FPP) for the Fall 2019 and anticipated activities through Spring 2020. Members are: Michael Breaux, Leila Jahangiri, Noelle Molé Liston, Maria Patterson (chair), Shaline Rao, and Larry Slater.

The primary focus of the FPP has been on the issue of a minimum salary level for continuing contract faculty. After much discussion and research this fall, the FPP decided that it will request an increase in minimum salaries to $70,000. That request will be coupled with a request that the University review and analyze increases in the minimum salary every three years thereafter. In addition, the FPP will explore ways to ensure that faculty at the second-tier level or who have served for a substantial number of years receive some increase over the minimum salary. How to do so and what the increase should be will be the topic of continuing discussion within the FPP and with the Council.

Maria Patterson, Chair
Personnel Policies and Contract Issues Committee Report
Jan. 22, 2020

Over the winter break, our committee received two Continuing-Contract Faculty Reappointment & Promotion policies from the Provost: the School for Professional Studies and the Courant Institute of Mathematical Sciences.

Respectfully submitted,

Heidi White, Chair

Members: David Barnes, Fidelindo Lim, Pamela Pietro, Antonios Saravanos, Geoff Shullenberg, Gioia Stevens
January 22, 2020  
Submitted by Heidi White, Liberal Studies Senator

Lectern Request Update

Last year, I asked Provost Fleming if we could order a few portable lecterns for those who would like them. I’m pleased to report that they have been delivered to the classrooms in the buildings listed below.

Vice-Provost Kristen Day provided the following information for ordering lecterns for your classrooms:

For spring 2020 and summer 2020 courses, instructors can email classroom.scheduling@nyu.edu with requests and the Registrar’s Office will submit work orders.

For fall 2020 courses and beyond, faculty can ask their department schedulers to enter the preference into Albert when building the schedule. (The Registrar’s Office will build an attribute for lectern preferences into the Albert/SIS interface that department schedulers use.)

- Bobst Library  194 Mercer
  - LL138  203
  - LL139  210
  - LL150  305
  - LL151  307
- 7E12th Street  Silver Center
  - LL23  401
  - LL33  411
  - 121  501
  - 131  514
- ARC  60 Fifth Ave
  - LL02  C04
  - LL05  C10
  - L120  110
- GCASL  Goddard
  - 269  B01
  - 279  B02
  - 369  25W4th
  - 383  C-03
- 60 Fifth Ave  C-FSC Meeting 1/30/20, Document E, Page 1
Thursday, January 30th C-FSC meeting: Discussion Point for Provost Fleming

1) Factors that Affect Contract Faculty Work-Life Balance
   - Class and room scheduling
   - After hours communication

2) Strategic Planning and Student Enrollment
   - National trends of decreasing applications and enrollment
   - Potential future impact on NYU programs and contract faculty
Green Open Access @ NYU

Presented by Ashley Maynor, Senator, NYU Libraries

Developed in collaboration with April Hathcock, Vicky Steeves, & Lingyu Wang.
What is Open Access?

Open access (OA) refers to free, unrestricted online access to research outputs such as journal articles and books. OA content is open to all, with no access fees.

It comes in many variations, with varying degrees of complexity and impact for publishers and researchers.
Green OA:
adding a copy of your work into an institutional repository to ensure the long-term preservation and access to your work at your home institution or chosen organization(s).
Why does OA matter?

Economics • Equity
Information Access

The Environmental Realities

- Journal costs are increasing at unprecedented rates.
- Library budgets for these journals cannot keep pace.
- Academic publishing is broken.
- Openness = use.
Why does OA matter?

Funding • Legal Information Access

Other Motivating Factors

1. Grant requirements: Federal + private grants require data management plans and public access to research products.
2. Legal (Plan S) and ethical imperatives to share of information without a paywall.
3. Rising costs of library subscriptions and tuition for students.
WHAT IS THE PROBLEM?

university \(\$\) + grant \(\$\) → pay faculty to do research & report on results in articles

faculty give away articles & copyright to publishers for FREE
(and other researchers peer review for free)

& publishers rake in all the BIG \(\$\)
(31.7% 30.6%)
Elsevier's profit margin exceeded Google's!

...and many students, researchers, and others still can't get the articles they need & libraries cannot afford many journals.
Why Now?
Just a few of our peers...

A Green Proposal

Low Risk • Increased Preservation & Access of NYU Scholarship • Asserts Authors’ Rights

# What’s in the proposed OA policy?

## Key Traits

- Deposit Requirement
- All Faculty
- Authors/Co-Authors
- Non-exclusive License
- NYU Sign-In Required for Access
- Opt-Out Option
- Embargoes Available

## How It Reads

...each Faculty member will grant to New York University a non-exclusive, irrevocable, royalty-free, worldwide license...

...The NYU faculty author will remain the copyright owner unless that author chooses to transfer the copyright to a publisher.

Questions?
