The New York University Full-Time Non-Tenure Track/Contract Track Faculty Senators Council (N/C-FSC) met at noon on Thursday, September 11, 2014 in the Global Center for Academic & Spiritual Life at 238 Thompson Street, 5th Floor Grand Hall.

In attendance were Senators Becker, Borowiec, Burt (by phone), Caprio, Carl, Carter, Cittadino, Elcott, Fefferman, Gurrin, Halpin, Killilea, Mauro, Mooney, Morton, Mowry, Rainey, Slater, Stehlik, Stewart, Williams, and Youngerman; Alternate Senators Bianco, Casey, Cummings (for Sacks), Derrington, Lee, Renzi, and White.

APPROVAL OF THE AGENDA

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

APPROVAL OF THE MINUTES OF THE MEETING HELD DECEMBER 4, 2015

Upon a motion duly made and seconded, the minutes of the December 4, 2015 meeting were approved with one abstention.

REPORT FROM THE CHAIRPERSON: ANN MARIE MAURO

Security Advisory Committee

Chairperson Mauro reported the council was asked to nominate four members to the Security Advisory Committee. The N/C-FSC nominated Martha Caprio, Ralph Cunningham, Peggy Morton, and Andrew Williams. The Committee has representative categories concerning membership based on gender, school, and affiliation. Senators Morton, Williams, and Alternate Senator Cunningham were selected to serve on the Committee.

Health Realignment Plan Discussion with Special Guest: Dr. Bob Berne, Executive Vice President for Health


Mauro welcomed Executive Vice President for Health, Bob Berne.

Berne stated he has met with various University groups beginning in February 2014. Once the new Steinhardt Dean came onboard, the Working Group on Health Realignment was established in fall 2015 and developed a set of recommendations. He reported the plan is to create a College of Global Public Health and move the College of Nursing from under the College of Dentistry. These three schools would have equal status and fall under a new umbrella organization called the Faculty of Health. The Faculty of Health would be a unifying organization for the three colleges and work with the School of Medicine, Silver School of Social Work, Wagner Graduate School, and other health units around the University.

He reported the status of this discussion is to next collect the recommendations of the T-FSC and N/C-FSC, bring to the University Senate in March or April, and then go to the Board of Trustees with a final recommendation in June 2015. Berne commented the advantages of the realignment may be seen through the
dramatic improvements in the health units at NYU, in the nursing school and dentistry school, and in public health at the University and at large. This is an opportunity to continue to accelerate this structure and make public health at NYU a real presence in the world of health and the academic world associated with each of the fields. He reported there are over 100 faculty from around the University affiliated with the College of Global Public Health. Berne opened the floor to questions and comments.

A Senator asked about the long term vision of this plan and its comparison to other universities’ plans.

Berne responded the long term vision is to achieve excellence in the broad health area through the work of these three colleges both individually and collectively. He stated the College of Nursing ranks 3rd in the NIH research ranking. The College of Dentistry trains about 1 in 12 dentists in the country every year, is in the top 10 in research, and is a growing effort in public health. By bringing these units more closely together, giving public health added stature, moving nursing to the level with public health and dentistry, and by continuing to link dentistry in a highly interdisciplinary way with these other two schools, he stated NYU will be unique to other institutions. Berne commented NYU is a great laboratory for this, these schools have a terrific student body and faculty, and this is a way to achieve the kind of excellence the University hopes to accomplish.

Berne commented on the many differences between medical schools, and stated there are some schools of allied health and there are public health units that are linked to medical schools more directly. He stated most of the highly ranked and prestigious medical centers have public health in their medical center as a school of public health on their campus. The proposed NYU model is not modeled on what anyone else does; there many different combinations.

A Senator asked about the downsides.

He stated one of the real successes in the way in which NYU has grown public health is that NYU now has eight schools actively participating either in the teaching or research endeavor. He commented on the significant number of joint appointments and the plan to continue the interdisciplinary focus and cross-university participation. The expectation is that about half the positions will continue to be joint appointments, which is a way to mitigate a silo effect.

A Senator expressed concern regarding non-tenure track faculty members being evaluated and receiving credit for work done across institutions.

Berne suggested this is an issue the Council could work on to help the University tackle this issue. He stated the three schools will be closely aligned and they do rely heavily on non-tenure track/contract faculty members. He suggested these schools might be models of this kind of annual reporting. He suggested the development of a formal mechanism, which could be communicated to the multiple Deans.

A Senator offered the example of the Performance Assessment Form (PAF) used in the College of Nursing. This captures other committee membership, including dental committees and University Committees.

A Senator asked how behavioral mental health will be integrated.

Berne mentioned the all University Search Committee, created by Cheryl Healton, Director of Global Institute of Public Health and Dean of Global Public Health, which has representatives from the 8 units and communicates the searches with each school.

He stated the joint appointments, as well as the affiliated and associated appointments, are not limited to the three colleges. He commented there are several people in social work who have been instrumental in growing global public health and have been active in teaching behavioral health courses and in making sure this was well represented in the curriculum.

A Senator asked about the potential for whole departments to leave schools in order to join the collaboration.
Berne responded at this stage in Steinhardt’s development and in the development in public health, the focus is on the public health faculty in Steinhardt.

A Senator asked about the budget for this project and the bets on synergy and attracting students and grants.

Berne responded all three units rely on outside funding, and he commented that reputation is at least moderately correlated with that funding. Nursing and Dentistry already have a track record in attracting outside funding and public health funding is growing.

Berne compared the model of the faculty at the School of Medicine, in which faculty are on 12 month salaries and have expectations on the amount of research funding they must raise versus the Washington Square model, in which faculty are on 9 month salaries and have more significant teaching responsibility and are encouraged to raise research funds, but those research funds are typically used to fund summers or buy a course or two off from their normal teaching load.

Berne commented NYU has many collective strengths in this area, and its strength in attracting research is growing. Research funding at both the medical center and at the square has exceeded national averages over the last ten years.

A Senator asked for further information on the proposal’s mention of leveraging the assets of the global network.

Berne responded undergraduate combined majors need to spend the semester at one of the sites, and public health faculty are working with the global network to identify the first set of three to four study abroad sites. Accra will be one of the sites because of the public health work that has developed over the last 5 years in that location.

In addition, at the master’s level, the public health faculty are looking at a bi- or tri-continental master’s program, in which students would spend at least one semester in the program at each location. There would be a group of faculty who would be regular instructors. The University would pursue research projects, connect with the ministry of health to gain access to data, and pursue opportunities for student internships. For example, one of the physicians in the medical center is building an emergency room at the teaching hospital in Ghana and she serves as a mentor to students.

Berne stated there will be a global component, with a plan to identify a small number of sites, build the academic and external infrastructure in those sites, and then infuse that activity into the curriculum in the programs.

**Proposed recommendations by Steering Committee**

Mauro suggested revising the recommendations by the Steering Committee to include items from this discussion. She suggested adding clarification on the challenge of work load recognitions across schools, budgets, and leveraging assets of the total GNU.

The recommendations, with these additions, were approved by unanimous vote of the Council.

**Chair’s Report**

*See attached Document A: N/C-FSC Chair Update.*

The report was accepted into the minutes.

**QUESTIONS ON COMMITTEE REPORTS DISTRIBUTED**

*See attached Document C: Report from T-FSC Committee: Educational Policies & Faculty/Student Relations*

*Document D: Report from T-FSC Committee: Global Network University*
Regarding the Global Network University report, a Senator asked for clarification on a comment on page 3 which states units have the right to revoke global network faculty status at any time, although it’s expected that this would be an extremely rare occurrence. He asked if there is any discussion about the mechanism for this.

A Senator asked about the granting unit for granting global network faculty status.

Alternate Senator Renzi responded the granting unit is the department in which the person will be affiliated.

A Senator asked about faculty who have been hired directly to the portal and how to make connections with departments in New York.

Renzi commented there was not much conversation about this but the proposal serves as way to begin building out these networks.

It was clarified the Global Network Faculty pertains to Shanghai and Abu Dhabi, and not other global academic centers.

The reports were accepted into the minutes.

OLD BUSINESS

Recommendations regarding Social Media Guidelines


Alternate Senator Renzi requested a member of the committee offer bullet points on the major issues and asked whether the committee felt they were able to make recommendations to solve these issues.

Alternate Senator Bianco commented a large part of the problem was there is no voluntarism, responsibility in terms of privacy, data retention policies, and no specified mechanisms having to do with any disciplinary proceedings that might occur out of use of social media.

Bianco tried to incorporate in the revisions language on the social media platforms, specifically third parties being used for the purposes of performance evaluation, monitoring, and an understanding of data usage by NYU and outside of NYU.

A Senator asked, beyond the relation with Google, if there are other instances of schools negotiating special versions of platforms like a special NYU version of Twitter.

Bianco responded not in the case of Twitter, but policies with Google do get negotiated, particularly having to do with use of the data itself. She commented she was unaware of any university other than Harvard, home of Facebook, where there was a special relationship negotiated, and that was superseded several years into Facebook’s existence, when it became an open and public platform.

She stated in some cases she does not believe the University can do anything about data usage, in which case the University has to take the responsibility to allow any member of the University community to opt out of participation.
Alternate Senator Derrington mentioned her and Senator Stewart’s participation on the T-FSC Administration and Technology Committee. This Committee also reviewed a specific policy on Personal Digital Content, which addresses these issues.

The recommendations of the N/C-FSC Taskforce on Social Media Policy were approved by unanimous vote of the Council.

**Coordination Committee recommendations**

*See attached Document H: Joint Coordination Committees Report*

It was noted the N/C-FSC does not have a standing committee structure yet, but with the approval of this report, the Governance Committee may begin to format the structure of standing committees that in some way parallel the T-FSC in order to begin working more productively on issues. It does not inhibit the Council from having other standing committees that are separate from the T-FSC.

Chairperson Mauro relayed T-FSC Chairperson Raghu Sundaram’s recommendation to keep committee size small and she suggested offering the Governance Committee guidelines regarding committee size of perhaps 3 to 4 members. She commented large groups can inhibit efficiency and there is less accountability for attendance.

Vice Chair Mowry commented on the congenial collaboration between the T-FSC Coordination Committees and N/C-FSC Coordination Committee. He also thanked Senator Killilea for her work on the report.

The report of the Coordination Committee and the directive to the N/C-FSC Governance Committee to develop a recommended committee structure based on the report and the recommendation of 3-4 members per committee was approved by unanimous vote of the Council.

**N/C-FSC Recommendations for Guidelines for Appointment of FTNTT/CF and N/C Recommendations for the Faculty Handbook**

*See attached Document I: Memo and materials: Guidelines for Appointment of FTNTT/CF*
*See attached Document J: Memo and materials: Faculty Handbook*

Chairperson Mauro encouraged Council members to review the responses from the Provost regarding the Faculty Handbook revisions and the Guidelines for Appointment of FTNTT/CF. The Co-Chairs of the Task Force, Senators Halpin and Carl, are also carefully reviewing these responses and will discuss at the next Council meeting. Mauro stated if any members have specific questions or comments to direct them to the Co-Chairs.

An Alternate Senator expressed concern over some of the recommendations, which were denied, specifically those regarding disciplinary regulations, who is included in the handbook, and the constitution of the final committee that reviews grievances. She suggested passing a resolution regarding these recommendations.

Mauro clarified that the disciplinary procedures will be reviewed in the next step of the process.

Senator Carl stated he compared the recommendations of the Council with the Provost’s response and can confirm they are accurate; the Provost quoted directly from the recommendation and then offered his response. The disciplinary procedures are still open for discussion.

Mauro suggested allowing time for Council members to read responses carefully, send comments to the Co-Chairs, and then discuss at the next Council meeting.
NEW BUSINESS

Responses to questions from SCOG

*See attached Document K: Council Input To Senate Self-Evaluation and Response to Questions from SCOG*

A Senator suggested adding a preamble addressing the assumption regarding the size of the Senate. He questioned the justification of the assumption that the Senate size is too large.

A Senator asked how it was expected the Senate size would not increase given the increase in faculty and students over the last 10 years. *See attached Document L: Data from Peter Gonzalez on N/C and T/TT Faculty Numbers AY 2001-2002 through 2014-2015.*

The responses to questions from SCOG, with the addition of a brief preamble regarding the concern raised over the large size of the Senate and the justification of this assumption, was approved by unanimous vote of the Council.

Data from Peter Gonzalez on N/C and T/TT Faculty Numbers

Chairperson Mauro commented on the data from Peter Gonzalez on N/C and T/TT Faculty Numbers AY 2001-2002 through 2014-2015. *See attached Document L.* The Council also asked for longevity data. Gonzalez responded the Office of Academic Appointments does not maintain records of length of service for FTNNT/CF in that capacity. There is a personnel record that shows a date of first hire, but this initial hire date is not necessarily the date of first hire as a FTNNT/CF. The individual may have been first hired in a different full-time capacity (administrator, researcher, tenure-track faculty, etc.). The OAA database also does not contain information on contracts. Traditionally it has been left to each school to inform its faculty in writing of contract renewals and the length of such contracts.

It was previously suggested by a Senator to work with school deans to collect this information. Mauro stated if this is pursued at the schools, these questions should be from the Senator’s delegation, one person should be responsible for responding from the school, and it should be done through the dean’s office.

Request from University Senate Finance Committee for input on 2015-2016 Budget

*See attached Document M: From Finance Representatives: SFAC (Finance) Committee Meeting Report and Recommendation on comments to 2015-16 Budget for Full-Time Non-Tenure Track/Contract Faculty.*

Senator Stehlik reported the request from University Senate Finance Committee for input on 2015-2016 budget was sent to all Councils. The Student Senators Council (SSC) responded with a multi-page report including requests such as copying machines in the residence halls and other supplies. The Administrative Management Council (AMC) used this as an opportunity to point out issues in terms of labor and staffing. The T-FSC typically does a simple request for a salary increase based on inflation and other items. The T-FSC representatives offered the N/C-FSC representatives a tentative number of 3.5% but also indicated that this would be the first year that they would be polling all of their faculty senators on their suggested AMI increase and also suggestions on ways to reduce expenses or increase revenue.

The N/C-FSC representatives divided the topic into two categories: direct compensation and non-direct compensation and suggested sending out a survey to all Senators and Alternates to solicit opinions regarding this topic.

A Senator asked about the use of distribution points versus using a 1-5 ranking system.

Stehlik responded the point distribution is a better way of demonstrating the weight of each in the opinion of each Council member.

A Senator asked for clarification on the discussion regarding Annual Merit Increase.
Stehlik stated the T-FSC figures out their annual merit increase request by looking at the cost of inflation and cost of living. She clarified the AMI is one pool of money; the N/C-FSC will not request specific amounts for each category, i.e. this amount in inflationary increase, this amount for cost of living, etc. It will be one number.

A Senator questioned whether the N/C-FSC AMI request should match the T-FSC request. A Senator commented there are different ways of handling at each school. A Senator stated in several FAS departments non-tenure track faculty are told that they can never get the standard AMI, that they always have to get less than the lowest tenure track faculty member.

Stehlik clarified this survey is specifically about the budget for 2015-16 and the purpose is to get a sense of the priority and importance of the issues. She also stated the survey is confidential and for Council members only. Respondents will be asked to designate if they are a Senator or Alternate. The survey will be online with a short turn-around time in order to gather the data and report back by the next University Senate Financial Affairs meeting.

The survey was approved and permission was granted by general consensus of the Council for the Steering Committee to approve and finalize the recommendations for the University Senate Financial Affairs Committee with input from our Council’s Financial Affairs members.

**ADJOURNMENT**

The meeting adjourned at 1:30 PM.
Full-Time Non-Tenure Track/Contract Faculty Senators Council  
Chair Ann Marie Mauro  

Report as of February 8, 2015

1. Health realignment plan  
   a. The N/C-FSC Steering Committee met with Executive VP for Health, Dr. Robert Berne in January (see attached revised report with further clarifications and recommendations).  
   b. Dr. Berne will attend our council meeting on February 12, 2015 to answer any questions. Afterward, a vote will be taken on recommendations regarding the health realignment plan to be forwarded to Dr. Berne.

2. Presidential Search Committee  
   a. The committee is now conducting semifinalist interviews with Chair Ann Marie Mauro representing full-time non-tenure track/contract faculty. The process is on schedule and there has been significant national and international interest in the position.

3. SCOG questions  
   a. A subgroup comprised of N/C-FSC senators from the various governance groups and the Steering committee has drafted responses to questions sent by SCOG to all of the councils regarding the Senate size and representation. A vote will be taken on these responses at the February 12th council meeting.

4. Coles redevelopment project  
   a. The N/C-FSC Steering Committee and Vince Renzi, who served on the Coles Redevelopment Advisory Group, will be meeting with the architect along with T-FSC Executive Committee/Housing & Benefits Committee for 1 hour meeting before the end of Feb.

5. The Incarceration to Education Coalition  
   a. This student group is asking for T-FSC and N/C-FSC support in eliminating a question on the admissions application asking whether applicants have been incarcerated.
b. Senator Ben Stewart is an observer on the T-FSC Educational Policies & Faculty/Student Relations Committee, who is reviewing the issue. Ben will give the N/C-FSC a report so we can determine next steps from our council.

6. Full-Time Non-Tenure Track/Contract Faculty (FTNTT/CF) Data
   a. The N/C-FSC Steering Committee has requested data regarding the numbers of FTNTT/CF university-wide and by school, including their longevity, from Peter Gonzalez who is still compiling the data.
   b. The Steering Committee is also developing a survey for senators to work with their deans collect data at the school level (see attached).

7. Committee Updates
   a. Social Media Guidelines
      i. The ad hoc committee will present its recommendations at the February 12th council meeting (see attached).
   b. Coordination
      i. The final report and recommendations of the combined T-FSC and N/C-FSC coordination committees regarding a shared committee structure will be presented (see attached).
   c. Faculty Handbook Revisions & FTNTT/CF Appointment & Promotion Guidelines
      i. Provost sent these documents to Deans Council for feedback then will respond to the T-FSC and N/C-FSC.
   d. Governance
      i. The committee is continuing its work to formulate recommendations regarding the N/C-FSC operating procedures.
   e. Finance Committee
      i. The committee is drafting questions for a survey of N/C-FSC senators for input on the 2015-2016 budget requested by the University Financial Affairs Committee (see attached).
   f. Naming
      i. The committee sent out a survey to solicit suggestions regarding inclusive names that describe our constituency, but no feedback was received.
      ii. The committee will follow up with a Stern faculty member who does creative marketing to get some ideas.

*The N/C-FSC Meeting is on Thursday, February 12, 2015 from 12pm - 1:30pm in the Grand Hall at GCASL.*
Executive Vice-President for Health, Dr. Robert Berne, explained that the driver of the health realignment plan is the academic synergies that can be created, as he would like to further break down the silos that exist. Dr. Berne stated the new Faculty of Health (FoH) would not be like any other unit at NYU, including the Faculty of Arts and Science (FAS), as it would become different than the two colleges in FAS.

According to Dr. Berne, the new health realignment plan will:

- Create a new set of units that will strengthen and integrate the health units and set a more collaborative and integrative strategic direction
- Devolve decision making to the three colleges within the Faculty of Health (FoH)
- Facilitate processes with full transparencies in both directions
  - Will be able to ask questions of person in charge of budget at each college vs. a central person
- Allow Deans to have budget freedom while being a part of the FoH and University
- Move some responsibilities down to the college/faculty level vs. the university level
- Have fewer administrative positions overall vs. more than in end, including at the FoH level
- Be reviewed by the both Faculty Senators Councils, then it will likely go to the Senate Academic Affairs Committee, and then to the Board of Trustees for approval at its June 2015 meeting if possible.

Specific questions and issues raised by the Steering Committee members with Dr. Berne:

1. Economies of scale
   a. Budget
      - Each college will have its own budget for faculty hiring, and develop its own staffing plan with the Dean of the FoH and the Executive Vice-President.
      - Within the existing staffing plans, currently the Executive Vice-President does not get involved in most early career hires; only midcareer and senior tenure track/non-tenure track positions come to the Executive Vice-President for approval.
   b. Research and grants
      - Decisions regarding indirect costs (e.g., administration, personnel) paid to NYU through grants would stay in the units and would follow where the work is done (generally via share of salary)
   c. Restructuring of existing positions in the existing Institute for Global Public Health and the Colleges of Dentistry and Nursing
      - Will be determined function-by-function to determine the needs and current models of efficiencies and effectiveness, e.g., grants, human resources, etc.
  
2. Joint Faculty of Health Committees
   a. Dean of Faculty of Health Search Committee
      - Representation from each college
      - Inclusion of full-time clinical faculty from each college
   b. Appointments, Promotions, and Tenure (AP&T) Committee
Faculty-wide big benefit in terms of consistency of standards
Dr. Berne favors combined AP&T and search committees at the college and FoH levels
Inclusion of full-time clinical faculty on joint committees
Exemplar cited – College of Nursing AP&T, Search, and Faculty Council Steering Committees

3. Governance
a. Health realignment 11/20/14 minutes explicitly state Deans will each have their own seat on the University Leadership Team (see p. 17 appendix a)
b. Dr. Berne foresees individual Senate representation for each faculty, students, and deans from college subject to the approval of the Board of Trustees

4. Interprofessional Collaborations
a. All current affiliates of GIPH would likely translate to the new College of Global Public Health
b. One of possible disadvantages for the new College of Global Public Health is a possible reduction in interschool and interdiscipliary joint appointments vs. solely having its own appointments. The College of Global Public Health will mitigate this by maintaining a significant percentage of joint appointments.
c. Need to be mindful of integration of physical and behavioral health and to continue to build those partnerships with the School of Medicine, Steinhardt, and Silver

5. Global Network University Portals and Study Away Sites
a. Colleges of Nursing & Public Health will develop their own courses and activities at NYU’s study away sites and have some good overlap
   - May require time for this to occur at undergraduate level
b. A next step at NYU is to address how to embed health science degree programs at NYU Abu Dhabi & Shanghai

The N/C-FSC Steering Committee respectfully requests that Executive Vice-President for Health, Dr. Robert Berne, consider inclusion of the following recommendations in the health realignment proposal:

1) **Economies of Scale:** It is recommended that more specific language be added to the proposal where feasible regarding budgets; sharing research grants and indirect costs; and the restructuring of positions in the existing Institute for Global Public Health and the Colleges of Dentistry and Nursing.

2) **Joint Faculty of Health Committees:** It is requested that specific language be added regarding the inclusion of clinical faculty (full-time non-tenure track/contract faculty) on FoH joint committees, e.g., AP&T, Dean’s Search.

3) **Governance:** The current proposal states that “each of the three colleges would be at the school/college level in the NYU lexicon” and that, “The three colleges will each have their own dean who will be a member of ULT [University Leadership Team] and participate in the Dean’s Council, together with a Dean of the Faculty of Health. Once the concept is formalized and approved by the University Board of Trustees, these changes will be written into the University bylaws.” **We also recommend the addition of explicit language stating that faculty, students, and deans from each of the three colleges will have their own University Senate representation subject to the approval of the University Board of Trustees.**
December 16, 2014

Professor Ann Marie P. Mauro
Clinical Associate Professor
College of Nursing
Chairperson, Full-time Non-Tenure Track/Contract Faculty Senators Council
New York University

Dear Ann Marie,

As you know, discussions among faculty members and deans have been underway since last spring semester to realign several of our health-related academic units at NYU. At this point, on behalf of the University leadership, I am writing to you as Chair of the Full-Time Non-Tenure Track/Contract Faculty Senators Council to seek the Council’s review and advice concerning the proposals. The conclusions that you will find below were recently reviewed and endorsed by a working group that included nine schools, and 27 members (comprised of both deans and faculty.) They are listed below.
### Health Realignment Working Group Members

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<td>Steven Abramson</td>
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<td>Bob Berne</td>
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<td>Charles Bertolami</td>
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<td>John Billings</td>
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<td>Mary Brennan</td>
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To assist the NC FSC to carry out its review, I have put together a document, HealthRealignmaterials12162014aa, which contains all of the materials of the working group, with the exception of one power point presentation that is included separately. You will note that in my talking points for the first meeting (contained in the appendix of the minutes of the first meeting), a summary of the history of the idea is presented, thus I will not rehash them here. It is important to note that this proposal has been shaped by productive conversations within schools and across schools.

Rather than restating the proposal, I think it is best to reproduce the unanimous conclusions of the 27 member working group:

**Conclusion of the Working Group, 11/20/14, Approved by all members of the Working Group:**

*The NYU Health Realignment Working Group, composed of 26 faculty members and deans and chaired by the Executive Vice President for Health, Bob Berne, met on October 8th, November 11th and November 22nd. Attached are a list of members of the Working Group and minutes from the three meetings.*

*The meetings included active discussions of a proposal to realign several of the health units at NYU. The intent is to enhance academic achievement, to enrich our reputation and stature in nursing, dentistry and global public health, and to formalize a structure to promote cooperation, creativity and positive outcomes extending throughout the health field more generally.*
There is no “perfect” organizational structure, and any change such as the one recommended below has advantages, disadvantages, and risks. Taking these and other factors into account, the Working Group is endorsing the following proposal:

A new college of global public health will be created at NYU as a natural evolution in the development of the Global Institute of Public Health (GIPH). At this time it is anticipated that the six tenure/tenure track faculty in public health in Steinhardt will choose to move to the new College of Global Public Health, with the requisite consideration of the individual faculty member transitions and the fiscal effects on the Steinhardt School. Further, the College of Nursing will no longer be a component of the College of Dentistry. Finally the three colleges – the new College of Global Public Health, the College of Dentistry, and the College of Nursing – will be linked together in a structure to be named the “the Faculty of Health” (FoH). While each of the three colleges will be at the “school-college” level in the NYU lexicon with appropriate autonomy, their joining to form the Faculty of Health will create academic and administrative synergies to take advantage of emerging inter-professional and inter-disciplinary opportunities and to establish a distinctive edge in an ever increasing competitiveness in health-related disciplines. The formation of the Faculty of Health will also facilitate interactions with other health schools and programs at NYU and beyond. The current expectation is that the Faculty of Health will have a dean and modest staffing to provide oversight and support in areas that include strategic planning, budget/finance, faculty recruitment, retention and promotion, human resources, research and grant management, and IT. (It is also expected that there will be a national search for the Dean of the Faculty of Health with a faculty-majority search committee.) In these areas, significant economies of scale might be achieved that will place the Faculty of Health at an advantage in securing faculty, students, and research funding.

We understand that the next steps are reviews by the appropriate elected bodies at NYU, review and approval by the University leadership, and approval by the NYU Board of Trustees, followed by submission to the State of New York.

(Note that subsequent to the approval of these conclusions, it was determined that State of New York review is not required.)

To sum up, the proposal is (1) to create a new College of Global Public Health; (2) to create a Faculty of Health containing the College of Dentistry, the College of Nursing, and the College of Global Public Health; and (3) thus changing the status of the College of Nursing so that it is no longer part of the College of Dentistry, but instead equivalent in status to the College of Dentistry and the College of Global Public Health.

In order to have sufficient time for University Senate to review the proposal this semester, I am requesting the NC FSC review by the end of February.

I am available to discuss this with any members or committees of the NC FSC, and I would welcome the chance to attend your next meeting. I am asking for a similar review in the same time frame from the Tenured/Tenure Track Faculty Senators Council.

Thank you for your review of this proposal.

Bob

cc: John Sexton, David McLaughlin, Carol Morrow, Terrance Nolan, Raghu Sundaram
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# Health Realignment Working Group Members

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<td>Steven Abramson</td>
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<td>Bob Berne</td>
<td>EVP for Health</td>
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<td>Charles Bertolami</td>
<td>College of Dentistry</td>
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<td>John Billings</td>
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<td>Dominic Brewer</td>
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<td>Virginia Chang</td>
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<td>Mary Cowman</td>
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<td>Michael Ferguson</td>
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<td>Sherry Glied</td>
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<td>Richard Hayes</td>
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<td>Cheryl Healton</td>
<td>Global Institute of Public Health</td>
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<td>Mary Ann Hopkins</td>
<td>School of Medicine</td>
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<td>Christine Kovner</td>
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<td>Danielle Ompad</td>
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WORKING GROUP ON HEALTH RE-ALIGNMENT

October 8, 2014
10:30 am – 12:00pm

AGENDA

1. Welcome and Introductions
2. Overview
3. Discussion
4. Presentation on Schools/Colleges of Public Health
5. Next Meeting
NYU Health Re-alignment Working Group
First Meeting Minutes – Wednesday, October 8, 2014

Attendees: Steve Abramson, Bob Berne, Charles Bertolami, John Billings, Jan Blustein, Mary Brennan, Dominic Brewer, Virginia Chang, Mary Cowman, Tom D’Aunno, Michael Ferguson, Vincent Guillermo Ramos, Richard Hayes, Cheryl Heaton, Mary Ann Hopkin, Christine Kovner, Danielle Ompad, David Oshinsky, Michael Purugganan, Carol Shoshkes Reiss, Diana Sidtis, Silvia Spivakovsky, Katepalli Raju Sreenivasan, Eileen Sullivan Marx, Lynn Videka

Meeting Summary:
The NYU Health Re-alignment Working Group, with members representing the College of Dentistry, College of Nursing, Global Institute of Public Health, Steinhardt School of Culture, Education, and Human Development, School of Medicine, Silver School of Social Work, Polytechnic School of Engineering, Robert F. Wagner Graduate School of Public Service, and Faculty of Arts and Science, had its first meeting on Wednesday, October 8th, 2014. The meeting was convened by Bob Berne, Executive Vice President for Health.

The purpose of the Working Group is to consider a proposal for the re-alignment of several health areas with the goal of improving NYU’s academic performance and reputation. If consensus is reached to proceed with a re-alignment, the following steps will take place: 1) review of the proposal by University Leadership, 2) subsequent review by elected bodies at NYU, 3) approval by the NYU Board, and 4) submission to NY State for approval.

Bob further explained the rationale behind this initiative, which is inclusive in nature and involves both schools that are directly affected in a significant way and those on which the impact will be less substantial. The attached talking points provide additional details, however the path to the discussion by the Working Group is grounded by two primary points:

- Following the creation of the Global Institute of Public Health, the recognition of the importance of global public health at NYU has gained considerable momentum, leading to the idea of the creation of a College/School of Global Public Health; and

- The increasing importance of inter-professional and inter-disciplinary activities in health, the reduction of individual professional silos, and the potential for academic and non-academic synergies have generated the idea of creating a Faculty of Health composed of the College of Dentistry, College of Nursing and a newly created College of Global Public Health.

After going through the attached talking points, Bob then opened for questions and comments. Many of those present made comments which can be roughly grouped in the following brief summaries:

- It will be important to articulate the academic rationale for the elements included in the proposed new global public health college and those that would not. The strongest arguments are the conceptual ones, with issues such as size being secondary.

- Nursing has positive experience with the cross-professional collaboration and can benefit from further elaboration.
• An advantage for NYU in global public health is to build on the already established cross-school partnerships in degree programs, research and faculty appointments. A continuation of this dimension will be a real strength of NYU.

• Health policy and management as developed in the Wagner School is different from a policy focus in public health and both can flourish at NYU while benefitting from each other.

• The School of Social Work’s research identity has grown significantly, which has been in part driven by the public health framework. The integration of health and behavioral health at Social Work has become an important part of social work education and there is great interest in maintaining and expanding the already close working relationship. There is some disagreement among faculty as to where they should sit in a Faculty of Health.

• Inter-disciplinary education is growing and a Faculty of Health that is aligned with the School of Medicine would be advantageous and strengthen its Department of Population Health. GIPH as a College of Public Health would represent an excellent opportunity for new synergies.

• Health and wellness innovation are a significant focus at NYU Poly and it would be important to develop a close collaboration with a Faculty of Health.

• There is great enthusiasm surrounding the creation of a College of Public Health among faculty in Steinhardt, but it is important to understand the specifics regarding, for example, individual faculty contract implications. Public Health research at Steinhardt is very diverse and is lacking a single, cohesive intellectual identity.

• It would be helpful to have further clarity on the model as there is some confusion about the notion of the role of faculty in professional schools.

• FAS already has interactions with GIPH, but with individuals rather than units. There are distinct advantages to a Faculty of Health which will bring stronger coherence and collaborations with FAS.

• It will be an attraction for students to have a well-defined Faculty of Health. A more coherent identity will improve the way public health is perceived externally. It will attract students and enhance opportunities for faculty.

• While there is enthusiasm, it is important to provide some empirical evidence as to why this alignment is advantageous. It is also important to understand the potential disadvantages should the process move forward. Some evidence will be provided at the next meeting.

• Much of the synergy has already started and GIPH has over 100 affiliated and associated faculty across schools. It is important not to lose the interdisciplinary nature of the curriculum and to that end, GIPH’s interschool search committee will continue to operate. Also to be noted, NIH funding for medical schools is significantly higher where there is a Public Health program. This speaks to the importance of public health in terms of grant/research potential.

Action Items:

• A sub-group consisting of Bob, Cheryl, Dom and Virginia will be created to identify specific issues for faculty at Steinhardt.
• Next meeting – November 11, 2014 from 5:00 – 6:30:
  o Presentation by Cheryl Healton
  o Discussion of possible disadvantages of a re-alignment
  o Report on conversations with Steinhardt Faculty
APPENDIX

BOB BERNE’S TALKING POINTS

1. Purpose of the Working Group is to consider a proposal for the re-alignment of several of the areas in health to improve our academic performance and reputation. Such a proposal, if developed, will then be reviewed by the University leadership and assuming support, the proposal will be then reviewed by the appropriate elected bodies at NYU before submission to the State of NY. At this juncture, either or both of the University Senate and/or Faculty Senators Council are likely to be the elected bodies for review.

2. Before considering the initiative that has been informally discussed for the past six months or so, there are a few preliminary ideas to present

3. First, we are not starting from scratch. We have a history and a developed set of schools and programs thus any proposed changes need to be viewed in this context.

4. Second, the four main health areas at NYU have improved significantly over the past decade – Medicine, Dentistry, Nursing, and Public Health have been improving in teaching, research and clinical/public health practice activities, as well as fiscally, thus this is not a move to address any kind of decline.

5. And third, we have constituted this working group in an inclusive fashion, that is, not only schools that are significantly affected and schools that are affected in meaningful but not all-inclusive ways are included, but also schools that are affected in minor ways have also been asked to participate. All participating schools have been represented on the Dean’s Advisory Council to GIPH.

6. What is the genesis of this initiative? There are two different but related ideas that have come together

7. The first is that with the creation of the Global Institute of Public Health at NYU, many involved in global public health have come to the realization that this can be a real strength of NYU and its development and articulation has moved ahead more rapidly than many have imagined, certainly faster that I thought. I did not think there would be a college or school of global public health in my working lifetime, and maybe not even in many of the people’s in this room. But the enthusiasm for global public health and the realization that absent a college or school of global public health we would be at a competitive disadvantage for students, faculty, research grants and other reputational factors has increased momentum calling for a change. In addition, while we would expect the interdisciplinary orientation to continue after a college of global public health is created, there are reasons why insisting that every public health tenure/tenure track appointment is interschool can be counterproductive by excluding from the recruitment pool the kinds of people who may be excellent but would not be attracted without a tenure/tenure track opportunity in a college or school of public health. Cheryl will speak to these points later in the meeting. Thus one component of the idea that has been discussed is to create a college or school of global public health.

8. The second is that with the increasing importance of inter-professional and inter-disciplinary activities in health, there is much to be gained by more closely linking several of our health units at NYU. The College of Dentistry does not hire only dentists, the College of Nursing does not hire only nurses, and public health draws on both of these areas and a range of others as is typical of most schools of public health. Combined with this is the more pragmatic notion that small schools within NYU can have
elements of inefficiency – even though some small NYU schools are among the largest of their kind in the country.

9. Taken together, these rationales have led to the idea of creating a Faculty of Health (similar to the Faculty of Arts and Science) that in this case would include the College of Dentistry, the College of Nursing, and the newly created College of Global Public Health. An advantage for Nursing is that it will be organized in a closely aligned fashion with Dentistry and Global Public Health. For Nursing, an alignment with a College of Dentistry and College of Global Public Health will enhance its current successful inter-professional and inter-disciplinary activities; clarify its position within NYU and with peer nursing schools; and enable stronger partnerships with a Faculty of Health to continue an upward trajectory in teaching, research, practice, and policy. An advantage for Dentistry relates to the inter-professional and inter-disciplinary activities as it is aligned with the other two units and the College of Dentistry faculty recruiting in areas other than dental faculty will be enhanced significantly as those faculty will be able to be a part of a Faculty of Health.

10. Thus, what has emerged in discussions over the past six months is an idea to create a Faculty of Health that would be composed of the College of Dentistry, College of Nursing, and a newly created College of Global Public Health.

11. Others units at NYU would be affected by this change, primarily Steinhardt, Wagner and Medicine, and I would like to comment on the way this idea would affect these schools.

12. I would like to talk about Steinhardt first, and because of what has occurred over the past six months, I will go into a little bit of detail for the benefit of the committee. Historically Steinhardt had been a key part of the formation of GIPH and prior to the formation of GIPH, Steinhardt housed an MPH program for close to 40 years, and houses other health programs as well including physical therapy, occupational therapy, communication-speech disorders, nutrition and food studies, and community psychology. Early on in the spring, when the idea of a faculty of health and college of global public health first surfaced, and I became involved in the discussion, after consulting with University leadership, I indicated that if any Steinhardt health-related faculty were to move to a new unit, it would be with the consent and decision of the affected faculty. I spoke with several groups at Steinhardt over the spring semester and there was a fair amount of anxiety within Steinhardt not only because of a potential organizational change but also in part because there was an ongoing search for a new dean. (At the time, I was faced with the dilemma – Do I try to suppress the conversation or alert key people to the fact that the conversation was emerging and I chose to do the latter. I spoke with the head of the dean search committee almost immediately of learning about the on-going conversations, and then met with the search committee to explain what I knew at the time.) As a result of that discussion, we decided that rather than starting this committee in the latter part of the Spring semester, we would wait until now so that Dom Brewer could be in place. But as this was playing out, I met with various groups in Steinhardt and it seemed to me that the main focus of the potential re-alignment would be in the public health area, not in the other health units in Steinhardt. (I want to make clear that if other units are interested in joining they would be welcome.) In these discussions in the spring, there were many issues discussed but three that stood out to me – (1) the fact that there would be choice to move for Steinhardt faculty if the Faculty of Health is created, probably choice by unit; (2) that if a unit moved that there would be budget neutrality in the move of the activities out of Steinhardt and into a new unit; and (3) that the dominant faculty model would be more analogous to a mix of teaching and research as there is at the Square compared to a much lesser role for teaching and a greater reliance on research funding than there is at the School of Medicine. As all of this was in play, I had regular communications
with Dom as he was transitioning into his new role as dean. Just in terms of numbers there is fewer than 10 public health faculty in Steinhardt, in a total faculty of about 240 full-time faculty members at Steinhardt.

13. The Wagner School has been an active participant in the developing public health initiatives at NYU since it started about eight years ago. The first co-director of the global MPH program was Jo Boufford, then a faculty member in Wagner but formerly the dean of Wagner. The Wagner School has about 8 faculty members in health policy and management out of a faculty of 37 total full time faculty members. There is clearly an overlap with public health but unlike the Steinhardt situation, Wagner does not offer the MPH but offers the MPA with a specialization in health policy and management. (full disclosure: my tenure home and Cheryl’s tenure home are in Wagner.) Furthermore all of the MPH students in Wagner take a school wide core that is different from the MPH core. Thus with the health program comprising a significant part of the Wagner School, with a common school-wide core and no MPH degree, it does not make sense to me to move the MPA health program in Wagner or the school itself into the proposed Faculty of Health, although there will be significant collaboration among faculty and courses in Wagner and global public health. This “jointness” was recognized by both Sherry Gled and Cheryl Healton when they jointly hired Professor Tom D’Aunno who is a specialist in health management and policy to be sure that both units gain with the growth of global public health at NYU.

14. The Medical Center is a case unto itself. In budgetary terms, the school of medicine and the hospital, which comprise the med center, are close to 60 percent of the total budget of the med center and university combined. The Med center is run as a stand-alone entity, though with increasing academic collaboration with the Square. The Medical School has been involved in the new public health initiative from the beginning eight years ago and the other co-director of the new global public health program at that time was a med school faculty member. Its Department of population health which has an overlap with public health, has many joint appointments with giph and has 64 faculty members out of a total of 1539. It is interesting to note that among the top ten medical schools measured in terms of total NIH grant funding, nine of the ten offer public health, five have separate schools of public health, two have programs of public health, one in the med school, and two have public health in their state system as is the case in California yet all have significant population health-public health research within the med school. Thus the presence of highly active public health schools in universities with highly ranked med schools is fairly common. There are three other factors that argue for the current structure. First, the size of the med center is orders of magnitude greater than any of the three health programs – dentistry, nursing, and global public health, that we are considering. There is a danger (and this why these schools are not usually joined with med schools) that they would be swallowed up and lose their identity in a med school. The second reason is that the academic model of research and clinical care with little teaching is very different than at the rest of the university where teaching takes more time of the typical faculty member. Third, the public health accrediting body requires a degree of independence for the public health school. These factors plus the fact that the Med center is doing well in its own challenging world lead me to conclude that public health is not best located in the Med School at NYU.

15. I think this provides the idea and some background, so I will stop here and ask for questions or comments.
AGENDA FOR SECOND MEETING ON HEALTH RE-ALIGNMENT

November 11, 2014

AGENDA

1. Comments on the Minutes from the First Meeting
2. Presentation on College of Global Public Health by Cheryl Healton
3. Discussion of Presentation on College of Global Public Health including Potential Advantages and Disadvantages of Proposed Health Re-Alignment
4. Report on Conversations with Steinhardt Public Health Faculty
5. Other Matters
6. Next Meeting
NYU Health Re-alignment Working Group  
Second Meeting Minutes – Tuesday, November 11, 2014

Attendees: Bob Berne, Charles Bertolami, John Billings, Mary Brennan, Dominic Brewer, Virginia Chang, Mary Cowman, Tom D’Aunno, Michael Ferguson, Vincent Guillamo Ramos, Richard Hayes, Cheryl Healton, Mary Ann Hopkins, Christine Kovner, Danielle Ompad, Michael Purugganan, Carol Shoshkes Reiss, Diana Sidtis, Silvia Spivakovsky, Katepalli Raju Sreenivasan, Eileen Sullivan Marx

Meeting Summary:
The NYU Health Re-alignment Working Group had its second of three scheduled meetings on Tuesday, November 11, 2014. The minutes from the first meeting on Wednesday, October 8, 2014 were approved. If the group reaches a consensus to move forward with the re-alignment process, minutes from all three meetings will be included in the documentation submitted to University Leadership. If any working group members have additions to or comments on the minutes, they should be sent to Bob Berne and the minutes will be amended accordingly.

Cheryl Healton gave a presentation entitled “Considering a College of Global Public Health at NYU” which provided an overview of the current state of Public Health and the opportunities that would arise from the creation of a College of Global Public Health at NYU. A copy of the PowerPoint presentation will be distributed to the Working Group together with the minutes.

Following the presentation, Bob opened the discussion for comments which are summarized below:

- In response to a question raised about the relationship with NYU portal locations, Bob and Cheryl explained that discussions about bi-continental programs are already underway. Furthermore, based on the academic opportunities and status of graduate programs at the portals and sites, public health issues are under consideration and there is significant interest.

- It was mentioned that wet labs can be an important component of a college of public health; opportunities to partner with existing NYU labs, including those at the College of Dentistry, Poly, and FAS, could be beneficial.

- An example of the unique synergies with public health is the recent joint appointment between Engineering and GIPH of a highly accomplished faculty member whose field of expertise is big data.

- Like most other schools, the costs associated with a College of Global Public Health would be covered by tuition revenue, ICR and fund raising. While a College of Global Public Health would be similar in model to Silver and Wagner, public health has a greater ICR research base. To avoid financial challenges currently facing some schools of public health, it is important to establish a sustainable financial model from the start. Many of these schools have models based primarily on ICR. A new college of global public health would need to balance tuition revenue, ICR and fund raising and offset swings in any single source.

The advantages of having a Faculty of Health vs. just a College of Global Public Health lie in the overlapping synergies that could be maximized across faculties. There are further advantages in infrastructure and spreading of fixed costs over a small base, allowing for efficiencies of scale. The College of Dentistry and College of Nursing already have shared processes that work well for both, and
the disciplines involved in this re-alignment are similar that all would benefit. The point was raised that it is critical to understand what can be shared across disciplines in order to avoid departmental silos.

Following this discussion, Bob outlined a few possible disadvantages to the proposed health re-alignment, beyond the obvious risks associated with starting a new venture. In summary, these disadvantages are:

- Losing the multi-school, multi-disciplinary model built into GIPH
- Effects on Steinhardt
- Fiscal issues
- Impact on other partner schools such as the School of Medicine, Wagner, and Silver

With an awareness of these issues and the continued active involvement of the Deans Council and the Executive Vice President for Health, each of these disadvantages can be mitigated in a significant manner.

The meeting concluded with a report on the conversations with Steinhardt Public Health Faculty. The greatest anxiety surrounding the proposed re-alignment is focused on the potential changes in current arrangements, workloads and daily lives of faculty who would be directly affected. There was some concern expressed that Steinhardt faculty expectations around teaching/research would be separate from other faculty in a College of Global Public Health, though it was indicated that will not be the case. While the conversations with Steinhardt faculty will continue, it has been determined that the model would be analogous to the current Washington Square model in which faculty would have the opportunity to fund their summer months, and to buyout a portion of their teaching load during the academic year. Cheryl commented that the goal is to find an approach that is consistent for everyone, tailored according to specific situations.

**Next Steps**

- Prior to the next meeting on Thursday, November 20, Bob will distribute a one page overview of the Faculty of Health concept.
- The goal of the next meeting is for the group to come to a conclusion regarding an endorsement of the proposed health re-alignment, composed of the establishment of the College of Global Public Health, and the creation of the Faculty of Health composed of the College of Global Public Health, College of Nursing, and College of Dentistry.
- When the Working Group reaches its conclusions, Bob will provide these conclusions along with the minutes from all three Working Group meetings to the appropriate elected bodies at NYU.
AGENDA FOR THIRD MEETING ON HEALTH RE-ALIGNMENT

November 20, 2014

AGENDA

1. Comments on the Minutes from the Second Meeting
2. Discussion of the parameters of the Faculty of Health
3. Additional Report on Conversations with Steinhardt Public Health Faculty
4. Draft Conclusions of the Working Group
5. Next Steps
Draft Description of the Faculty of Health

The Faculty of Health at NYU will be a newly created over-arching structure that will be composed of the College of Nursing, the College of Dentistry, and the newly created College of Global Public Health. The purpose of the Faculty of Health will be to create academic and administrative synergies by fostering excellence within and across all three colleges and throughout the health domain at NYU. All three colleges will have “school-college” status in the NYU lexicon, all will be equal constituent members of the Faculty of Health, and each will have the appropriate level of autonomy. The Faculty of Health will create and enhance strong linkages throughout the University but especially in the other health related entities such as the NYU Langone Medical Center, the Steinhardt School of Culture, Education and Human Development, the Wagner School of Public Service, and the Silver School of Social Work as well as in the Polytechnic School of Engineering and the Faculty of Arts and Science. The Faculty of Health will work with the three colleges to take advantage of emerging inter-professional and inter-disciplinary opportunities and to establish a distinctive edge in an ever increasing competitiveness in health-related disciplines.

The Faculty of Health will be led by a dean appointed after a national search by a faculty-majority search committee. The aim will be to creatively and dynamically balance autonomy of constituent colleges with the academic advantages and administrative economies of scale achievable through a Faculty of Health. The approach is described here at the general level inasmuch as precise details of the staffing, roles, and responsibilities within the Faculty of Health will be determined collaboratively between the deans and faculties of the three colleges and the Executive Vice President for Health.

The dean of the Faculty of Health, along with modest staffing, will provide oversight of the three colleges. The dean of the Faculty of Health will report to the Executive Vice President for Health and, while the three college deans will report directly to the dean of the Faculty of Health, each of these deans will maintain ties with the Executive Vice President for Health and the President. The dean of the Faculty of Health will oversee the long term strategic planning, faculty staffing and budget-finances of the three colleges. In the area of faculty promotion and tenure, while college level processes for assessment will be in place, there will be a Faculty of Health-wide tenure and promotion committee that will make recommendations on these matters to the dean of the Faculty who, in turn, will make a recommendation to the University.

It is anticipated that significant economies of scale might be achieved in several areas, with functions designed to address both efficiency and autonomy concerns. Examples include faculty recruitment, retention and promotion, budget/finance, human resources, research and grant administration, and IT. In each of these areas, there are systems and policy parameters that are best addressed at the Faculty of Health level, still leaving considerable flexibility for decision-making at the college level. Examples could include enrollment forecasting, budget modelling, choices around IT platforms and software, and personnel policies, all of which are consistent with broader University policies.

As an example, several incentive systems for faculty that reward research funding could be developed at the Faculty of Health level and then deployed in the three colleges; the existence of the models would insure compliance with various external and University rules and create a transparent and equal playing field for all faculty members in the Faculty of Health while maintaining the existing responsibility-centered matrix of the University as a whole. As a second example, with the importance of large complex grants in the health field, the Faculty of Health could organize and lead efforts to build
collaborative teams for these mega grants within the colleges comprising the Faculty of Health, across other schools and institutes at NYU, and with other university partners. It is likely that complex issues such as allocating faculty time, sharing of indirect costs, cost sharing and the like can be more effectively accomplished at the Faculty of Health level.
Draft Conclusion of the Working Group:

The NYU Health Realignment Working Group, composed of 26 faculty members and deans and chaired by the Executive Vice President for Health, Bob Berne, met on October 8th, November 11th and November 20th. Attached are a list of members of the Working Group and minutes from the three meetings.

The meetings included active discussions of a proposal to realign several of the health units at NYU. The intent is to enhance academic achievement, to enrich our reputation and stature in nursing, dentistry and global public health, and to formalize a structure to promote cooperation, creativity and positive outcomes extending throughout the health field more generally.

There is no “perfect” organizational structure, and any change such as the one recommended below has advantages, disadvantages, and risks. Taking these and other factors into account, the Working Group is endorsing the following proposal:

A new college of global public health will be created at NYU as a natural evolution in the development of the Global Institute of Public Health (GIPH). At this time it is anticipated that the six tenure/tenure track faculty in public health in Steinhardt will choose to move to the new College of Global Public Health, with the requisite consideration of the individual faculty member transitions and the fiscal effects on the Steinhardt School. Further, the College of Nursing will no longer be a component of the College of Dentistry. Finally the three colleges – the new College of Global Public Health, the College of Dentistry, and the College of Nursing – will be linked together in a structure to be named the “the Faculty of Health” (FoH). While each of the three colleges will be at the “school-college” level in the NYU lexicon with appropriate autonomy, their joining to form the Faculty of Health will create academic and administrative synergies to take advantage of emerging inter-professional and inter-disciplinary opportunities and to establish a distinctive edge in an ever increasing competitiveness in health-related disciplines. The formation of the Faculty of Health will also facilitate interactions with other health schools and programs at NYU and beyond. The Faculty of Health will have a dean and modest staffing to provide oversight and support in areas that include strategic planning, budget/finance, faculty recruitment, retention and promotion, human resources, research and grant management, and IT. In these areas, significant economies of scale might be achieved that will place the Faculty of Health at an advantage in securing faculty, students, and research funding. There will be a national search for the Dean of the Faculty of Health with a faculty-majority search committee.

We understand that the next steps are reviews by the appropriate elected bodies at NYU, review and approval by the University leadership, and approval by the NYU Board of Trustees, followed by submission to the State of New York.
NYU Health Re-alignment Working Group  
Third Meeting Minutes – Thursday, November 20, 2014

Attendees: Bob Berne, Charles Bertolami, John Billings, Mary Brennan, Dominic Brewer, Tom D’Aunno, Michael Ferguson, Sherry Glied, Vincent Guillamo-Ramos, Cheryl Healtón, Mary Ann Hopkins, Christine Kovner, David Oshinsky, Diana Sidtis, Silvia Spivakovsky, Katepalli Raju Sreenivasan, Eileen Sullivan Marx, Lynn Videka

Not in attendance: Steve Abramson, Jan Blustein, Virginia Chang, Mary Cowman, Nikhil Gupta, Richard Hayes, Danielle Ompad, Michael Purugganan

Meeting Summary:  
The NYU Health Re-alignment Working Group had its third and final meeting on Thursday, November 20, 2014. No corrections were requested to the second meeting minutes which were approved.

The meeting began with a brief overview by Bob Berne of the Faculty of Health concept which emerged from the initial conversations about a College of Global Public Health. Bob distributed a summary description of the Faculty of Health to the Working Group prior to the meeting (attached to these minutes). Bob informed the group that President Sexton and University leadership are supportive of the concept and some members of the Board of Trustees have been given preliminary notice of the discussions that are taking place.

The Faculty of Health concept in part stems from the inter-professional experience of the College of Dentistry and College of Nursing. It is consistent with the expansion of disciplines and professions in health that are now working more closely together. The Faculty of Health will create an over-arching structure that will bring the three colleges into further alignment and will foster a greater degree of interdisciplinary activity and scholarship across the University. The proposed format is analogous to the NYU Faculty of Arts and Science (FAS) with its undergraduate college and graduate school, and its three divisions. The proposed organizational design also roughly parallels the existing arrangement of NYU Stern which has an undergraduate college within its School of Business. As noted in the attached, this structure will foster a critical mass of academic talent, generate synergies in scholarship, and attain significant economies of scale. The intent is to achieve a level of excellence and impact that none of the colleges could accomplish alone and that will benefit the University’s overall mission of teaching, research, and service.

If the decision is made to move ahead with the Faculty of Health, conversations will continue with the participating colleges to help guide their collaboration and to be sure that the individual colleges’ needs for flexibility and autonomy are addressed. The three colleges will each have their own dean who will be a member of ULT and participate in the Dean’s Council, together with a Dean of the Faculty of Health. Once the concept is formalized and approved by the University Board of Trustees, these changes will be written into the University bylaws.

Following this brief overview, Bob opened the floor to questions and comments as summarized below:

- Will the collaboration with non-Faculty of Health schools continue and will faculty maintain their associated/affiliated status?
o Yes. The goal is to avoid losing the cross-school aspect of these collaborations, so they will continue. Furthermore, the expectation is that 50 percent of faculty appointments will be jointly-held between collaborating schools.

- How will the tenure committee be structured?
  o Each school and college at the University has common elements but there are differences as well. The preliminary idea is for each college to have its own committee which will provide recommendations to a single Faculty of Health committee. The FOH committee will submit to the Dean of the Faculty of Health who will then make recommendations to the Executive Vice President for Health/Provost. The tenure clock timing has not been decided; the Colleges of Dentistry and Nursing are on a ten year clock which may be the model to follow. The issue of joint tenure homes will be reviewed.

  - The proposed tenure process may create some uncertainty for social scientists in Global Public Health because of the concern that the other colleges may not have an appropriate understanding of the standards for promotion and tenure in the social sciences. The diverse disciplinary background of the faculty members serving on the FOH committees may make it more difficult to make an effective argument for granting tenure to social science faculty.
    - Several members indicated that while it is important to flag this issue, current experience suggests that this can be mitigated. The pilot experience between Dentistry and Nursing having a joint Appointments, Promotions, and Tenure (AP&T) committee has proven very successful. Dentistry and Nursing already have a significant number of social scientists suggesting that a disparity of academic standards is unlikely to be a significant obstacle.

- There is a risk that NIH funding will be considered the main driving force behind the granting of tenure which may affect those faculty members, such as historians, who are not logical recipients of NIH funding.
  o With proper tenure review, this problem can be alleviated, especially if the FOH committee has equal representation from all three colleges.

- There are some distinct advantages to having a Faculty of Health as a vetting body for faculty review. It can promote healthy dialogue and force broader questions about types and quality of scholarship. Furthermore, it ensures that consistent standards are met while providing candidates with clear expectations. The format of this committee and the capacity of the three disciplines to learn from each other on an equal footing will be a central driver for achieving the overarching goal of an authentic inter-professional teaching and learning environment.

- This format prevents candidates from perceiving that it is “easier” to achieve tenure at one school versus another.

Bob responded as follows:

- It is preferable to have a standing appointments, promotion and tenure committee that develops standards rather than ad-hoc, case-by-case committees that can compromise consistency in conditions for review.

- The committees will be formed as the three colleges and Faculty of Health are in place and each college will have roughly equal representation at the Faculty of Health level. There is a history of success in mixing disciplines that we hope to replicate with this format.

- Next steps for this process, if consensus is reached:
  o Submit to Tenured/Tenure Track Faculty Senators Council, Full-Time Non-Tenure Track/Contract Faculty Senators Council and University Senate for review.
o Submit to President for approval and endorsement, then to the Board of Trustees, and ultimately to the State for approval, if NYSED approval is indeed needed. (Subsequent to this meeting we have learned that State approval is not likely to be required, as no new programs are being created.)

- Once reviewed by the various NYU bodies, discussions will continue with the three prospective colleges to reach a consensus on the myriad of details. Bob will continue to meet with faculty and the three deans to determine specifics. The goal is to reach consensus. The projected timeline is to complete the NYU reviews and NYU Board approval by the end of the spring semester, 2015. Given that State approval is not required, if approved by the University, the steps to establish the three colleges and Faculty of Health can occur shortly thereafter.

With the understanding that the concept will evolve as the process moves forward, and before voting on the endorsement of the Working Group Conclusion document, Bob answered questions about the proposed role of a Dean of the Faculty of Health. Certain members of the working group expressed a desire for further clarity on the real need for an “uber” dean as opposed to three equal standing deans who would report directly to the Executive Vice President for Health. Questions were also raised about the cost of the expected national search for a Dean of the Faculty of Health. The answers to the questions raised (by Bob and others) are summarized below:

- A Faculty of Health dean will enable the three schools to act at a more effective level than if they were to exist independently.
- There is the possibility that a dean could be appointed internally as opposed to embarking on an external search.
- There is a risk of creating an additional layer of bureaucracy, which can be mitigated with careful organizational design.
- Without an overarching structure led by a Dean of the Faculty of Health, the University leadership and Board of Trustees might question the financial implications of the creation of the three health colleges.
- A Dean of the Faculty of Health enhances the possibility for academic initiatives at interdisciplinary and inter-professional levels.
- It provides for managerial and administrative economies of scale and for the three colleges to approach innovation in a collaborative fashion.
- Ensures that the individual needs of schools are captured and fully understood before moving to the next administrative level.
- A Dean increases the likelihood of strong collaboration among the colleges in the long term.

The minutes should reflect that many Working Group members at the meeting supported the idea of the Dean of a Faculty of Health.

The productive discussion about the role of a Dean of the Faculty of Health made it clear that there will be continuing conversations about this issue. In order to take the Working Group discussion into account, the Working Group Conclusion document will be amended to include the following phrase “The current expectation is that the Faculty of Health will have a dean....” and “(It is also expected that there will be a national search for the Dean of the Faculty of Health with a faculty-majority search committee.)

**Next steps:**
All Working Group members who were present approved the revised document. Members who were not present will email Bob to indicate if they approve the revised conclusions/endorsement, which is attached.
Draft Conclusion of the Working Group:

The NYU Health Realignment Working Group, composed of 26 faculty members and deans and chaired by the Executive Vice President for Health, Bob Berne, met on October 8th, November 11th and November 20th. Attached are a list of members of the Working Group and minutes from the three meetings.

The meetings included active discussions of a proposal to realign several of the health units at NYU. The intent is to enhance academic achievement, to enrich our reputation and stature in nursing, dentistry and global public health, and to formalize a structure to promote cooperation, creativity and positive outcomes extending throughout the health field more generally.

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We understand that the next steps are reviews by the appropriate elected bodies at NYU, review and approval by the University leadership, and approval by the NYU Board of Trustees, followed by submission to the State of New York.
Conclusion of the Working Group, 11/20/14, Approved by all members of the Working Group:

The NYU Health Realignment Working Group, composed of 26 faculty members and deans and chaired by the Executive Vice President for Health, Bob Berne, met on October 8th, November 11th and November 22nd. Attached are a list of members of the Working Group and minutes from the three meetings.

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We understand that the next steps are reviews by the appropriate elected bodies at NYU, review and approval by the University leadership, and approval by the NYU Board of Trustees, followed by submission to the State of New York.
Considering A College Of Global Public Health At NYU

October 8, 2014
Leveraging Existing Strengths

The NYU GIPH exhibits existing strengths which could/should be maintained in a college:

- A strong interdisciplinary focus
- A rich historical foundation – the 3rd accredited public health program (1971)
- Cross-school leadership (such as the Deans’ Advisory Committee)
- Joint faculty appointments between key collaborating schools
- Strong inter-school research collaborations
Faculty – Continue to expand interdisciplinary focus and cross-school appointments and research efforts

- NYU-wide scientists and expertise
  - Synergies from multidisciplinary partnerships within NYU
  - Integrate and collaborate with researchers across GNU sites and partner institutions for global public health research portfolio
    - Ghana, Sydney, DC, Buenos Aires

- Research Affinity Groups
  - Addiction
  - Environmental
  - Global Mental Health
  - Implementation Science
  - Noncommunicable Diseases
  - Public Health Policy
  - Reproductive/Sexual Health

- Funding 2014 from NYU Global Institute for Advanced Study to support AG work

GIPH Faculty by Schools

- Medicine 38%
- Social Work 10%
- Nursing 9%
- Dentistry 11%
- Arts & Science 16%
- Education 10%
- Policy 6%

Total = 67
Langone/GIPH Joint Faculty

GIPH and Langone

- Population Health: 50%
- Other: 42%
- Pop. Health and Other Joint: 8%

Total = 36
Opportunities

A college would also enhance other opportunities:

**Faculty**
- Further strengthen the public health faculty community and enhance support for public health research, teaching and service
- Enhance competition for the highest quality faculty
- Allow for tenure appointments in public health for faculty most appropriate for Public Health tenure or not appropriate for joint appointment with another faculty

**Academics**
- Improve the quality of public health education by added depth and breadth
- Add MPH tracks in the five areas that currently constitute the core of public health education and are required by CEPH for college
- Foster innovation in the classroom and curriculum
- Improve quality of students applying, accepted and enrolled
Opportunities (continued)

**Students**
- Establish a solid public health identity within the profession, community, and university to attract students
- Diversify and expand the applicant pool (which is growing)
- Prevent confusion among students regarding locus of public health courses, faculty and programming
- Enhance the community of peers, networks, resources and opportunities for students
- Enhance opportunities for innovative financial aid models

**GNU**
- Further capitalize on the GNU for a variety of academic, research and experiential activities
Opportunities (continued)

Research
- Enhance competitiveness of research proposals
- Increase eligibility for funding (some grants are restricted to schools of public health)
- Increase substantially NYU-wide NIH base and other research funding base

Administrative and Fiscal
- Ease administrative burden produced by diffuse current model
- Fundraising potential will be increased with a college and the opportunity to raise funds for, among other things, financial aid, endowed chairs and the naming of the college
Sources of grant funding to schools

NIH 60%
CDC 15%
HRSA 8%
AHRQ 1%
EPA 4%
USAID 1%
DoD 1%
Other Federal 10%

*in thousands

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount</th>
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<tr>
<td>NIH</td>
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<td>Department of</td>
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<td>Defense</td>
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<td>Other Federal</td>
<td>$147,099</td>
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<td>Total</td>
<td>$1,432,792</td>
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Preliminary 2013 School Data; Program Data Not Yet Available

SOURCE: ASPPH Government Affairs Presentation, 2014
# 2012 – Top 10 Medical Schools NIH Funding

<table>
<thead>
<tr>
<th>Rank</th>
<th>Medical School</th>
<th>Award</th>
<th>School of Public Health</th>
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<tbody>
<tr>
<td>1</td>
<td>UNIVERSITY OF CALIFORNIA SAN FRANCISCO</td>
<td>$448,710,283</td>
<td>Berkeley/UCLA</td>
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<td>2</td>
<td>JOHNS HOPKINS UNIVERSITY</td>
<td>$433,096,031</td>
<td>Yes</td>
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<tr>
<td>3</td>
<td>UNIVERSITY OF PENNSYLVANIA</td>
<td>$388,215,514</td>
<td>MPH Program</td>
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<tr>
<td>4</td>
<td>WASHINGTON UNIVERSITY</td>
<td>$360,187,863</td>
<td>MPH Program</td>
</tr>
<tr>
<td>5</td>
<td>YALE UNIVERSITY</td>
<td>$339,668,416</td>
<td>Yes</td>
</tr>
<tr>
<td>6</td>
<td>UNIVERSITY OF PITTSBURGH AT PITTSBURGH</td>
<td>$326,860,108</td>
<td>Yes</td>
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<tr>
<td>7</td>
<td>UNIVERSITY OF WASHINGTON</td>
<td>$312,691,743</td>
<td>Yes</td>
</tr>
<tr>
<td>8</td>
<td>UNIVERSITY OF MICHIGAN AT ANN ARBOR</td>
<td>$310,538,827</td>
<td>Yes</td>
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<tr>
<td>9</td>
<td>UNIVERSITY OF CALIFORNIA SAN DIEGO</td>
<td>$305,407,175</td>
<td>UCLA/Berkeley</td>
</tr>
<tr>
<td>10</td>
<td>DUKE UNIVERSITY</td>
<td>$295,458,021</td>
<td>No**</td>
</tr>
</tbody>
</table>

*Source: Blue Ridge Institute for Medical Research

**Partnered with UNC for MD, MPH
Current NIH Funding for Top 10 Schools

- Medical School: $448,000,000-$295,000,000
  (Seven of 10 have Schools of Public Health)
- Public Health School: $115,000,000-$24,000,000
- Dental School: $13,600,000-$6,700,000
- Nursing School: $9,500,000-$4,000,000
Characteristics of a School of Public Health (CEPH criteria)

- The school and its faculty and students shall have the same rights, privileges and status as other professional schools that are components of its parent institution.
- At a minimum, the school shall offer the Master of Public Health (MPH) degree, or an equivalent professional degree, in each of the five areas of knowledge basic to public health and a doctoral degree in at least three of the five specified areas of public health knowledge.
CEPH-required faculty compliment

- The school should have a minimum of three primary faculty plus two full-time equivalent (FTE) faculty per department. No more than five individuals may comprise one FTE.
- Primary faculty in a school are those who are full-time university faculty with 100% appointments to the school of public health.
- Faculty who hold joint appointments with another school, college, center, etc. may still serve as primary public health faculty if both the substance of the extra-school duties and the decisions relating to faculty rank are fully vested in the school of public health. However, they would not count as one of the five 100% FTE faculty required for a core concentration area that offers a doctoral degree. They also would not count as one of the three 100% FTE faculty required for a core concentration area that does not require a doctoral degree.

Minimum number of dedicated faculty if all new tracks have PhD equal 25
Nationwide MPH application trends (2001-2012)

Total yearly applications increased 176% from 2001-2012

Yearly growth for total MPH application pool averages 10% from 2001-2012

Only one year saw a decline – 2005, in which applications dropped by 3%

SOURCE: ASPPH Graduate Data Report, 2012
NYU GIPH in the nationwide admissions market

In 2012, NYU GIPH received considerably fewer applications than any of its competitor institutions*— all of which were schools of public health.

Although NYU GIPH applications have increased 60% since joining SOPHAS, the number of 2014 NYU applications is still lower than the numbers of applications these competitor institutions received in 2012—except one.

SOURCE: ASPPH Application and New Enrollment Report, 2012; internal NYU GIPH data.

* Competitor institutions defined as top six institutions to which NYU lost admitted applicants over past two years.
Where NYU MPH applicants go when they decline admission

Of admitted NYU MPH students who declined an offer of admission over the past two admission cycles:

- 83% choose to attend a School of Public Health
- 17% choose to attend a program

SOURCE: 2013 and 2014 NYU GIPH admissions surveys.
New NYU MPH enrollments relative to schools of public health - 2012

- Four out of six highest enrollments are “competitors”
- NYU GIPH enrolls 10th smallest cohort

SOURCE: ASPPH Application and New Enrollment Report, 2012; internal NYU GIPH data.
Positioning NYU within the national market

- Manage competitive position locally (NYC metro area), regionally (Northeast), nationally and globally.

- Expand market to include non-working students interested in studying abroad while managing our local, regional and national competitiveness.

- Establish key public health education partnerships with local, regional and national schools similar to the 4-1 programs we are working on here; The Certificate in Public Health, and the Bi-Continent MPH (as an offering for schools without MPH)
NYU GIPH College of Global Public Health – Timeline for CEPH Accreditation

- Submit application to CEPH for Intent to become a College. Application due 6 wks before CEPH council meeting in Mid-September.
- NYU approves the move to establish a College of Global Public Health
- CEPH Council meets to approve application
- LAUNCH Social & Behavioral Science Track and Health Policy & Management Track
- Attend a mandatory CEPH Orientation Workshop
- LAUNCH Environmental & Health Science Track and Biostatistics Track
- Submit a preliminary Self-Study to CEPH
- Graduate a PhD student from at least one track & one MPH student from each of the five core knowledge areas.
- CEPH Site Visit
- Submit a final Self-Study to CEPH
- May, 2015
- Aug, 2015
- Sept, 2015
- Spring, 2016
- April, 2017
- May, 2017
- July, 2017

The above dates may vary depending upon when an application is approved by CEPH. Once approved, a program has two years ONLY to complete a self-study and conduct a site-visit necessary to become a College.
Nationwide Applications to schools of public health (2001-2011)

SOURCE: ASPPH Graduate Data Report, 2011
Applications acceptances and new enrollments by school (2011)

In the past, NYU GIPH has typically enrolled 100 new students per cohort.

That new student enrollment would be 10th lowest if included among schools of public health.

<table>
<thead>
<tr>
<th>School</th>
<th>Total</th>
<th>Accepted</th>
<th>% Accepted</th>
</tr>
</thead>
<tbody>
<tr>
<td>UAB</td>
<td>600</td>
<td>382</td>
<td>63.7%</td>
</tr>
<tr>
<td>SUNY Albany</td>
<td>620</td>
<td>360</td>
<td>58.1%</td>
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<tr>
<td>Arizona</td>
<td>523</td>
<td>337</td>
<td>64.4%</td>
</tr>
<tr>
<td>Arkansas</td>
<td>105</td>
<td>98</td>
<td>93.4%</td>
</tr>
<tr>
<td>BU</td>
<td>2,591</td>
<td>1,372</td>
<td>51.2%</td>
</tr>
<tr>
<td>SUNY Buffalo</td>
<td>532</td>
<td>290</td>
<td>54.5%</td>
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<tr>
<td>Berkeley</td>
<td>1,288</td>
<td>335</td>
<td>26.0%</td>
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<tr>
<td>UCLA Fielding School</td>
<td>1,238</td>
<td>667</td>
<td>53.9%</td>
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<tr>
<td>Colorado</td>
<td>553</td>
<td>722</td>
<td>29.4%</td>
</tr>
<tr>
<td>Columbia</td>
<td>2,152</td>
<td>1,283</td>
<td>59.6%</td>
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<tr>
<td>CUNY</td>
<td>727</td>
<td>380</td>
<td>52.3%</td>
</tr>
<tr>
<td>SUNY Downstate</td>
<td>139</td>
<td>83</td>
<td>60.7%</td>
</tr>
<tr>
<td>Drexel</td>
<td>1,310</td>
<td>685</td>
<td>52.3%</td>
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<tr>
<td>East Tennessee</td>
<td>182</td>
<td>93</td>
<td>51.1%</td>
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<tr>
<td>Emory</td>
<td>2,864</td>
<td>1,464</td>
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<tr>
<td>Florida</td>
<td>1,937</td>
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<tr>
<td>Florida International</td>
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<tr>
<td>GW</td>
<td>2,172</td>
<td>1,278</td>
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SOURCE: ASPPH Graduate Data Report, 2011
What factors influence applicant decisions not to attend NYU?

- Career prospects in public health: 13%
- Financial aid opportunities: 19%
- Academic reputation of NYU GIPH: 20%
- Content/curriculum: 23%
- Tuition/cost of living: 26%

Source: NYU GIPH Admission Surveys, 2013 and 2014
Trends in ASPPH membership

Since 2012, institutional membership in ASPH / ASPPH has more than doubled.

In 2013, the ASPH transitioned to the ASPPH and opened membership to programs of public health.

Since 2013, 45 accredited programs of public health joined ASPPH.

63 accredited programs have yet to join the ASPPH.

SOURCE: ASPPH website and weekly ASPPH Friday Letter emails; Council on Education for Public Health website.
Nationwide Students by program area – 2001 vs. 2011

SOURCE: ASPPH Graduate Data Report, 2011
Nationwide graduates by degree awarded at ASPPH schools (2010-2011)

SOURCE: ASPPH Graduate Data Report, 2011
Total expenditures of federal funds, fy11, fy12 and fy13

(Dollars in millions)

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SOURCE: ASPPH Government Affairs Presentation, 2014

Preliminary 2013 School Data Only.
Program Data Not Yet Available.
T-FSC Educational Policies and Faculty/Students Relations Committee

N/C-FSC representatives: Ben Stewart

Date: 2/9/15

On December 11th, 2014, the committee met with Cory Greene, from the Incarceration to Education Coalition (IEC). Cory explained the IEC's interest in removing a question from NYU's application that asks about the applicant's criminal history. His group also hopes that NYU and other universities will put pressure on the Common Application to remove that question. All of the committee members present at the December meeting felt that these goals were worth supporting. The committee met again on Tuesday February 3rd. While I wasn't able to attend that meeting, Angela Kamer is currently seeking responses from the administration, to clarify its position on this matter. We will discuss those responses at our next meeting.
Report of Representatives to the T-FSC Global Network University Committee
December 4, 2014

Present: Awam Amkpa (co-chair), Arvind Rajagopal (co-chair), Mark Alter, Kwame Anthony Appiah, Martin Klimke, Vincent Renzi.
Guests: Una Chaudhuri, Eliot Borenstein.

The committee heard a report from Una Chaudhuri and Eliot Borenstein, co-chairs of the provostial Faculty Committee on the Global Network. This body is the successor to the prior Faculty Advisory Committee on the University’s Global Network, also co-chaired by them, which issued a report in June, 2014, available via—
https://www.nyu.edu/content/dam/nyu/provost/documents/Committees/REPORTFINAL.pdf

The formation of the current standing committee was one of the recommendations of the report. Una and Eliot and a number of other members of the earlier committee agreed to continue serving as members this year in order to provide continuity in the committee’s work.

Another recommendation of that report was a faculty-centered source of information about opportunities available to teach and research at other sites and portal campuses (previously, all information on the NYU website was student-oriented). Una and Eliot demonstrated the site, which is now available via—
https://www.nyu.edu/faculty/faculty-in-the-global-network.html

Una and Eliot went on to discuss another of the report’s recommendations, a proposal for a new faculty title, “Global Network Faculty.” A fuller description of this recommendation was included as Appendix B of the report, and is attached below.

Discussion of this topic raised the issue of how the provostial and senate GNU committees might best work together on issues. For example, the present proposal for a new faculty title immediately raised the larger issue of equity (or, lack thereof) in practices across the network, particularly with regard to benefits and grievance procedures, both of which are within the remit of the senate. The two committees share some membership, and it was agreed that they should continue to coordinate their efforts.

Respectfully submitted,

Vincent Renzi
APPENDIX B: Proposal for a New Faculty Title: Global Network Faculty

• We propose that a new title, “Global Network Faculty,” be created and used to designate members of the full-time faculties of NYU Abu Dhabi and NYU Shanghai as participants in the research and teaching activities of appropriate3 units in NYUNY.

• The title would be awarded to an NYUAD/NYUSH colleague by an NYUNY unit, to signify that the granting unit regards that colleague as a professionally active and accomplished academic who would be an asset to the unit’s research, training, and teaching agendas, and, as such, is qualified to teach and mentor its students, including graduate students.

• Although Global Network Faculty status would entail eligibility to teach and mentor students in the program, it would not carry automatic guarantees with regard to specific teaching, advising or mentoring assignments, since teaching assignments (undergraduate and graduate) must be driven by the curricular needs of the program and assignments to thesis committees by the intellectual needs of students; thus programs must retain the right to make these assignments internally.

• Likewise, Global Network Faculty status would not confer any rights or obligations, either upon the faculty member or the awarding unit, with regard to departmental governance or salary. It will also have no implications for tenure in the awarding unit.

• By awarding this designation, the awarding units would signify their willingness to host these colleagues when they are visiting New York, welcoming them into the educational and scholarly activities of the unit. Global Network Faculty would be listed on the unit’s catalog and website. While it is hoped that this hosting would often entail offering Global Network Faculty office space, central administration will need to insure that departments and units on the square have the resources to make this possible without disrupting local operations.

• When NYUNY units confer Global Network Faculty status they would also be agreeing to participate in the individual’s third-year, tenure, and promotion review processes. A template for this process should be agreed upon by the Provosts of NYU, NYUAD, and NYUSH, working in consultation with School and Divisional Deans.

3 In cases when there is no single or obvious match between units at the Portals and units at NYUNY (for example, the Literature Program at NYUAD has counterparts in several departments in FAS and Gallatin, including the Departments of English, Comparative Literature, French, German, etc.) the decision about which NYUNY unit or units are the right ones for an individual to be affiliated with will need to be agreed upon by the units and deans involved, and facilitated by the Provost of NYU.
- The title of “Global Network Faculty” would refer exclusively to the person’s relationship to the relevant academic unit in New York; it would not affect or alter the person’s title at their primary Portal campus.

- The Global Network Faculty status would not include any implications about the kind of contract (tenure-stream or contract-stream) the individual holds.

- The title of “Global Network Faculty” would not preclude a faculty member from also having other titles and other modes of affiliation with the NYU academic units, which would be proposed and decided in whatever ways the unit normally decides upon affiliated, associated, or joint appointments.

- Units would have the right to revoke Global Network Faculty status at any time, although it is expected that this would be an extremely rare occurrence.

- The process leading to Global Network Faculty status would normally begin in the recruitment phase, when relevant NY units would be invited (by Portal deans) to participate in the formulation of search plans. Ideally, the unit that would eventually affiliate the new Portal colleague would have representatives of its faculty on the search committee, and participate in the search itself in a variety of ways (attending job talks and candidate meals, for instance, and providing feedback to the Committee through the departmental representative).

- To propose Global Network Faculty status for one of its prospective or already hired standing faculty, the unit (through the appropriate chair and/or dean) would provide the granting unit with the individual’s full professional dossier. The granting unit would then conduct a discussion of this material and take a vote on conferring the status of “Global Network Faculty” to the individual. The results of this vote would be forwarded to the divisional dean of that unit for final approval.

- We recommend that the status of “Global Network Faculty” first be introduced in New York and then later be extended to the Abu Dhabi and Shanghai campuses to designate members of the faculty of NYU New York (or faculty of the other portal) who have an especially significant and continuing relationship with the campus. As with the status in New York, the campus would retain the right to revoke Global Network Faculty status at any time, although it is expected that this would be an extremely rare. There would be no expectation, however, that the status would confer upon the individual any rights or obligations with regard to departmental governance on the campus, and there would be no expectation that the campus would be involved in the individual’s third-year, tenure, and promotion review processes in New York.
University Senate Academic Affairs Committee

N/C-FSC Members: David Elcott, Larry Slater, Benjamin Stewart

The Academic Affairs Committee has met twice since the beginning of the academic year to discuss and approve nominees for recommendation to the Board of Trustees for honorary degrees. In addition, the committee held one email vote to also approve nominees. At the last meeting (1/29/15), the committee also initiated the following discussions:

1. Academic Calendar - Many students have brought forth concern about the late ending of the fall semester and its effect on travel for the holidays. This is due to the late occurrence of Labor Day for 2015 and 2016 and a late semester end date (12/23/15 and 12/23/16). The committee will not reopen the calendar for discussion as it was approved at all levels in the previous year.

2. Religious Observance - The committee has formed a subcommittee to look at school policies related to religious observance. The current policy does not stipulate where the ultimate decision about such an observance lies, which the committee agrees is the University (with guidance from University Chaplains). The committee will present the policy later in the semester.

3. Technology - The committee is planning a future presentation from our Student Senate representatives on student perspectives in using NYU Technologies and how they affect/enhance the learning environment and experience.

4. Writing in the university - The committee is planning a future presentation to be given by Ben Stewart and one or two other guests (Directors in the Expository Writing Program). This presentation will address both our general approach to teaching undergraduates, as well as the challenges we face in helping graduate student writers.
Special Committee on Implementation of the MSChE Report

Larry Z. Slater, PhD, RN-BC, CCRN
College of Nursing
Senator, College of Dentistry and College of Nursing
FT NT Track/Contract Faculty Senators Council

The Committee has met twice (12/11/14 and 1/29/15) to begin reviewing and providing input on the "Summary of Recommendations and Suggestions Requiring Follow-up Action" from the MSChE Evaluation Team Report as well as the "List of Recommendations" from the NYU 2014 Self-Study. The MSChE Evaluation Team Report contains two recommendations (which NYU must address) and a number of suggestions (which NYU can and should address, at least in part). The NYU 2014 Self Study contains four recommendation areas: Public Health; Cities and the Urban Environment; Humanities and the Arts; and Data Science.

1. 12/11/14 Meeting
   - The committee reviewed the two recommendations from the MSChE Evaluation Report. Again, NYU must respond to recommendations. The two recommendations relate to how the University uses quantitative metrics in decision-making, strategic planning, resource allocation, and evaluation processes. The committee received a report from Cybele Raver on the Dashboards developed and in use by many schools and systems and NYU. The data can be integrated for use in strategic planning, benchmarking, and budgeting within and among schools and colleges. In the spring, the team will work to identify global and individualized benchmarks for use with the Dashboard metrics.
   - Cheryl Healton, Director of the NYU Global Institute of Public Health and Dean of Global Public Health, provided information regarding the seven Public Health recommendations from the NYU 2014 Self Study. The main focus of the recommendations is to strengthen interdisciplinary programs through: communication about GIPH programs; addressing University bylaws, policies, and procedures that may facilitate or impede collaborations; improving coordination of practice-based and research-based interdisciplinary programs and collaborations; and assessing financial planning for Public Health.

2. 1/29/15 Meeting
   - The committee reviewed and proposed comment on the MSChE Evaluation Team Report suggestions related to the University Mission and Goals; Administration; Institutional Assessment; Student Admission and Retention; Student Support; Faculty; and Educational Offerings. In most instances, it was the consensus of the committee that NYU has many programs in place that meet or exceed the Team's suggestions. The Committee will address others in the final report.

The committee will continue to meet throughout the Spring semester to address the three remaining Self Study recommendation areas and then draft a final report for submission to the Senate.
On February 4, 2015, the N/C-FSC Taskforce on Social Media Policy herein offers to add and amend the November 12, 2014 recommendations on and considerations of the NYU Electronic Communications and Social Media Policy (draft dated October 14, 2014) as follows. These additions represent concerns reported by N/C-FSC representatives as well as further considerations made by the Taskforce. These recommendations should be understood as additions to the original concerns identified by the Taskforce on November 12, 2014 (document below). The following amended recommendations and considerations are submitted to the N/C-FSC Senate by Jamie “Skye” Bianco (Steinhardt) on behalf of Taskforce Chair, David Elcott (Wagner):

1. a. In response to Section “Background,” third paragraph, identifying “Personal Digital Content” or “PDC,” it has come to the Taskforce’s attention that some members of the University community are required to use forms of social media to track productivity and that these platforms are not covered under the Policy’s list of “PDC” nor under the documents protections. Furthermore, the privacy policies and data retention and use cannot de facto be monitored and controlled by the University with members of the University Community. This use of external social media platforms is of particular concern given that it is being used directly by the University to monitor and evaluate performance. This taskforce recommends:
   a. that the University engage in an explicit partnership, and therefore privacy and data protection agreements, with such external social media platforms, or,
   b. the University develop its own platforms for the purpose of monitoring or evaluating performance, with an explicit and publicized set of policies regarding privacy and data retention that are in compliance with this document, or,
   c. the University cease altogether use of external provider data collection for the purpose of performance evaluation and monitoring.

2. In any social media use case elected by the University, any member of the University Community be granted the right of refusal to participate in any platform wherein the privacy and data retention policies are not stated and agreed to either in advance of hiring and/or contract renewal, course enrollment, etc. This taskforce strongly urges that a global “upfront” and “transparent” “opt-in” policy be adopted for any and all social media use cases across the entire University system and covering all members of the University community.

3. It is the recommendation of this Taskforce that any member of the University community may request and receive, within 10 days, full and complete access to any and all his or her personal and productivity data retained by the University or University partners on any of its social media platforms. This recommendation supplements Sections entitled, “Scope of Access” and “Records of Process.”

4. Finally, this Taskforce recommends a term-limit be placed on retention of personal and productivity data. While this may vary depending on the social media platform and
requirements of state and federal law, a clearly stated “upfront” and “transparent”
determination of a period of data retention shall be determined and upon expiry of such
period, data shall be purged in safely and completely. This policy shall be effective in
both University controlled platforms and external partners, such as Google. Furthermore,
upon termination of employment or relationship to the University community, any and all
data retained relating to a University community member, shall be safely and fully
purged by the University, as allowed by state and federal law, at the request of the
community member. This option shall be presented directly to the departing University
community member as part of the relevant exit interview process.

(November 12, 2014)

On November 12, 2014, the N/C-FSC Taskforce on Social Media Policy met to review the NYU
Electronic Communications and Social Media Policy (draft dated October 14, 2014). The
following recommendations and considerations are submitted to the N/C-FSC Senate by Jamie
“Skye” Bianco (Steinhardt) on behalf of Taskforce Chair, David Elcott (Wagner):

1. a. In response to Section II.b, “Misuses of Electronic Communications,” and its correlate
references to Section IV, “Enforcement,” the Taskforce would recommend an explicit
articulation of the process by which a determination of violation of the Social Media
Policy would be assessed, particularly in cases where “reasonability” and
“unreasonability” need to be determined.

   b. Further, determination of a violation of the Social Media Policy should be made prior
to considerations provided by Section IV, “Enforcement,” by an oversight body drawn
from the University Senate.

   c. Provision granting the right to counsel shall be added that includes processes
overseeing the determination of violation and Enforcement.

2. a. In response to Section IV.g, “Social Media and Teaching,” the Taskforce would
recommend students be provided a right of refusal to participate in publicly accessible
and non-University administered Social Media platforms (i.e. Facebook, Twitter, etc). As
these platforms are public, proprietary, require a user account, track data and user activity
in a variety of electronic modes, and sell user data to third parties, Students may refuse to
participate based on a range of privacy concerns, including, but not limited to, a desire
not to produce a publicly networked digital footprint or concerns regarding personal
stalking.

   b. Correlate to active student participation in Social Media in the classroom and for the
same reasons stated above, students need be provided a right of refusal to participate in
public and non-University administered Social Media platforms in order to access course
content.
New York University
UNIVERSITY POLICIES

Title: NYU Policy on University Access to Personal Digital Content

Effective Date: ______, 2014

Supersedes: -

Related Policies: -

Issuing Authority: Responsible Officer:

Policy

This policy sets out guidelines and processes for University access to certain forms of digital content created, received or used by members of the University Community that is stored in or transmitted through any University System. [MR Note: a definition of “electronic information” will need to be created, per our discussion about “digital footprint”].

Scope of this Policy

This policy applies to all members of the University Community with respect to their utilization of, creation of, and generation of Personal Digital Content during the scope of their employment, or their other duties at or under the auspices of NYU. Other pertinent NYU policies also apply to such electronic information, and are referenced in the Related Policies section below. NYU campuses, schools, colleges, institutes, other units, Global Network University sites, Global Academic Centers, other units, and University Affiliates may supplement this policy, provided that such supplementary policies are consistent with this policy in accordance with the NYU Policy on Policies.

Background

Members of the NYU community rely on technology in multiple aspects of their work, teaching, research, study, and other activity. In doing so, they use electronic systems, networks, and devices that the University owns, provides, or administers. The University also makes use of electronic systems to provide campus security (such as card-swatch entry to buildings and video cameras), and to gather and maintain employee and student records. The University makes these systems available...
for the purpose of carrying out assist the University in carrying out certain’s various activities. As
such each Member of the University Community creates a “digital footprint” within the University
that may include electronic stored research data, digital scholarly works, emails, business records,
and such personal information like login times, Net ID card swipes, images from building cameras,
etc. As used in this policy, “University Systems” means all information technology services,
networks, and devices owned, provided, or administered by any unit of the University, such as email
services, internet access, file servers, voice message servers, hardware and cloud-based storage
devices and/or services, laptop and desktop computers, phones or other mobile devices, and other
outsourced services (e.g., Google NYU Mail or Google Apps for Education).

The University recognizes that as faculty, staff, and students members of the University Community
create, receive, use, and store more information in digita elec tronic form, there is growing concern
that information a member of the University Community person considers private personal may be
more vulnerable to unintended or inappropriate use than information stored in more traditional
media (e.g., print materials, file cabinets, etc.). As such, members of the University Community
have the right to understand the manner in which their “digital footprint” within the University
Personal Digital Content may be accessed and shared. (See also, the Policy on Responsible Use of NYU
Computers and Data to understand individual obligations: http://www.nyu.edu/its/policies/)

As used in this policy, “Personal Digital Content,” or “PDC” means:
(a) digital documents and communications, such as emails, voice mails, text messages, and
their associated metadata, which are located in files and/or accounts on University Systems
that are associated with a specific member of the University community;
(b) internet usage and/or search records for a specific member of the University
Community;
(c) manuscripts and other similar works of authorship by a member of the University
Community that are not publicly available; and
(d) other scholarly content that comprises “Traditional Works of Scholarship” under NYU’s
Statement of Policy on Intellectual Property, except to the extent such works also qualify as
“Instructional Media” under that policy.

Examples of digital content that is not included within the definition of PDC are: (a) information
generated by automatic processes triggered by that member of the University community’s use of
University Systems, logs or records of access to University facilities or equipment; (b) “Research
Data” as defined in NYU’s Policy on Retention of and Access to Research Data; (c) personal
information needed for management of University records, such as financial, human resource,
student information system records; (d) routine uses by faculty of University instructional
management systems, such as NYU Classes.

Purpose of this Policy

This policy is intended to outline the general principles that define the expectation of privacy of
those in-for members of the University Community. The University affirms that an expectation of
privacy is important to fulfilling the University’s commitment to academic freedom (as set forth in
the Faculty Handbook), and its commitment to a policy of respect in its relations with members of
the University Community (as set forth in the New York University Code of Ethical Conduct), the mutual
trust and freedom of thought and expression essential to the academic mission of a University rests on expectation of privacy, and that the privacy of those who work, study, teach, and conduct research and a University setting will be respected. To promote these principles and values within the University community, the University will strive for complete transparency about its policy regarding the circumstances in which it may access electronic information PDC stored in or transmitted through these University Systems. This policy therefore defines when the University may seek access to such electronic information (“PDCEI”), consonant with the University’s interest in maintaining an environment in which free academic inquiry—academic freedom can thrive. This policy is intended to establish internal standards and procedures governing such access by the University; it is not meant to create rights in any individual to seek legal redress for action inconsistent with the policy.

General Principles

This policy is grounded on six important principles that are intended to achieve the purpose of this policy:

- Access to PDC will be authorized only by an appropriate and accountable person, pursuant to the University’s Policy on Requests to Information Technology Services (ITS) to Support Investigations, and through a specific and formal process.
- Access to PDC will occur only for a legitimate and important University purpose, as set forth in this policy.
- Except as provided in this policy, there is a presumption that notice will be given when PDC will be, or has been, accessed.
- Access to PDC will be limited in scope solely to the information needed to accomplish the purpose.
- NYU will maintain sufficient records to enable appropriate review of compliance with this policy.
- Access to PDC will be subject to ongoing, independent oversight by a faculty-driven University Committee that will issue regular reports to the University community.

Reasons for Access

The University does not routinely monitor the content of information PDC of a specific individual that is transmitted through or stored in University information Systems. The University may obtain access to PDC in some circumstances, but only for a legitimate institutional purpose. The paragraphs below describe certain purposes for which the University may access such information. While this list is expected to cover most instances of access, the list is not intended to be exhaustive. The University may access PDC for other comparable reasons that likewise advance a legitimate institutional purpose, as determined by a person designated to authorize access pursuant to this policy and subject to review by the oversight committee as described below. Although this policy applies to the PDC of faculty, staff, students and alumni alike, in evaluating the institutional purpose, the person designated to authorize access should in each case weigh not only the stated reasons for access but also the possible effect of access on University values such as academic freedom and internal trust and confidence.
A. System Protection, Maintenance, and Management
University systems require ongoing management, maintenance and inspection to ensure that they are operating properly; to implement new systems; to protect against threats such as attacks, malware, and viruses; and to protect the integrity and security of information. For example, system logs, also known as log files, are created automatically during system operation and contain information about system events that are needed for specific business reasons or to satisfy legal requirements. Business reasons include, but are not limited to, deploying new software, troubleshooting, system testing, collecting metrics on system performance and usage, billing, documentation, electronic discovery, and forensic investigation. No network scans are done that examine content.

B. Business Continuity
The University may access PDC for the purpose of ensuring continuity in its business operations. This need can arise, for example, if an employee who typically has access to the files or business information in question is unavailable.

C. Safety Matters
The University may access PDC to deal with exigent situations presenting threats to the safety of the campus or to the life, health, or safety of any person.

D. Legal Process and Litigation
The University may access PDC in connection with threatened or pending litigation, and to respond to subpoenas and similar lawful demands for information in law enforcement investigations, other government investigations, and legal processes.

E. Internal Investigations
The University may access PDC in connection with investigations under applicable University policies regarding claims of harassment, research misconduct by members of the University community, and claims relating to public safety, including as outlined in the following policies: [list, such as Electronic Communications and Social Media Policy, Missing Student Notification Policy, Use of Email, Terms of Use, etc.]. Access may be authorized only when the authorizing person has determined that the investigation advances a legitimate institutional purpose and that there is a sufficient basis for it.

[Note: Query whether we wish to break out any differing standards/objectives for different types of employees, like faculty, administrators, or students, like the Penn policy has done (previously provided)]

Authorization of Access
Access to PDC must be authorized by an appropriate person, pursuant to NYU’s the University’s Policy on Requests to Information Technology Services (ITS) to Support Investigations. [Note: this is a reference to NYU’s current Policy (also attached to MR’s 5.28.14 email) which also incorporates NYU ITS’s “internal” Procedure for handling requests (also attached) — an option would be to incorporate that policy into this policy, but I’ve kept them separate here just so we can more clearly see what we have, and what we don’t have. — The companion Procedure document might best remain as a separate document, due to its length and specificity. — It has much more “teeth” than the general procedures set forth in the proposed Harvard policy]
Any authorization of access will apply only to the particular situation and member or members of the University Community. Any other situation must be separately authorized.

No independent authorization is required for information technology personnel to conduct routine system protection, maintenance, or management in accord with internal protocols and processes. Likewise, requests for access in connection with litigation, legal processes, or law enforcement investigations, or to preserve PDC for possible subsequent access in accordance with this policy, need no independent authorization if made by the Office of General Counsel.

In exigent situations involving a threat to campus safety or the life, health, or safety of any person, access may be authorized by the Office of General Counsel. If emergency conditions do not allow for prior authorization, the matter will be reported to the Office of General Counsel as promptly as possible.

**Notice**

When the University intends to access PDC, and except as otherwise provided in this policy, there is a presumption that notice will be given to the member of the university community to whom the PDC belongs. All reasonable efforts should be made to give notice at the time of access or as soon thereafter as reasonably possible. The following are examples of situations where notice is not required:

A. System protection, maintenance, and management — Individual notice is not required for ordinary system protection, maintenance, or management. Notice should be given if the access relates specifically to the activity of an individual user, unless troubleshooting an individual user’s problem with a system based on a report from the user.

B. Business continuity — Individual notice is ordinarily not required for access to PDC for purposes of business continuity, in accordance with established University practice and the common understanding that individual notice in such cases is typically not practicable.

C. Legal restrictions — Individual notice is not required where the University is subject to legal constraints on its ability to give notice.

D. Emergencies and other extraordinary cases — Contemporaneous notice is not required in cases where there is insufficient time, where giving notice would otherwise interfere with an effective response to an emergency or other compelling need (e.g., at a stage of an internal investigation where giving notice may compromise the investigation), or where it is impractical (e.g., in the case of a former employee). The decision not to give contemporaneous notice must be made by the person designated by this policy to authorize the access. In such cases, notice will ordinarily be given as soon as practical.

The person designated by this policy [and under NYU’s University’s Policy on Requests to Information Technology Services (ITS) to Support Investigations] to authorize access may decide not to give notice. Any such decision, and the reasons for it, will be documented, and available for review by the oversight committee, as set forth in this policy.
Scope of Access

The University will adopt reasonable steps, whenever practicable, to limit access obtained under this policy to electronic information PDC that is related to the University’s documented purpose in obtaining access. These steps will vary depending on the circumstances of the search. Participation in the search, and access to the information, should be limited to those personnel with a reasonable need to be involved.

Records of Process

Any person who authorizes access to electronic information PDC will provide that reasonable records of the decision process are preserved, including who requested the access, who undertook any investigation, the process undertaken, and any decision reached, and the reasons for the decision are made and preserved.

In all instances of access under this policy, records should be maintained that are adequate to permit effective review as described in the Oversight section of this policy. Records will be maintained for a period of time that is consistent with all legal obligations and with custom and practice.

Compliance with Laws

There are numerous international, federal and state laws related to data privacy. This policy should be understood in light of those laws, including the Family Educational Rights and Privacy Act of 1974, the Electronic Communications Decency Act of 1986, the Healthcare Insurance Portability and Accountability Act of 1996.

Oversight Committee

This policy, its implementation, and instances of access under this policy will be subject to review by an oversight committee to be constituted by the Provost University, which will include representatives from each council of the University Senate, appropriate faculty, senior administrators, and a student representative. The oversight committee will make recommendations to the Provost as to the processes set forth in this policy and possible amendments. The oversight committee will also make periodic, properly redacted non-confidential reports to the University community on the implementation of this policy. In carrying out its responsibilities, the oversight committee may review relevant NYU records described in this policy, subject to redaction as necessary to protect individual users.
MEMO TO: T-FSC and N/C-FSC  
FROM: Joint T-FSC N/C-FSC Coordination Committee  
DATE: 1/27/15  
SUBJECT: Coordination of the T-FSC and N/C-FSC Standing Committees

The Joint T-FSC (Awam Amkpa, Warren Jelinek, Allen Mincer {co-chair}, Victoria Stanhope) and N/C-FSC (Fred Carl, Mary Killilea, Randolph Mowry {co-chair}, Patrick Ying) Coordination Committee, has been tasked with developing a model of collaboration between the committees of the two faculty senate councils. The primary benefit of the two faculty councils’ standing committees working together is a more comprehensive understanding of faculty views and concerns. This will potentially build a stronger faculty voice. Additionally, coordination of committees helps ensure that we do not duplicate each other’s work and that we efficiently share information. The university administration has also indicated that joint sharing of information and consensus building will make decisions on policies and their implementation run more smoothly.

In light of these benefits, the committee defined its goal as making collaboration as close as possible, while respecting the autonomy of the individual councils. While the two Councils have many shared concerns, there will be issues on which the interests of the two Councils are not aligned. For some of these, it would be best for the two councils’ respective committees to meet separately from the outset; for others early discussion of differences could be the most productive approach.

Currently, the N/C-FSC does not have a standing committee structure. In the interim, the T-FSC has invited members of the N/C-FSC to join their committees as observers. In the future it is likely that there will be parallel committee structures in the two Councils where collaboration would be beneficial.

Assuming the N/C-FSC decides to have similar committees, we list below the committees that would likely benefit from joint meetings. The chairs of the parallel committees in the T-FSC and N/C-FSC would be responsible for determining which meetings should be joint (presumably based on the particular topics to be discussed) and for coordinating joint meetings. Joint meetings would be co-chaired by the chairs of the parallel committees. Any voting in joint committees would be tallied and reported separately by council membership.

- Administration and Technology
- Educational Policies and Faculty/Student Relations
- Faculty Benefits and Housing
- Finance and Policy Planning
- Global Network University
- Governance

We suggest that the Executive Committee of the T-FSC and the Steering Committee of the N/C-FSC facilitate initial communication between the chairs of ad-hoc committees when they are formed. We also suggest that the Executive Committee of the T-FSC and the Steering Committee of the N/C-FSC meet at the beginning of each academic year and also during the year as needed, in order to facilitate and foster continued coordination of the various committees.
February 9, 2015

Memo to: Ann Marie Mauro  
Chairperson, N/C Faculty Senators Council

From: David W. McLaughlin, Provost

Re: N/C-FSC Recommendations for Guidelines for Appointment of FTNTT/CF

Thank you for the recommendations of the Task Force on Review of the Faculty Handbook and Guidelines with respect to the University Guidelines for Appointment of FTNTT/CF.

The guidelines were first drafted by an authoring committee, which I convened in fall 2012, and which primarily consisted of full time non-tenure track contract faculty designated by their deans. In 2013-14, the committee’s recommendations were iterated in a consultative process involving the T-FSC and the deans, and were posted in June 2014 as interim Guidelines pending review by the N/C-FSC. In the current round of discussion, I reviewed the November 2014 recommendations of the N/C-FSC, and was also advised of the discussion at the December 9 joint meeting of T-FSC and N/C-FSC representatives with the administration.1

In December, I also consulted with the Deans.

Based on this iterative process, my office in consultation with the Office of General Counsel (OGC) finalized the amendments to the Guidelines. I am attaching a clean document as well as a redlined copy that tracks changes to the June 2014 document.

The revised Guidelines are effective March 1 and at that time, will be accessible by link from the Faculty Handbook. The June 2014 document will be archived, also at the Faculty Handbook site at http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook.html

I continue to consider these Guidelines to be interim. As part of the next cycle in developing the Guidelines, later this spring, my office and OGC, in consultation with the two faculty senators councils, will review issues that relate to disciplinary procedures for FTNTT/CF and develop the process for FTNTT/CF grievances other than for reappointment and promotion. Until then, the disciplinary procedures and grievance procedures (for grievances other than reappointment and promotion) that apply to all University employees (other than the tenured/tenure track faculty) will apply to FTNTT/CF.

I greatly appreciate the Council’s careful review and suggestions for improving the Guidelines. In the following pages I respond to each issue the Council raised in its November memo.

cc: N/C-FSC Steering Committee: Randy Mowry, David Elcott, Mary Killilea, Susan Stehlik, Patrick Ying  
N/C-FSC Task Force Co-Chairs: John Halpin and Fred Carl  
Carol Morrow, Senior Associate Provost and Chief of Staff to the Provost  
Terrance Nolan, General Counsel and Secretary of the University  
Raghu Sundaram, T-FSC Chairperson  
Karyn Ridder, Manager, Office of Faculty Governance

1 Meeting participants were Warren Jelinek, Jim Uleman, Mitchell Kane representing T-FSC; John Halpin, Fred Carl, representing N/C-FSC; Terry Nolan, Office of General Counsel; Carol Morrow, Office of the Provost, Peter Gonzalez, Office of the Provost.
RESPONSE TO N/C-FSC NOVEMBER 2014 RECOMMENDATIONS ABOUT THE INTERIM JUNE 2014 GUIDELINES

1. Introduction, first sentence: Recommendation: Change “represent a distinct and important part...” to “are a distinct and important part....”

The February Guidelines adopt the recommended language.

2. II. Formulation of School Policies, Page 1, first sentence: Recommendation: Since the Guidelines are broad enough to allow for the unique cultures of all of the Schools and the two portal campuses, we recommend the following language: “Each school and the two portal campuses are governed by these Guidelines and are required to establish their own policies governing the appointment, review, and reappointment of full-time non-tenure track/contract faculty.” We further recommend changing the language of Footnote 2 to the following: “NYU’s health professional schools (Medicine, Dentistry, and Nursing) and NYU’s portal campuses in Shanghai and Abu Dhabi are expected to embrace the spirit and values reflected in these guidelines, and to adopt policies accordingly.”

The Guidelines were developed without full participation and consultation with the health professional schools, and with the understanding that the circumstances of FTNTT/CF at these schools differ substantially from circumstances at the majority of NYU schools. As well, the Guidelines specifically exempted the portal campuses: the Guidelines were not developed with the participation of NYU Shanghai and both that campus and NYU Abu Dhabi are still accumulating experience about the practices that work best in their unique circumstances. Nevertheless, as stated in footnote 2, these units are expected to “embrace the spirit and values” of the Guidelines, and develop school policies that are specific to their circumstances. Thus, the existing language is retained.

3. Participation in School Governance, Page 3. Recommendation: Change the sentence that is paragraph 2 to read: “Schools are expected to include FTNTT/CF on committees, except for those involving tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty.”

The Guidelines adopt the language “schools are expected” rather than “schools are encouraged.”

4. Hiring Plan and Process, a. Duration of Contracts, Page 4: Recommendation: Change the last sentence of paragraph 1 to read: “However, in addition to providing schools with an essential degree of flexibility, one-year contracts may be programmatically and academically desirable in a number of schools and academic programs, and, in those cases, should be justified accordingly to the Provost.”

The Guidelines read, “However, in addition to providing schools with an essential degree of flexibility, one-year contracts may be programmatically and academically desirable in a number of schools and academic programs within schools; school policies shall include a rationale for a FTNTT/CF title(s) that carries a one-year appointment.”

5. Hiring Plan and Process, b. Hiring Practices, Page 4, 3rd sentence: Recommendation: Sentence should read: “Schools are expected to include FTNTT/CF in the hiring process for FTNTT/CF.” [Delete the last sentence—if the expectation is that FTNTT/CF are part of the governance structure of the University and the schools, there should be no instances where FTNTT/CF are precluded from involvement in school procedures.]

The Guidelines adopt the language “schools are expected” rather than “schools are encouraged.” The Guidelines delete the sentence that reads, “Where governance procedures preclude the involvement of FTNTT/CF in the hiring of full-time contract faculty, schools are encouraged to revise their procedures to allow for meaningful FTNTT/CF involvement” although I believe this sentence served to emphasize the point.
6. V. Grievances Related To Reappointment And Promotion of FTNTT/CF, a. Principles, Page 7, Paragraph 2, Line 4. Recommendation: As a new sentence 3, to go between the existing 2nd and 3rd sentences, add language for school grievance committee formation for cases involving FTNTT/CF that mirrors the language found in the Faculty Handbook, Page 57, #4, with the suggested changes (here in bold): “Each school or faculty shall establish a faculty committee to hear grievance cases in order to advise the dean. This grievance committee shall be elected by the voting members of the faculty and shall be a standing committee of the school or faculty. A majority of the committee shall be senior FTNTT/CF. It shall not include departmental chairpersons or department heads or any faculty member whose primary assignment is administrative.”

NYU has a strong tradition of decentralized school organization and culture. Consistent with this tradition, the Guidelines charge schools to develop detailed school-level policies, and the Guidelines permit each school to best determine whether one committee suffices to review grievances of the TTF and the FTNTT/CF or whether two separate committees are appropriate. NYU also has a strong tradition, and among the tenured/tenure track faculty there is the strong expectation, that the Provost shall consult with the tenured/tenure track faculty on academic matters.

Accordingly, Section V.d. The School Grievance Process, reads, “Each school or faculty shall designate 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 FTNTT/CF grievances, which will include senior FTNTT/CF and TT/TF elected by the voting members of the faculty; or shall expand its existing standing grievance committee for TT/TF to include (elected) senior FTNTT/CF who shall participate in hearing and evaluating only those grievances that are filed by FTNTT/CF. The faculty grievance committee(s) shall not include departmental chairpersons or department heads or any faculty member whose primary assignment is administrative.”

7. V. Grievances Related to Reappointment and Promotion of FTNTT/CF, c. Who Can Grieve, Page 8. Recommendation: This section refers explicitly to FTNTT/CF grievances related to reappointment and promotion; however, it does not provide for any situation of a faculty member whose contract is not renewable filing a grievance for a violation of academic freedom, assuming that said grievance is compelling. Language protecting the faculty member in that case should be included.

Grieving for a violation of academic freedom falls in the category of grievances concerned with matters other than reappointment and promotion. These are issues that will be addressed in the next cycle of developing the Guidelines.

8.V.e. Appeal from a Dean’s Decision on Appointment, Reappointment, or Promotion, Page 9, Recommendation: Appeals from a dean’s decision for FTNTT/CF should mirror those set forth for TTF, again following a principle of parallelism referred to in Handbook Recommendations, #10, first paragraph.

The seven recommendations of the N/C-FSC are embedded below, along with my response to each. A number of recommendations align the appeals process for FTNTT/CF with the processes that exist for TT/TF. The process that applies to faculty who are protected by (the potential for) indefinite employment does not anticipate that this process applies to faculty who are protected by contract terms. Thus, while some provisions are appropriate for FTNTT/CF, others are not appropriate, as discussed below.

As is the case for TT/TF, grievants must be faculty members at NYU when they initiate the appellate grievance procedure. Thus, Section V. Grievances Related to Reappointment and Promotion includes the following note: “The purpose of these Guidelines is to establish University procedures by means of which FTNTT/CF can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under Section V.e. Appeal from a Dean’s Decision on Reappointment and Promotion.”
Recommendation 1. Amend the Guidelines to read, “A faculty member intending to make an appeal shall indicate such intention in writing to the Provost within 15 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.”

The TT/TF grievance process provides that appellants ‘submit such intention in writing.’” As a matter of course, TT/TF appellants submit a full appeal that specifies grounds for and materials in support of the appeal. We have no historic record of an intent to appeal that does not provide the substance of the appeal itself. Thus, when the grievance processes for FTNTT/CF were formulated, they were written to reflect experience and practice. The Guidelines adopt the suggestion to reference exceptions to the 15 day rule. Thus, the Guidelines read, “A faculty member intending to make such an appeal shall indicate such intention in writing to the Provost, specifying all grounds for and materials in support of the appeal within 15 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.”

Recommendation 2. Revise the Guidelines to read, “Where such an appeal is made, the dean shall transmit to the Provost a report of the proceedings in the case at its earlier stages. The Provost shall in each case obtain the advice of an advisory committee drawn from a larger standing committee selected by the Full-Time Non-Tenure Track/Contract Faculty Council but not necessarily members of that body; the advisory committee shall consist of no less than three senior FTNTT/CF faculty members, at least two of whom are not from the grievant’s school. This advisory committee shall be called the Full-Time Non-Tenure Track/Contract Faculty Council Grievance Committee.”

As noted above with respect to the school grievance committee and now with respect to the grievance appeal committee, NYU TT/TF have a strong tradition and expectation of being consulted on academic matters. And, it is the tradition, responsibility, and privilege of the Provost as Chief Academic Officer to seek the advice of the senior tenured faculty. The principle of FTNTT/CF participation in FTNTT/CF grievance appeals is also a strong principle. Accordingly, the Guidelines provide for a standing committee that includes not only senior FTNTT/CF but also tenured faculty; and an advisory committee whose majority is selected by the FTNTT/CF.

The Guidelines provide, “The Provost shall in each case obtain the advice of an advisory committee, drawn from a standing committee that shall consist of the members of the N/C-FSC Grievance Committee and the T-FSC Grievance Committee; in each case committee members shall be selected by the relevant faculty senators council but need not necessarily be members of the particular council. The FTNTT/CF Grievance Advisory Committee shall consist of three members, none of whom are from the grievant’s school: one faculty member drawn from the N/C-FSC standing committee, one faculty member drawn from the T-FSC standing committee, and one senior administrator selected by the Steering Committee of the N/C-FSC.”

Recommendation 3. Amend the Guidelines to read, “The Full-Time Non-Tenure Track/Contract Faculty Council Grievance Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations, preferably within 30 days of the close of the hearing, but in any case within 60 days.”

This recommendation is to align the format of the language with the process for TT/TF. The Guidelines adopt the recommended language.

Recommendation 4. Amend the Guidelines to read, “The Full-Time Non-Tenure Track/Contract Faculty Council Grievance Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. Evidence that a decision appealed is so arbitrary that it has no rational foundation may be considered on the issue of “inadequate consideration” (that the decisions violated the academic freedom of the faculty member in question, in which case the burden of proof falls to the grievant).”
The reference to “inadequate consideration” explicitly tracks in the TT/TF grievance procedures to paragraph B-1-a, which permits appeals on the grounds “that the procedures used to reach the decision were improper, or that the case received inadequate consideration.” Inadequate consideration does not refer to violations of academic freedom. The Guidelines explicitly permit appeals of reappointment and promotion decisions on the grounds “that the decisions violated the academic freedom of the person in question, in which case the burden of proof is on that person.” Accordingly, existing language is retained.

Recommendation 5. Amend the Guidelines to add language to read, “The Full-Time Non-Tenure Track/Contract Faculty Council Grievance Committee shall at all times follow the requisites of a fair and equitable hearing, but it is not to be restricted by the technical rules of evidence or the formality of the adversary proceeding as in a court trial. In each case the Committee shall determine its own procedure, adapting the requirements of the particular case to the equity of the situation. This shall include, for example, the question of a record of the hearing, the examination of witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine whether he or she shall have the aid of an advisor or counsel.”

The Guidelines adopt the recommended language.

Recommendation 6. Amend the Guidelines to read, “After receiving the advice of the Full-Time Non-Tenure Track/Contract Faculty Council Committee, the Provost shall decide the case and notify the grievant, the dean, and the Chairperson of the Full-Time Non-Tenure Track/Contract Faculty Council Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision.”

The Guidelines provide that Provost shall notify the chair of the advisory appeals committee of his/her decision and provide reasons when the advice of the committee is not followed. It is the case that the Provost’s decision is final, which is also the case with TT/TF appellants. Accordingly, the Guidelines read, “After receiving the advice of the FTNTT/CF Grievance Advisory Committee the Provost shall decide the case, and notify the grievant, the dean, and the Chairperson of the FTNTT/CF Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The Provost’s decision is final and subject to no further review.”

Recommendation 7. Amend the Guidelines to add language to read, “If the dean’s decision is favorable to the faculty member and hence is not appealed and Provost reverses that decision without seeking the advice of the Full-Time Non-Tenure Track/Contract Faculty Council Grievance Committee as described above, the faculty member may then invoke the appeal procedure.”

This recommendation is to align the FTNTT/CF process with the TT/T process. This provision applies to tenure decisions; it does not apply to FTNTT/CF.

Additional Amendments

Additional amendments to the Guidelines were made to clarify intent and include the following:

- Section I, II. The enumeration of University commitment to excellence adds artistic achievement.

- Section IV, Reappointment and Promotion a. Eligibility and Criteria for Reappointment and Promotion, paragraph 2, reorders the sequence of sentences and clarifies the intent. The text (showing new language in italics) reads, “Each school shall establish clear processes for reappointment and promotion. Each school shall set exacting standards embodying the highest levels of achievement that ensure the distinct excellence of the school’s educational and training programs. Review for reappointment and promotion shall consider curricular and structural changes and improvements in academic programs. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to
reappoint or promote may be impacted by curricular and structural changes and improvements in academic programs

- Section V.b. Grievances Related to Reappointment and Promotions, adds this text: *A school’s decision to not 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.* This language is consistent with the text in section IVa. Eligibility and Criteria for Reappointment and Promotion, third paragraph.

- Section V.c. Who Can Grieve, clarifies that faculty are entitled to grieve in the event they are denied reappointment without review for reasons other than elimination of the position. This section also clarifies that faculty on one-year or two-year contracts “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” etc.
UNIVERSITY GUIDELINES FOR FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY APPOINTMENTS

I. INTRODUCTION

Full-time non-tenure track/contract faculty (FTNTT/CF) are a distinct and important part of the University academic community and contribute significantly to the University’s academic missions. School policies applicable to this group of faculty shall recognize the contributions they make to the University’s commitment to teaching excellence, traditional research, and other forms of scholarly and artistic achievement, as well as University service.

II. FORMULATION OF SCHOOL POLICIES

Each school governed by these Guidelines is required to establish its own policies governing the appointment, review, and reappointment of FTNTT/CF consistent with school culture and history, and sensitive to the diversity of FTNTT/CF roles and responsibilities in the school. These policies must contain a comprehensive set of procedures that conform to the general principles set forth herein, and must appear in a document that is readily available (in print and on the web) to all faculty members of the school.

In response to these guidelines and as appropriate thereafter, schools shall formulate and/or amend their policies in accordance with existing school governance processes and with the expectation that FTNTT/CF shall participate in formulating and/or amending the school policy to the extent and manner in which school governance policies permit. Policies on FTNTT/CF developed or amended by the school according to such procedures will be reviewed by the Provost to determine whether the procedures applied in their formulation and manner of adoption have provided for adequate deliberation and representation of the view of the school’s faculty taken as a whole, and 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.

Newly formulated or amended school policies governing the hiring, review, and reappointment of FTNTT/CF are effective and binding only upon approval of the Provost, who in reaching his or her decision shall consult with the Tenured/Tenure Track Faculty Senators Council (T-FSC) and the FTNTT/CF Senators Council (N/C-FSC).

1 These Guidelines are issued on an interim basis, pending further development to address grievances concerned with matters other than for reappointment and promotion; and disciplinary procedures.
2 At this time, this document does not apply to NYU’s health professional schools (Medicine, Dentistry, and Nursing) or to NYU’s portal campuses in Shanghai and Abu Dhabi. However, these schools are expected to embrace the spirit and values reflected in these guidelines, and to adopt policies accordingly.
3 All policies must be consistent with the University’s Bylaws and with actions of the University’s Board of Trustees.

Interim Guidelines Revised February 9, 2015
Each school shall establish a formal process for conducting a five-year review of the school policy initially approved under these guidelines and for successive reviews of the policy and its implementation periodically thereafter. This review shall include a written report from the school dean to the Provost, who shall consider both the substance of the policy as well as its implementation.

### III. TITLES AND TERMS OF EMPLOYMENT

**Scope of These Guidelines**

These Guidelines apply to Full-Time Non-Tenure Track/Contract Faculty as they are defined in Bylaw 87(a), *Full-Time Non-Tenure Track/Contract Faculty Appointments.* FTNTT/CF “are faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from Assistant to Associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or company.).”

**Titles for FTNTT/CF**

FTNTT/CF have an array of titles, which may vary depending on the school, and which may overlap with Other Faculty titles (see Bylaw 88, *Other Faculty*). FTNTT/CF are to be appointed using academic titles from among appropriate titles set forth in University Bylaws at that time and listed among *Nontenure Positions* (Bylaw 89, *Nontenure Positions*). Schools seeking to create materially different academic titles designed to convey FTNTT/CF status must secure the approval of the Provost, who shall consult with the T-FSC and the N/C-FSC and make a recommendation to the Board of Trustees to amend the Bylaws accordingly.

**Written Contracts**

Each FTNTT/CF appointment is to be secured by a written contract, specifying a fixed term, signed by the parties to it, and filed with the school dean and the University Office of Academic Appointments prior to commencement of employment.

Such contracts shall include the following terms negotiated between the faculty member and the appropriate administrator with the authority to do so, and approved by the dean:

- start and end dates of the appointment;
- an indication of whether the faculty member is eligible to be considered for reappointment upon conclusion of the current contract;
- academic responsibilities, compensation, and obligations of the appointment;
- particular responsibilities and benefits; and
- agreement to be bound by applicable University policies.

In accordance with University Bylaw 87(b), *Contracts and Titles*, the appointment of FTNTT/CF automatically terminates at the close of the period of time stipulated in the contract, unless there is an official notice of renewal. By signing the contract, appointees acknowledge that they have received adequate notice of their termination date. Thus, reappointment can be achieved only by a school’s taking

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4 Bylaw 87(a) and other Bylaws referenced in this document were approved by the NYU Board of Trustees on June 11, 2014 effective September 1, 2014.
affirmative action to do so.

Areas of Responsibility

Responsibilities and assignments for FTNTT/CF vary from school to school and within schools and are normally differentiated by title. Each school shall define and prioritize the responsibilities associated with FTNTT/CF positions and establish performance expectations.

Responsibilities associated with FTNTT/CF appointments typically include some but not necessarily all of the following and need not be restricted to them:

• teaching including, but not limited to, classroom instruction;
• scholarship including, but not limited to, for example, research, publications, creative productions, and performances;
• student advising;
• 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 the school’s or University’s educational, research, and service missions.

Participation in School Governance

In accordance with Bylaw 82(c), Faculty Membership, College and School Governance, the FTNTT/CF of a school may hold its own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of the school, as it determines; and may participate in joint meetings with tenured/tenure track faculty.

Schools are expected to permit FTNTT/CF to be represented within their respective school governance bodies, and to include FTNTT/CF on appropriate committees, except for those involving tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty.

Transfer between FTNTT/CF and Tenured or Tenure Track Appointments

While not prohibited, FTNTT/CF appointments are not normally convertible to tenure track appointments. In rare cases, and then only with provostial approval, a school may choose to convert a non-tenure track position 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, no school policy may prohibit a FTNTT/CF member 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.

IV. HIRING, REAPPOINTMENT, PROMOTION AND PERFORMANCE ASSESSMENT

Excellence in Faculty Appointments

Appointment processes for FTNTT/CF shall reflect the University’s overriding commitment to enhance
academic excellence and to provide students with the best available educational experience. Thus, each FTNTT/CF appointment and reappointment shall be evaluated in the light of the contribution it makes to the distinct excellence of the school including its educational and training programs, and shall exemplify the university’s commitment to appoint and retain the best faculty in all disciplines.

Hiring Plan and Process

a. Duration of Contracts

FTNTT/CF 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 programmatically and academically desirable in a number of schools and academic programs within schools; school policies shall include a rationale for a FTNTT/CF 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.

b. Hiring Practices

Hiring practices for FTNTT/CF shall be transparent and fair. The process shall include involvement of department and school committees and deans, in accordance with school governance processes. Schools are expected to include FTNTT/CF in the hiring process for full-time contract faculty.

Reappointment and Promotion

a. Eligibility and Criteria for Reappointment and Promotion

Faculty appointed under both one-year and multi-year full-time contracts may be eligible for reappointment. Contracts will specify whether this is the case. Schools are encouraged to provide regular written feedback to faculty on multi-year contracts regarding their performance.

Each school shall establish clear processes for reappointment and promotion. Each school shall set exacting standards embodying the highest levels of achievement that ensure the distinct excellence of the school’s educational and training programs. Review for reappointment and promotion shall consider curricular and structural changes and improvements in academic programs. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint or promote may be impacted by curricular and structural changes and improvements in academic programs.

Where a position is to be eliminated at the end of the contract term and there is no similar position open, there is no reappointment process; however, the faculty member may request a performance review for career development to be conducted within a time framework specified by the school.

b. Reappointment for Multi-Year Full-Time Contracts of Three Years or More

These guidelines distinguish between reappointment processes governing multi-year full-time contracts and one-year full-time contracts.
In the case of multi-year full-time contracts of three years or more, reappointment requires a formal review process. The process shall be conducive to insuring that candidates for reappointment and promotion exhibit the highest level of performance and achievement – whether in teaching, the creative arts, or traditional scholarship and research.

Review for reappointment/non-reappointment is conducted in the penultimate year of the initial term of appointment and shall be completed by the end of that penultimate year. In the event of a decision to reappoint, the FTNTT/CF shall complete the remainder of his/her term and shall be reappointed, normally, for another multi-year term. In the event of a decision to not reappoint, the contract faculty member shall be notified of the intention to not reappoint no later than August 31st of the penultimate year, and shall continue to be under contract for the final year.

Each school process for review of full-time multi-year contracts of three years or more, including promotion reviews, must include:

• a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
• a statement of the academic criteria in the areas of teaching, program development, the creative and performance arts (where appropriate), department and school service, and research and scholarship (where appropriate) that will guide the committee’s evaluation;
• the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
• a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision;
• the grounds for stopping the contract clock for reasonable cause, e.g., medical, personal, as primary caregiver for child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation; and
• the grounds for grievance and appeal as laid out in this document (below, Section V.).

In addition to formal reviews at the time of potential reappointment, each FTNTT/CF member on a multi-year contract of three years or more shall annually submit to his/her dean an activity report, comparable in scope to reports required of tenured/tenure track faculty (T/TTF) but as appropriate for FTNTT/CF appointments, whose format shall be designed in accordance with school policy as in effect at that time.

In addition, schools may wish to carry out formal performance assessments from time to time in the course of multi-year appointments that are longer than three years.

c. Reappointment for Continuous Service on One-Year or Two-Year Full-Time Contracts

Though no reappointment can proceed without a performance assessment, numerous factors render the sort of formal review appropriate for multi-year appointments inapp in the case of faculty on one- or two-year contracts being considered for reappointment. Each school must formulate a policy that provides for appropriate assessment criteria adequate to determine whether reappointment is warranted. Criteria may include evaluation of classroom performance, review of curricular materials, and the like.

As is the case in multi-year contracts, eligibility to be considered for reappointment does not guarantee
reappointment.

FTNTT/CF may be reappointed to a series of one-year or two-year full-time contracts. In the first semester of the third year of continuous appointments, a FTNTT/CF member shall be subject to formal review comparable to those to which faculty members on longer multi-year contracts are subject. The process governing third-year reviews of faculty on continuous contracts shall include:

- a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
- a statement of the academic criteria in the areas of teaching, program development, the creative arts (where appropriate), department and school service, and scholarship (where appropriate) that will guide the committee’s evaluation;
- the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
- a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision. Normally, a FTNTT/CF must be notified of the intention not to be reappointed no later than March 1st of the final year of the contract, if the appointment is to be terminated on August 31st. Normally, a FTNTT/CF whose period of appointment is due to terminate on a date other than August 31st must be notified of the intention not to be reappointed no later than 180 days prior to the termination date;
- the grounds for stopping the contract clock for reasonable cause (e.g., medical, personal, as primary caregiver for child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation); and
- the grounds for grievance and appeal as laid out in this document (below, Section V.).

V. GRIEVANCES RELATED TO REAPPOINTMENT AND PROMOTION OF FTNTT/CF

The purpose of these Guidelines is to establish University procedures by means of which FTNTT/CF can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under Section V.e., Appeal from a Dean’s Decision on Reappointment and Promotion.

a. Principles

Each school shall have a formal and written grievance policy that is widely available and easily accessible to faculty, reflective of the distinctive culture of the school, responsive to the University’s commitment to academic excellence and to its responsibility to provide students with access to an excellent education, and cognizant of its responsibility to faculty to afford them due process and a fair hearing of their complaint. Each such policy must identify who is permitted to grieve, what can be grieved, the grounds upon which grievances are to be judged, and the procedures for doing so.

To guide the schools, these Guidelines set forth and clarify applicable University policy and processes with respect to reappointment of FTNTT/CF. These guidelines complement the Faculty Grievance Procedures, cited in the Faculty Handbook, which apply to tenured/tenure track faculty. The following guidelines for grievances related to reappointment and promotion of FTNTT/CF are similar to those
Procedures but clarify who can grieve, and provide for the participation of FTNTT/CF on school grievance committees and in the appeal process.

School policies should also address grievances on other matters such as duties, salaries, perquisites, and working conditions. University compliance and workplace policies govern grievances on a range of additional matters.

b. Grievances Relating to Reappointment and Promotion

Grievances related to reappointment and promotion of FTNTT/CF 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 school’s decision to not 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.

c. Who Can Grieve

A FTNTT/CF member whose contract is non-renewable or 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.

FTNTT/CF 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.

d. The School Grievance Process

It is expected that most grievance cases shall be settled within each school; and that attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

If a faculty member’s grievance is not settled informally at a level below the dean, or by the dean himself or herself, the faculty member may appeal to the dean to convokethe grievance committee of the school or faculty. Each school or faculty shall designate 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 FTNTT/CF grievances, which will include senior FTNTT/CF 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 FTNTT/CF who shall participate in hearing and evaluating only those grievances that are filed by FTNTT/CF. The faculty grievance committee(s) shall not include departmental chairpersons or department heads or any faculty member whose primary assignment is administrative.

The dean shall convocate the committee within fifteen working days of receiving the faculty member’s appeal. In any instance in which the dean has not so convoked the grievance committee, the faculty member has the right to bring it to the attention of the Office of the Provost. An exception to this may be made only with the consent of the grievant, the dean and the Provost.

The grievance committee does not judge the professional merits of the case, but considers the grounds specified above (Section b. Grievances Related to Reappointment and Promotion). 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.

e. Appeal from a Dean’s Decision on Reappointment, or Promotion

Appeals from a dean’s decision can be made only on the following grounds: a) that the procedures used to reach the decision were improper, or that the case received inadequate consideration; or b) that the decisions violated the academic freedom of the person in question, in which case the burden of proof is on the faculty member.

A faculty member intending to make such an appeal shall indicate such intention in writing to the Provost, specifying all grounds for and materials in support of the appeal within 15 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.

Where such an appeal is made, the dean shall transmit to the Provost a report of the proceedings in the case at its earlier stages. The Provost shall in each case obtain the advice of an advisory committee drawn from a standing committee that shall consist of the members of the N/C-FSC Grievance Committee and the T-FSC Grievance Committee; in each case committee members shall be selected by the relevant faculty senators council but need not necessarily be members of the particular council. The FTNTT/CF Grievance Advisory Committee shall consist of three members, none of whom are from the grievant’s school: one from the N/C-FSC standing committee, one from the T-FSC standing committee, and one senior administrator selected by the Steering Committee of the N/C-FSC.

The FTNTT/CF Grievance Advisory Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations preferably within 30 days of the close of the hearing, but in any case within sixty 60 days. The FTNTT/CF Grievance Advisory Committee shall at all times follow the requisites of fair and equitable hearing, but it is not to be restricted by the technical rules of evidence or the formality of the adversary proceeding as in a court trial. In each case, the Committee shall determine its own procedure, adapting the requirements of the particular case to the equity of the situation. This shall include, for example, the question of a record of the hearing, the examination of witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine whether he or she shall have the aid of an advisor or counsel.

The FTNTT/CF Grievance Advisory Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. Evidence that a decision appealed is so arbitrary that it has no rational foundation may be considered on the issue of “inadequate consideration.”
After receiving the advice of the FTNTT/CF Grievance Advisory Committee the Provost shall decide the case, and notify the grievant, the dean and the Chairperson of the FTNTT/CF Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The Provost’s decision is final and subject to no further review.
NEW YORK UNIVERSITY GUIDELINES FOR FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY APPOINTMENTS

I. INTRODUCTION

Full-time non-tenure track/contract faculty (FTNTT/CF) represent a distinct and important part of the University academic community and contribute significantly to the University’s academic missions. School policies applicable to this group of faculty shall recognize the contributions they make to the University’s commitment to teaching excellence, traditional research, and other forms of scholarly and artistic achievement, as well as University service.

II. FORMULATION OF SCHOOL POLICIES

Each school governed by these Guidelines is required to establish its own policies governing the appointment, review, and reappointment of full-time contract faculty FTNTT/CF consistent with school culture and history, and sensitive to the diversity of FTNTT/CF roles and responsibilities in the school. These policies must contain a comprehensive set of procedures that conform to the general principles set forth herein, and must appear in a document that is readily available (in print and on the web) to all faculty members of the school.

In response to these guidelines and as appropriate thereafter, schools shall formulate and/or amend their policies in accordance with existing school governance processes and with the expectation that FTNTT/CF shall participate in formulating and/or amending the school policy to the extent and manner in which school governance policies permit. Policies on FTNTT/CF developed or amended by the school according to such procedures will be reviewed by the Provost to determine whether the procedures applied in their formulation and manner of adoption have provided for adequate deliberation and representation of the view of the school’s faculty taken as a whole, and 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.

Newly formulated or amended school policies governing the hiring, review, and reappointment of FTNTT/CF are effective and binding only upon approval of the Provost, who in reaching his or her decision shall consult with the Tenured/Tenure Track Faculty Senators Council (T-FSC) and the FTNTT/CF Senators Council (N/C-FSC).

1 These Guidelines are issued on an interim basis, pending further development to address grievances concerned with matters other than for reappointment and promotion; and disciplinary procedures review by the FTNTT/CF Council.

2 At this time, this document does not apply to NYU’s health professional schools (Medicine, Dentistry, and Nursing) or to NYU’s portal campuses in Shanghai and Abu Dhabi. However, these schools are expected to embrace the spirit and values reflected in these guidelines, and to adopt policies accordingly.

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Interim Guidelines Issued June 12, 2014 Revised February 9, 2015
Each school shall establish a formal process for conducting a five-year review of the school policy initially approved under these guidelines and for successive reviews of the policy and its implementation periodically thereafter. This review shall include a written report from the school dean to the Provost, who shall consider both the substance of the policy as well as its implementation.

III. TITLES AND TERMS OF EMPLOYMENT

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These Guidelines apply to Full-Time Non-Tenure Track/Contract Faculty as they are defined in Bylaw 87(a), Full-Time Non-Tenure Track/Contract Faculty Appointments. FTNTT/CF are faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from Assistant to Associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or company).”

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FTNTT/CF have an array of titles, which may vary depending on the school, and which may overlap with Other Faculty titles (see Bylaw 88, Other Faculty). FTNTT/CF are to be appointed using academic titles from among appropriate titles set forth in University Bylaws at that time and listed among Nontenure Positions (Bylaw 89, Nontenure Positions). Schools seeking to create materially different academic titles designed to convey FTNTT/CF status must secure the approval of the Provost, who shall consult with the T-FSC Faculty Senators Council and the FTNTT/CN/C- F Council and make a recommendation to the Board of Trustees to amend the Bylaws accordingly.

Written Contracts

Each full-time contract faculty FTNTT/CF appointment is to be secured by a written contract, specifying a fixed term, signed by the parties to it, and filed with the school dean and the University Office of Academic Appointments prior to commencement of employment.

Such contracts shall include the following terms negotiated between the faculty member and the appropriate administrator with the authority to do so, and approved by the dean:

- start and end dates of the appointment;
- an indication of whether the faculty member is eligible to be considered for reappointment upon conclusion of the current contract;
- academic responsibilities, compensation, and obligations of the appointment;
- particular responsibilities and benefits; and
- agreement to be bound by applicable University policies.

In accordance with University Bylaw 87(b), Contracts and Titles, the appointment of FTNTT/CF automatically terminates at the close of the period of time stipulated in the contract, unless there is an official notice of renewal. By signing the contract, appointees acknowledge that they have received

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Interim Guidelines Issued June 12, 2014 Revised February 73, 2015
adequate notice of their termination date. Thus, reappointment can be achieved only by a school’s taking affirmative action to do so.

Areas of Responsibility

Responsibilities and assignments for FTNTT/CF vary from school to school and within schools and are normally differentiated by title. Each school shall define and prioritize the responsibilities associated with full-time contract faculty FTNTT/CF positions and establish performance expectations.

Responsibilities associated with full-time contract faculty FTNTT/CF appointments typically include some but not necessarily all of the following and need not be restricted to them:

- teaching including, but not limited to, classroom instruction;
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- student advising;
- service including, but not limited to, service to the University community and within and to one’s profession; and
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Participation in School Governance

In accordance with Bylaw 82(c), Faculty Membership, College and School Governance, the FTNTT/CF of a school may hold its own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of the school, as it determines; and may participate in joint meetings with tenured/tenure track faculty.

Schools are encouraged expected to permit FTNTT/CF to be represented within their respective school governance bodies, and to include FTNTT/CF on appropriate committees, except for those involving tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty.

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While not prohibited, FTNTT/CF appointments are not normally convertible to tenure track appointments. In rare cases, and then only with provostial approval, a school may choose to convert a non-tenure track position 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, no school policy may prohibit a FTNTT/CF member 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.

IV. HIRING, REAPPOINTMENT, PROMOTION AND PERFORMANCE ASSESSMENT

Excellence in Faculty Appointments
Appointment processes for FTNTT/CF shall reflect the University’s overriding commitment to enhance academic excellence and to provide students with the best available educational experience. Thus, each FTNTT/CF appointment and reappointment shall be evaluated in the light of the contribution it makes to the distinct excellence of the school including its educational and training programs, and shall exemplify the university’s commitment to appoint and retain the best faculty in all disciplines.

**Hiring Plan and Process**

**a. Duration of Contracts**

FTNTT/CF 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 programmatically and academically desirable in a number of schools and academic programs within schools, and can be justified accordingly; school policies shall include a rationale for a FTNTT/CF 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.

**b. Hiring Practices**

Hiring practices for FTNTT/CF shall be transparent and fair. The process shall include involvement of department and school committees and deans, in accordance with school governance processes. Schools are encouraged to include FTNTT/CF in the hiring process for full-time contract faculty. Where governance procedures preclude the involvement of FTNTT/CF in the hiring of full-time contract faculty, schools are encouraged to revise their procedures to allow for meaningful FTNTT/CF involvement.

**Reappointment and Promotion**

**a. Eligibility and Criteria for Reappointment and Promotion**

Faculty appointed under both one-year and multi-year full-time contracts may be eligible for reappointment. Contracts will specify whether this is the case. Schools are encouraged to provide regular written feedback to faculty on multi-year contracts regarding their performance.

Each school shall set exacting standards embodying the highest levels of achievement and establish clear processes for reappointment and promotion. Review for reappointment and promotion shall consider curricular and structural changes and improvements in academic programs. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint or promote may be impacted by curricular and structural changes and improvements in academic programs.

Where a position is to be eliminated at the end of the contract term and there is no similar position open, there is no reappointment process; however, the faculty member may request a performance review for career development to be conducted within a time framework specified by the school.

**b. Reappointment for Multi-Year Full-Time Contracts of Three Years or More**
These guidelines distinguish between reappointment processes governing multi-year full-time contracts and one-year full-time contracts.

In the case of multi-year full-time contracts of three years or more, reappointment requires a formal review process. The process shall be conducive to insuring that candidates for reappointment and promotion exhibit the highest level of performance and achievement – whether in teaching, the creative arts, or traditional scholarship and research.

Review for reappointment/non-reappointment is conducted in the penultimate year of the initial term of appointment and shall be completed by the end of that penultimate year. In the event of a decision to reappoint, the FTNTT/CF shall complete the remainder of his/her term and shall be reappointed, normally, for another multi-year term. In the event of a decision to not reappoint, the contract faculty member shall be notified of the intention to not reappoint no later than August 31st of the penultimate year, and shall continue to be under contract for the final year.

Each school process for review of full-time multi-year contracts of three years or more, including promotion reviews, must include:

- a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
- a statement of the academic criteria in the areas of teaching, program development, the creative and performance arts (where appropriate), department and school service, and research and scholarship (where appropriate) that will guide the committee’s evaluation;
- the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
- a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision;
- the grounds for stopping the contract clock for reasonable cause, e.g., medical, personal, as primary caregiver for child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation; and
- the grounds for grievance and appeal as laid out in this document (below, Section V.).

In addition to formal reviews at the time of potential reappointment, each FTNTT/CF member on a multi-year contract of three years or more shall annually submit to his/her dean an activity report, comparable in scope to reports required of tenured/tenure track faculty (T/TTF) but as appropriate for contract faculty FTNTT/CF appointments, whose format shall be designed in accordance with school policy as in effect at that time.

In addition, schools may wish to carry out formal performance assessments from time to time in the course of multi-year appointments that are longer than three years.

c. Reappointment for Continuous Service on One-Year or Two-Year Full-Time Contracts

Though no reappointment can proceed without a performance assessment, numerous factors render the sort of formal review appropriate for multi-year appointments inapt in the case of faculty on one- or two-year contracts.
year contracts being considered for reappointment. Each school must formulate a policy that provides for appropriate assessment criteria adequate to determine whether reappointment is warranted. Criteria may include evaluation of classroom performance, review of curricular materials, and the like.

As is the case in multi-year contracts, eligibility to be considered for reappointment does not guarantee reappointment.

FTNTT/CF may be reappointed to a series of one-year or two-year full-time contracts. In the first semester of the third year of continuous appointments, a FTNTT/CF member shall be subject to formal review comparable to those to which faculty members on longer multi-year contracts are subject. The process governing third-year reviews of faculty on continuous contracts shall include:

- a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
- a statement of the academic criteria in the areas of teaching, program development, the creative arts (where appropriate), department and school service, and scholarship (where appropriate) that will guide the committee’s evaluation;
- the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
- a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision. Normally, a contract faculty member FTNTT/CF must be notified of the intention not to be reappointed no later than March 1st of the final year of the contract, if the appointment is to be terminated on August 31st. Normally, a contract faculty member FTNTT/CF whose period of appointment is due to terminate on a date other than August 31st must be notified of the intention not to be reappointed no later than 180 days prior to the termination date;
- the grounds for stopping the contract clock for reasonable cause (e.g., medical, personal, as primary caregiver for child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation); and
- the grounds for grievance and appeal as laid out in this document (below, Section V.).

V. GRIEVANCES RELATED TO REAPPOINTMENT AND PROMOTION OF FTNTT/CF

The purpose of these Guidelines is to establish University procedures by means of which FTNTT/CF can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under Section V.e., Appeal from a Dean’s Decision on Reappointment and Promotion.

a. Principles

Each school shall have a formal and written grievance policy that is widely available and easily accessible to faculty, reflective of the distinctive culture of the school, responsive to the University’s commitment to academic excellence and to its responsibility to provide students with access to an excellent education, and cognizant of its responsibility to faculty to afford them due process and a fair hearing of their complaint. Each such policy must identify who is permitted to grieve, what can be grieved, the grounds upon which grievances are to be judged, and the procedures for doing so.
To guide the schools, these Guidelines set forth and clarify applicable University policy and processes with respect to reappointment of full-time contract faculty FTNTT/CF. These guidelines complement the Faculty Grievance Procedures, cited in the Faculty Handbook, which apply to tenured/tenure track faculty. The following guidelines for grievances related to reappointment of FTNTT/CF are similar to those Procedures but clarify who can grieve, and provide for the participation of full-time contract faculty FTNTT/CF on school grievance committees and in the appeal process.

School policies should also address grievances on other matters such as duties, salaries, perquisites, and working conditions. University compliance and workplace policies govern grievances on a range of additional matters.

b. Grievances Relating to Reappointment and Promotion

Grievances related to reappointment and promotion of FTNTT/CF 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 school’s decision to not 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.

c. Who Can Grieve

A FTNTT/CF member whose contract is non-renewable or 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 of continuous service 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.

FTNTT/CF 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.

d. The School Grievance Process

It is expected that most grievance cases shall be settled within each school; and that attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

If a faculty member’s grievance is not settled informally at a level below the dean, or by the dean himself or herself, the faculty member may appeal to the dean to convolve the grievance committee of the school.
or faculty. Each school or faculty shall designate 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 FTNTT/CF grievances, which will include
senior FTNTT/CF 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 FTNTT/CF. For the purpose of
addressing grievances of full-time contract faculty members, the school grievance committee shall be
expanded to include at least one senior full-time contract faculty member who shall participate in hearing
and evaluating only those grievances that are filed by FTNTT/CF. The faculty grievance committee(s)
shall not include departmental chairpersons or department heads or any faculty member whose primary
assignment is administrative.

The dean shall convocate the committee within fifteen working days of receiving the faculty member’s
appeal. In any instance in which the dean has not so convoked the grievance committee, the faculty
member has the right to bring it to the attention of the Office of the Provost. An exception to this may be
made only with the consent of the grievant, the dean and the Provost.

The grievance committee does not judge the professional merits of the case, but considers the grounds
specified above (Section b. Grievances Related to Reappointment and Promotion). 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.

e. Appeal from a Dean’s Decision on Appointment, Reappointment, or Promotion

Appeals from a dean’s decision can be made only on the following grounds: a) that the procedures
used to reach the decision were improper, or that the case received inadequate consideration; or b) that
the decisions violated the academic freedom of the person in question, in which case the burden of
proof is on the faculty member.

A faculty member intending to make such an appeal shall indicate such intention in writing to the
Provost, specifying all grounds for and materials in support of the appeal within 15 days. The faculty
member, after receiving written notification of the dean’s decision, has fifteen days to appeal to the
Provost, which appeal must be in writing, specifying all grounds for and materials in support of the
appeal, and received at the Office of the Provost within the fifteen-day period. An exception to this may be
made only with the consent of the grievant, the dean, and the Provost.

Where such an appeal is made, the dean shall transmit to the Provost a report of the proceedings in the
case at its earlier stages. Upon receiving the transmittal, the Provost shall in each case obtain the
advice of an advisory committee drawn from a standing committee that shall consist of the members of
the N/C-FSC Grievance Committee and the T-FSC Grievance Committee; in each case committee
members shall be selected by the relevant faculty senators council but need not necessarily be members of
the particular council. The FTNTT/CF Grievance Advisory Committee shall consist of three members,
none of whom are from the grievant’s school: one from the N/C-FSC standing committee, one from the
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FSC.
not from the grievant’s school. The Provost shall constitute the advisory committee for a particular appeal by drawing on a standing committee he or she shall establish, whose job shall be to advise the Provost on appeals from a dean’s decision about appointment, reappointment, and promotion. The standing committee shall be comprised of two members of the appropriate Faculty Senators Council(s), five senior full-time contract faculty members drawn from five schools, and three who are either senior school administrators or senior tenured faculty members from three different schools.

The FTNTT/CF Grievance Advisory Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations to the Provost—preferably within thirty days of the close of the hearing, but in any case within sixty days. The FTNTT/CF Grievance Advisory Committee shall at all times follow the requisites of fair and equitable hearing, but it is not to be restricted by the technical rules of evidence or the formality of the adversary proceeding as in a court trial. In each case, the Committee shall determine its own procedure, adapting the requirements of the particular case to the equity of the situation. This shall include, for example, the question of a record of the hearing, the examination of witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine whether he or she shall have the aid of an advisor or counsel.”

The FTNTT/CF Grievance Advisory Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. Evidence that a decision appealed is so arbitrary that it has no rational foundation may be considered on the issue of “inadequate consideration.”

After receiving the advice of the FTNTT/CF Grievance Advisory Committee, the Provost shall decide the case, and notify the grievant, the dean and the Chairperson of the FTNTT/CF Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The Provost’s judgment is final and subject to no further review.
UNIVERSITY GUIDELINES FOR
FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY APPOINTMENTS

I. INTRODUCTION

Full-time non-tenure track/contract faculty (FTNTT/CF) are a distinct and important part of the University academic community and contribute significantly to the University’s academic missions. School policies applicable to this group of faculty shall recognize the contributions they make to the University’s commitment to teaching excellence, traditional research, and other forms of scholarly and artistic achievement, as well as University service.

II. FORMULATION OF SCHOOL POLICIES

Each school governed by these Guidelines is required to establish its own policies governing the appointment, review, and reappointment of FTNTT/CF consistent with school culture and history, and sensitive to the diversity of FTNTT/CF roles and responsibilities in the school. These policies must contain a comprehensive set of procedures that conform to the general principles set forth herein, and must appear in a document that is readily available (in print and on the web) to all faculty members of the school.

In response to these guidelines and as appropriate thereafter, schools shall formulate and/or amend their policies in accordance with existing school governance processes and with the expectation that FTNTT/CF shall participate in formulating and/or amending the school policy to the extent and manner in which school governance policies permit. Policies on FTNTT/CF developed or amended by the school according to such procedures will be reviewed by the Provost to determine whether the procedures applied in their formulation and manner of adoption have provided for adequate deliberation and representation of the view of the school’s faculty taken as a whole, and 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.

Newly formulated or amended school policies governing the hiring, review, and reappointment of FTNTT/CF are effective and binding only upon approval of the Provost, who in reaching his or her decision shall consult with the Tenured/Tenure Track Faculty Senators Council (T-FSC) and the FTNTT/CF Senators Council (N/C-FSC).

1 These Guidelines are issued on an interim basis, pending further development to address grievances concerned with matters other than for reappointment and promotion; and disciplinary procedures.
2 At this time, this document does not apply to NYU’s health professional schools (Medicine, Dentistry, and Nursing) or to NYU’s portal campuses in Shanghai and Abu Dhabi. However, these schools are expected to embrace the spirit and values reflected in these guidelines, and to adopt policies accordingly.
3 All policies must be consistent with the University’s Bylaws and with actions of the University’s Board of Trustees.

Interim Guidelines Revised February 9, 2015
Each school shall establish a formal process for conducting a five-year review of the school policy initially approved under these guidelines and for successive reviews of the policy and its implementation periodically thereafter. This review shall include a written report from the school dean to the Provost, who shall consider both the substance of the policy as well as its implementation.

III. TITLES AND TERMS OF EMPLOYMENT

Scope of These Guidelines

These Guidelines apply to Full-Time Non-Tenure Track/Contract Faculty as they are defined in Bylaw 87(a), Full-Time Non-Tenure Track/Contract Faculty Appointments. FTNTT/CF “are faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from Assistant to Associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or company.”

Titles for FTNTT/CF

FTNTT/CF have an array of titles, which may vary depending on the school, and which may overlap with Other Faculty titles (see Bylaw 88, Other Faculty). FTNTT/CF are to be appointed using academic titles from among appropriate titles set forth in University Bylaws at that time and listed among Nontenure Positions (Bylaw 89, Nontenure Positions). Schools seeking to create materially different academic titles designed to convey FTNTT/CF status must secure the approval of the Provost, who shall consult with the T-FSC and the N/C-FSC and make a recommendation to the Board of Trustees to amend the Bylaws accordingly.

Written Contracts

Each FTNTT/CF appointment is to be secured by a written contract, specifying a fixed term, signed by the parties to it, and filed with the school dean and the University Office of Academic Appointments prior to commencement of employment.

Such contracts shall include the following terms negotiated between the faculty member and the appropriate administrator with the authority to do so, and approved by the dean:

- start and end dates of the appointment;
- an indication of whether the faculty member is eligible to be considered for reappointment upon conclusion of the current contract;
- academic responsibilities, compensation, and obligations of the appointment;
- particular responsibilities and benefits; and
- agreement to be bound by applicable University policies.

In accordance with University Bylaw 87(b), Contracts and Titles, the appointment of FTNTT/CF automatically terminates at the close of the period of time stipulated in the contract, unless there is an official notice of renewal. By signing the contract, appointees acknowledge that they have received adequate notice of their termination date. Thus, reappointment can be achieved only by a school’s taking

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4 Bylaw 87(a) and other Bylaws referenced in this document were approved by the NYU Board of Trustees on June 11, 2014 effective September 1, 2014.
affirmative action to do so.

Areas of Responsibility

Responsibilities and assignments for FTNTT/CF vary from school to school and within schools and are normally differentiated by title. Each school shall define and prioritize the responsibilities associated with FTNTT/CF positions and establish performance expectations.

Responsibilities associated with FTNTT/CF appointments typically include some but not necessarily all of the following and need not be restricted to them:

- teaching including, but not limited to, classroom instruction;
- scholarship including, but not limited to, for example, research, publications, creative productions, and performances;
- student advising;
- 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 the school’s or University’s educational, research, and service missions.

Participation in School Governance

In accordance with Bylaw 82(c), Faculty Membership, College and School Governance, the FTNTT/CF of a school may hold its own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of the school, as it determines; and may participate in joint meetings with tenured/tenure track faculty.

Schools are expected to permit FTNTT/CF to be represented within their respective school governance bodies, and to include FTNTT/CF on appropriate committees, except for those involving tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty.

Transfer between FTNTT/CF and Tenured or Tenure Track Appointments

While not prohibited, FTNTT/CF appointments are not normally convertible to tenure track appointments. In rare cases, and then only with provostial approval, a school may choose to convert a non-tenure track position 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, no school policy may prohibit a FTNTT/CF member 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.

IV. HIRING, REAPPOINTMENT, PROMOTION AND PERFORMANCE ASSESSMENT

Excellence in Faculty Appointments

Appointment processes for FTNTT/CF shall reflect the University’s overriding commitment to enhance
academic excellence and to provide students with the best available educational experience. Thus, each FTNTT/CF appointment and reappointment shall be evaluated in the light of the contribution it makes to the distinct excellence of the school including its educational and training programs, and shall exemplify the university’s commitment to appoint and retain the best faculty in all disciplines.

Hiring Plan and Process

a. Duration of Contracts

FTNTT/CF 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 programmatically and academically desirable in a number of schools and academic programs within schools; school policies shall include a rationale for a FTNTT/CF 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.

b. Hiring Practices

Hiring practices for FTNTT/CF shall be transparent and fair. The process shall include involvement of department and school committees and deans, in accordance with school governance processes. Schools are expected to include FTNTT/CF in the hiring process for full-time contract faculty.

Reappointment and Promotion

a. Eligibility and Criteria for Reappointment and Promotion

Faculty appointed under both one-year and multi-year full-time contracts may be eligible for reappointment. Contracts will specify whether this is the case. Schools are encouraged to provide regular written feedback to faculty on multi-year contracts regarding their performance.

Each school shall establish clear processes for reappointment and promotion. Each school shall set exacting standards embodying the highest levels of achievement that ensure the distinct excellence of the school’s educational and training programs. Review for reappointment and promotion shall consider curricular and structural changes and improvements in academic programs. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint or promote may be impacted by curricular and structural changes and improvements in academic programs.

Where a position is to be eliminated at the end of the contract term and there is no similar position open, there is no reappointment process; however, the faculty member may request a performance review for career development to be conducted within a time framework specified by the school.

b. Reappointment for Multi-Year Full-Time Contracts of Three Years or More

These guidelines distinguish between reappointment processes governing multi-year full-time contracts and one-year full-time contracts.
In the case of multi-year full-time contracts of three years or more, reappointment requires a formal review process. The process shall be conducive to insuring that candidates for reappointment and promotion exhibit the highest level of performance and achievement – whether in teaching, the creative arts, or traditional scholarship and research.

Review for reappointment/non-reappointment is conducted in the penultimate year of the initial term of appointment and shall be completed by the end of that penultimate year. In the event of a decision to reappoint, the FTNTT/CF shall complete the remainder of his/her term and shall be reappointed, normally, for another multi-year term. In the event of a decision to not reappoint, the contract faculty member shall be notified of the intention to not reappoint no later than August 31st of the penultimate year, and shall continue to be under contract for the final year.

Each school process for review of full-time multi-year contracts of three years or more, including promotion reviews, must include:

- a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
- a statement of the academic criteria in the areas of teaching, program development, the creative and performance arts (where appropriate), department and school service, and research and scholarship (where appropriate) that will guide the committee’s evaluation;
- the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
- a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision;
- the grounds for stopping the contract clock for reasonable cause, e.g., medical, personal, as primary caregiver for child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation; and
- the grounds for grievance and appeal as laid out in this document (below, Section V.).

In addition to formal reviews at the time of potential reappointment, each FTNTT/CF member on a multi-year contract of three years or more shall annually submit to his/her dean an activity report, comparable in scope to reports required of tenured/tenure track faculty (T/TTF) but as appropriate for FTNTT/CF appointments, whose format shall be designed in accordance with school policy as in effect at that time.

In addition, schools may wish to carry out formal performance assessments from time to time in the course of multi-year appointments that are longer than three years.

c. Reappointment for Continuous Service on One-Year or Two-Year Full-Time Contracts

Though no reappointment can proceed without a performance assessment, numerous factors render the sort of formal review appropriate for multi-year appointments inapt in the case of faculty on one- or two-year contracts being considered for reappointment. Each school must formulate a policy that provides for appropriate assessment criteria adequate to determine whether reappointment is warranted. Criteria may include evaluation of classroom performance, review of curricular materials, and the like.

As is the case in multi-year contracts, eligibility to be considered for reappointment does not guarantee
reappointment.

FTNTT/CF may be reappointed to a series of one-year or two-year full-time contracts. In the first semester of the third year of continuous appointments, a FTNTT/CF member shall be subject to formal review comparable to those to which faculty members on longer multi-year contracts are subject. The process governing third-year reviews of faculty on continuous contracts shall include:

- a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
- a statement of the academic criteria in the areas of teaching, program development, the creative arts (where appropriate), department and school service, and scholarship (where appropriate) that will guide the committee’s evaluation;
- the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
- a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision. Normally, a FTNTT/CF must be notified of the intention not to be reappointed no later than March 1st of the final year of the contract, if the appointment is to be terminated on August 31st. Normally, a FTNTT/CF whose period of appointment is due to terminate on a date other than August 31st must be notified of the intention not to be reappointed no later than 180 days prior to the termination date;
- the grounds for stopping the contract clock for reasonable cause (e.g., medical, personal, as primary caregiver for child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation); and
- the grounds for grievance and appeal as laid out in this document (below, Section V.).

V. GRIEVANCES RELATED TO REAPPOINTMENT AND PROMOTION OF FTNTT/CF

The purpose of these Guidelines is to establish University procedures by means of which FTNTT/CF can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under Section V.e., Appeal from a Dean’s Decision on Reappointment and Promotion.

a. Principles

Each school shall have a formal and written grievance policy that is widely available and easily accessible to faculty, reflective of the distinctive culture of the school, responsive to the University’s commitment to academic excellence and to its responsibility to provide students with access to an excellent education, and cognizant of its responsibility to faculty to afford them due process and a fair hearing of their complaint. Each such policy must identify who is permitted to grieve, what can be grieved, the grounds upon which grievances are to be judged, and the procedures for doing so.

To guide the schools, these Guidelines set forth and clarify applicable University policy and processes with respect to reappointment of FTNTT/CF. These guidelines complement the Faculty Grievance Procedures, cited in the Faculty Handbook, which apply to tenured/tenure track faculty. The following guidelines for grievances related to reappointment and promotion of FTNTT/CF are similar to those
Procedures but clarify who can grieve, and provide for the participation of FTNTT/CF on school grievance committees and in the appeal process.

School policies should also address grievances on other matters such as duties, salaries, perquisites, and working conditions. University compliance and workplace policies govern grievances on a range of additional matters.

b. Grievances Relating to Reappointment and Promotion

Grievances related to reappointment and promotion of FTNTT/CF 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 school’s decision to not 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.

c. Who Can Grieve

A FTNTT/CF member whose contract is non-renewable or 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.

FTNTT/CF 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.

d. The School Grievance Process

It is expected that most grievance cases shall be settled within each school; and that attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

If a faculty member’s grievance is not settled informally at a level below the dean, or by the dean himself or herself, the faculty member may appeal to the dean to convoking the grievance committee of the school or faculty. Each school or faculty shall designate 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 FTNTT/CF grievances, which will include senior FTNTT/CF 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 FTNTT/CF who shall participate in
hearing and evaluating only those grievances that are filed by FTNTT/CF. The faculty grievance
committee(s) shall not include departmental chairpersons or department heads or any faculty member
whose primary assignment is administrative.

The dean shall convocate the committee within fifteen working days of receiving the faculty member’s
appeal. In any instance in which the dean has not so convoked the grievance committee, the faculty
member has the right to bring it to the attention of the Office of the Provost. An exception to this may be
made only with the consent of the grievant, the dean and the Provost.

The grievance committee does not judge the professional merits of the case, but considers the grounds
specified above (Section b. Grievances Related to Reappointment and Promotion). 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.

e. Appeal from a Dean’s Decision on Reappointment, or Promotion

Appeals from a dean’s decision can be made only on the following grounds: a) that the procedures
used to reach the decision were improper, or that the case received inadequate consideration; or b) that
the decisions violated the academic freedom of the person in question, in which case the burden of
proof is on the faculty member.

A faculty member intending to make such an appeal shall indicate such intention in writing to the
Provost, specifying all grounds for and materials in support of the appeal within 15 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.

Where such an appeal is made, the dean shall transmit to the Provost a report of the proceedings in the
case at its earlier stages. The Provost shall in each case obtain the advice of an advisory committee drawn
from a standing committee that shall consist of the members of the N/C-FSC Grievance Committee and
the T-FSC Grievance Committee; in each case committee members shall be selected by the relevant
faculty senators council but need not necessarily be members of the particular council. The FTNTT/CF
Grievance Advisory Committee shall consist of three members, none of whom are from the grievant’s
school: one from the N/C-FSC standing committee, one from the T-FSC standing committee, and one
senior administrator selected by the Steering Committee of the N/C-FSC.

The FTNTT/CF Grievance Advisory Committee shall hold a hearing and shall complete its deliberations
and notify the Provost of its recommendations preferably within 30 days of the close of the hearing, but in
any case within sixty 60 days. The FTNTT/CF Grievance Advisory Committee shall at all times follow
the requisites of fair and equitable hearing, but it is not to be restricted by the technical rules of evidence
or the formality of the adversary proceeding as in a court trial. In each case, the Committee shall
determine its own procedure, adapting the requirements of the particular case to the equity of the
situation. This shall include, for example, the question of a record of the hearing, the examination of
witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine
whether he or she shall have the aid of an advisor or counsel.

The FTNTT/CF Grievance Advisory Committee shall not judge professional merits, but only ascertain
whether procedural safeguards have been observed. Evidence that a decision appealed is so arbitrary that
it has no rational foundation may be considered on the issue of “inadequate consideration.”
After receiving the advice of the FTNTT/CF Grievance Advisory Committee the Provost shall decide the case, and notify the grievant, the dean and the Chairperson of the FTNTT/CF Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The Provost’s decision is final and subject to no further review.
NEW YORK UNIVERSITY GUIDELINES FOR
FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY APPOINTMENTS

I. INTRODUCTION

Full-time non-tenure track/contract faculty (FTNTT/CF) represent a distinct and important part of the University academic community and contribute significantly to the University’s academic missions. School policies applicable to this group of faculty shall recognize the contributions they make to the University’s commitment to teaching excellence, traditional research, and other forms of scholarly and artistic achievement, as well as University service.

II. FORMULATION OF SCHOOL POLICIES

Each school governed by these Guidelines is required to establish its own policies governing the appointment, review, and reappointment of full-time contract faculty FTNTT/CF consistent with school culture and history, and sensitive to the diversity of FTNTT/CF roles and responsibilities in the school. These policies must contain a comprehensive set of procedures that conform to the general principles set forth herein, and must appear in a document that is readily available (in print and on the web) to all faculty members of the school.

In response to these guidelines and as appropriate thereafter, schools shall formulate and/or amend their policies in accordance with existing school governance processes and with the expectation that FTNTT/CF shall participate in formulating and/or amending the school policy to the extent and manner in which school governance policies permit. Policies on FTNTT/CF developed or amended by the school according to such procedures will be reviewed by the Provost to determine whether the procedures applied in their formulation and manner of adoption have provided for adequate deliberation and representation of the view of the school’s faculty taken as a whole, and 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.

Newly formulated or amended school policies governing the hiring, review, and reappointment of FTNTT/CF are effective and binding only upon approval of the Provost, who in reaching his or her decision shall consult with the Tenured/Tenure Track Faculty Senators Council (T-FSC) and the FTNTT/CF Senators Council (N/C-FSC).
Each school shall establish a formal process for conducting a five-year review of the school policy initially approved under these guidelines and for successive reviews of the policy and its implementation periodically thereafter. This review shall include a written report from the school dean to the Provost, who shall consider both the substance of the policy as well as its implementation.

III. TITLES AND TERMS OF EMPLOYMENT

Scope of These Guidelines

These Guidelines apply to Full-Time Non-Tenure Track/Contract Faculty as they are defined in Bylaw 87(a), Full-Time Non-Tenure Track/Contract Faculty Appointments. FTNTT/CF “are faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from Assistant to Associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or company.”

Titles for FTNTT/CF

FTNTT/CF have an array of titles, which may vary depending on the school, and which may overlap with Other Faculty titles (see Bylaw 88, Other Faculty). FTNTT/CF are to be appointed using academic titles from among appropriate titles set forth in University Bylaws at that time and listed among Nontenure Positions (Bylaw 89, Nontenure Positions). Schools seeking to create materially different academic titles designed to convey FTNTT/CF status must secure the approval of the Provost, who shall consult with the T-FSC Faculty Senators Council and the FTNTT/ CN/ CF Council and make a recommendation to the Board of Trustees to amend the Bylaws accordingly.

Written Contracts

Each full-time contract faculty FTNTT/CF appointment is to be secured by a written contract, specifying a fixed term, signed by the parties to it, and filed with the school dean and the University Office of Academic Appointments prior to commencement of employment.

Such contracts shall include the following terms negotiated between the faculty member and the appropriate administrator with the authority to do so, and approved by the dean:

- start and end dates of the appointment;
- an indication of whether the faculty member is eligible to be considered for reappointment upon conclusion of the current contract;
- academic responsibilities, compensation, and obligations of the appointment;
- particular responsibilities and benefits; and
- agreement to be bound by applicable University policies.

In accordance with University Bylaw 87(b), Contracts and Titles, the appointment of FTNTT/CF automatically terminates at the close of the period of time stipulated in the contract, unless there is an official notice of renewal. By signing the contract, appointees acknowledge that they have received

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4 Bylaw 87(a) and other Bylaws referenced in this document were approved by the NYU Board of Trustees on June 11, 2014 and take effect on September 1, 2014.

Interim Guidelines Issued June 12, 2014 Revised February 73, 2015
adequate notice of their termination date. Thus, reappointment can be achieved only by a school’s taking affirmative action to do so.

Areas of Responsibility

Responsibilities and assignments for FTNTT/CF vary from school to school and within schools and are normally differentiated by title. Each school shall define and prioritize the responsibilities associated with full-time contract faculty FTNTT/CF positions and establish performance expectations.

Responsibilities associated with full-time contract faculty FTNTT/CF appointments typically include some but not necessarily all of the following and need not be restricted to them:

- teaching including, but not limited to, classroom instruction;
- scholarship including, but not limited to, for example, research, publications, creative productions, and performances;
- student advising;
- 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 the school’s or University’s educational, research, and service missions.

Participation in School Governance

In accordance with Bylaw 82(c), Faculty Membership, College and School Governance, the FTNTT/CF of a school may hold its own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of the school, as it determines; and may participate in joint meetings with tenured/tenure track faculty.

Schools are encouraged to permit FTNTT/CF to be represented within their respective school governance bodies, and to include FTNTT/CF on appropriate committees, except for those involving tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty.

Transfer between FTNTT/CF and Tenured or Tenure Track Appointments

While not prohibited, FTNTT/CF appointments are not normally convertible to tenure track appointments. In rare cases, and then only with provostial approval, a school may choose to convert a non-tenure track position 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, no school policy may prohibit a FTNTT/CF member 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.

IV. HIRING, REAPPOINTMENT, PROMOTION AND PERFORMANCE ASSESSMENT

Excellence in Faculty Appointments
Appointment processes for FTNTT/CF shall reflect the University’s overriding commitment to enhance academic excellence and to provide students with the best available educational experience. Thus, each FTNTT/CF appointment and reappointment shall be evaluated in the light of the contribution it makes to the distinct excellence of the school including its educational and training programs, and shall exemplify the university’s commitment to appoint and retain the best faculty in all disciplines.

Hiring Plan and Process

a. Duration of Contracts

FTNTT/CF 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 are may be programmatically and academically desirable in a number of schools and academic programs within schools, and can be justified accordingly. School policies shall include a rationale for a FTNTT/CF 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.

b. Hiring Practices

Hiring practices for FTNTT/CF shall be transparent and fair. The process shall include involvement of department and school committees and deans, in accordance with school governance processes. Schools are encouraged expected to include FTNTT/CF in the hiring process for full-time contract faculty. Where governance procedures preclude the involvement of FTNTT/CF in the hiring of full-time contract faculty, schools are encouraged to revise their procedures to allow for meaningful FTNTT/CF involvement.

Reappointment and Promotion

a. Eligibility and Criteria for Reappointment and Promotion

Faculty appointed under both one-year and multi-year full-time contracts may be eligible for reappointment. Contracts will specify whether this is the case. Schools are encouraged to provide regular written feedback to faculty on multi-year contracts regarding their performance.

Each school shall set exacting standards embodying the highest levels of achievement and establish clear processes for reappointment and promotion. Each school shall set exacting standards embodying the highest levels of achievement that ensure the distinct excellence of the school’s educational and training programs, and review for reappointment and promotion shall consider curricular and structural changes and improvements in academic programs. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint or promote may be impacted by curricular and structural changes and improvements in academic programs.

Where a position is to be eliminated at the end of the contract term and there is no similar position open, there is no reappointment process; however, the faculty member may request a performance review for career development to be conducted within a time framework specified by the school.

b. Reappointment for Multi-Year Full-Time Contracts of Three Years or More

Interim Guidelines Issued June 12, 2014 Revised February 73, 2015
These guidelines distinguish between reappointment processes governing multi-year full-time contracts and one-year full-time contracts.

In the case of multi-year full-time contracts of three years or more, reappointment requires a formal review process. The process shall be conducive to insuring that candidates for reappointment and promotion exhibit the highest level of performance and achievement – whether in teaching, the creative arts, or traditional scholarship and research.

Review for reappointment/non-reappointment is conducted in the penultimate year of the initial term of appointment and shall be completed by the end of that penultimate year. In the event of a decision to reappoint, the FTNTT/CF shall complete the remainder of his/her term and shall be reappointed, normally, for another multi-year term. In the event of a decision to not reappoint, the contract faculty member shall be notified of the intention to not reappoint no later than August 31st of the penultimate year, and shall continue to be under contract for the final year.

Each school process for review of full-time multi-year contracts of three years or more, including promotion reviews, must include:

- a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
- a statement of the academic criteria in the areas of teaching, program development, the creative and performance arts (where appropriate), department and school service, and research and scholarship (where appropriate) that will guide the committee’s evaluation;
- the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
- a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision;
- the grounds for stopping the contract clock for reasonable cause, e.g., medical, personal, as primary caregiver for child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation; and
- the grounds for grievance and appeal as laid out in this document (below, Section V.).

In addition to formal reviews at the time of potential reappointment, each FTNTT/CF member on a multi-year contract of three years or more shall annually submit to his/her dean an activity report, comparable in scope to reports required of tenured/tenure track faculty (T/TTF) but as appropriate for contract faculty FTNTT/CF appointments, whose format shall be designed in accordance with school policy as in effect at that time.

In addition, schools may wish to carry out formal performance assessments from time to time in the course of multi-year appointments that are longer than three years.

c. Reappointment for Continuous Service on One-Year or Two-Year Full-Time Contracts

Though no reappointment can proceed without a performance assessment, numerous factors render the sort of formal review appropriate for multi-year appointments inapt in the case of faculty on one- or two-
year contracts being considered for reappointment. Each school must formulate a policy that provides for appropriate assessment criteria adequate to determine whether reappointment is warranted. Criteria may include evaluation of classroom performance, review of curricular materials, and the like.

As is the case in multi-year contracts, eligibility to be considered for reappointment does not guarantee reappointment.

FTNTT/CF may be reappointed to a series of one-year or two-year full-time contracts. In the first semester of the third year of continuous appointments, a FTNTT/CF member shall be subject to formal review comparable to those to which faculty members on longer multi-year contracts are subject. The process governing third-year reviews of faculty on continuous contracts shall include:

- a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
- a statement of the academic criteria in the areas of teaching, program development, the creative arts (where appropriate), department and school service, and scholarship (where appropriate) that will guide the committee’s evaluation;
- the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
- a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision. Normally, a contract faculty member FTNTT/CF must be notified of the intention not to be reappointed no later than March 1st of the final year of the contract, if the appointment is to be terminated on August 31st. Normally, a contract faculty member FTNTT/CF whose period of appointment is due to terminate on a date other than August 31st must be notified of the intention not to be reappointed no later than 180 days prior to the termination date;
- the grounds for stopping the contract clock for reasonable cause (e.g., medical, personal, as primary caregiver for child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation); and
- the grounds for grievance and appeal as laid out in this document (below, Section V.).

V. GRIEVANCES RELATED TO REAPPOINTMENT AND PROMOTION OF FTNTT/CF

The purpose of these Guidelines is to establish University procedures by means of which FTNTT/CF can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under Section V.e., Appeal from a Dean’s Decision on Reappointment and Promotion.

a. Principles

Each school shall have a formal and written grievance policy that is widely available and easily accessible to faculty, reflective of the distinctive culture of the school, responsive to the University’s commitment to academic excellence and to its responsibility to provide students with access to an excellent education, and cognizant of its responsibility to faculty to afford them due process and a fair hearing of their complaint. Each such policy must identify who is permitted to grieve, what can be grieved, the grounds upon which grievances are to be judged, and the procedures for doing so.
To guide the schools, these Guidelines set forth and clarify applicable University policy and processes with respect to reappointment of full-time contract faculty FTNTT/CF. These guidelines complement the Faculty Grievance Procedures, cited in the Faculty Handbook, which apply to tenured/tenure track faculty. The following guidelines for grievances related to reappointment and promotion of FTNTT/CF are similar to those Procedures but clarify who can grieve, and provide for the participation of full-time contract faculty FTNTT/CF on school grievance committees and in the appeal process.

School policies should also address grievances on other matters such as duties, salaries, perquisites, and working conditions. University compliance and workplace policies govern grievances on a range of additional matters.

b. Grievances Relating to Reappointment and Promotion

Grievances related to reappointment and promotion of FTNTT/CF 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 school’s decision to not 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.

c. Who Can Grieve

A FTNTT/CF member whose contract is non-renewable or 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 of continuous service 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.

FTNTT/CF 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.

d. The School Grievance Process

It is expected that most grievance cases shall be settled within each school; and that attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

If a faculty member’s grievance is not settled informally at a level below the dean, or by the dean himself or herself, the faculty member may appeal to the dean to convolve the grievance committee of the school
or faculty. Each school or faculty shall designate 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 FTNTT/CF grievances, which will include
senior FTNTT/CF 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 FTNTT/CF For the purpose of
addressing grievances of full time contract faculty members, the school grievance committee shall be
expanded to include at least one senior full time contract faculty member who shall participate in hearing
and evaluating only those grievances that are filed by FTNTT/CF. The faculty grievance committee(s)
shall not include departmental chairpersons or department heads or any faculty member whose primary
assignment is administrative.

contract faculty members.

The dean shall convocate the committee within fifteen working days of receiving the faculty member’s
appeal. In any instance in which the dean has not so convoked the grievance committee, the faculty
member has the right to bring it to the attention of the Office of the Provost. An exception to this may be
made only with the consent of the grievant, the dean and the Provost.

The grievance committee does not judge the professional merits of the case, but considers the grounds
specified above (Section b. Grievances Related to Reappointment and Promotion). 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.

d. Appeal from a Dean’s Decision on Appointment, Reappointment, or Promotion

Appeals from a dean’s decision can be made only on the following grounds: a) that the procedures
used to reach the decision were improper, or that the case received inadequate consideration; or b) that
the decisions violated the academic freedom of the person in question, in which case the burden of
proof is on the faculty member.

A faculty member intending to make such an appeal shall indicate such intention in writing to the
Provost, specifying all grounds for and materials in support of the appeal within 15 days. The faculty
member, after receiving written notification of the dean’s decision, has fifteen days to appeal to the
Provost, which appeal must be in writing, specifying all grounds for and materials in support of the
appeal, and received at the Office of the Provost within the fifteen-day period. An exception to this may be
made only with the consent of the grievant, the dean, and the Provost.

Where such an appeal is made, the dean shall transmit to the Provost a report of the proceedings in the
case at its earlier stages. Upon receiving the transmitted report, the Provost shall in each case obtain the
advice of an advisory committee drawn from a standing committee that shall consist of the members of
the N/C-FSC Grievance Committee and the T-FSC Grievance Committee; in each case committee
members shall be selected by the relevant faculty senators council but need not necessarily be members of
the particular council. The FTNTT/CF Grievance Advisory Committee shall consist of three members,
none of whom are from the grievant’s school: one from the N/C-FSC standing committee, one from the
T-FSC standing committee, and one senior administrator selected by the Steering Committee of the N/C-
FSC.

A faculty member may appeal to the Provost a decision by the dean that deviates from the
advice of the advisory committee. The advisory committee shall consist of at least 1) one member of the appropriate University Faculty Senators Council, 2) one
senior full-time contract faculty member not from the grievant’s school, and 3) one additional member
who may be a senior administrator or senior tenured faculty or senior full time contract faculty member
not from the grievant’s school. The Provost shall constitute the advisory committee for a particular appeal by drawing on a standing committee he or she shall establish, whose job shall be to advise the Provost on appeals from a dean’s decision about appointment, reappointment, and promotion. The standing committee shall be comprised of two members of the appropriate Faculty Senators Council(s), five senior full-time contract faculty members drawn from five schools, and three who are either senior school administrators or senior tenured faculty members from three different schools.

The FTNTT/CF Grievance Advisory Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations to the Provost preferably within thirty days of the close of the hearing, but in any case within sixty days. The FTNTT/CF Grievance Advisory Committee shall at all times follow the requisites of fair and equitable hearing, but it is not to be restricted by the technical rules of evidence or the formality of the adversary proceeding as in a court trial. In each case, the Committee shall determine its own procedure, adapting the requirements of the particular case to the equity of the situation. This shall include, for example, the question of a record of the hearing, the examination of witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine whether he or she shall have the aid of an advisor or counsel.”

The FTNTT/CF Grievance Advisory Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. Evidence that a decision appealed is so arbitrary that it has no rational foundation may be considered on the issue of “inadequate consideration.”

After receiving the advice of the FTNTT/CF Grievance Advisory Committee, the Provost shall decide the case, and notify the grievant, the dean and the Chairperson of the FTNTT/CF Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The Provost’s judgment decision is final and subject to no further review.
February 9, 2015

Memo to: Ann Marie Mauro  
Chairperson, N/C Faculty Senators Council

From: David W. McLaughlin

Subject: N/C Faculty Senators Council Recommendations for the Faculty Handbook

Thank you for the review and recommendations of the Task Force on Review of the Faculty Handbook and Guidelines with respect to the proposed September amendments to the current April 2014 edition of the Faculty Handbook. As you know the September amendments were developed by the Office of the Provost and the Office of General Counsel working with the T-FSC. I reviewed the comments that the N/C-FSC as well as the T-FSC submitted in November, and was also advised of the discussion at the December 9 joint meeting of T-FSC and N/C-FSC representatives with the administration. In December, I also consulted the Deans about proposed amendments to the Handbook.

Based on this iterative process, my office finalized the new edition of the Faculty Handbook, which will be transmitted to the Trustees for review at its February 19, 2015 meeting. Subject to Trustee approval, the Handbook will be effective as of March 1.

I am attaching a clean copy as well as a redlined copy that tracks changes to the April 2014 edition. The new Handbook will be posted and the redlined document will be archived at http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook.html.

The Faculty Handbook incorporates the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty. After an iterative process in fall 2014 that considered the recommendations of the two faculty senators councils and the deans, my office in consultation with the Office of General Counsel amended the Guidelines that were first posted on an interim basis in June 2014. I address these amendments in a separate memo.

Again, I appreciate the Council’s careful review of the Handbook, and your suggestions for improving this important document. In the following pages I respond to each issue that the Council raised in its November memo.

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1 Meeting participants were Warren Jelinek, Jim Uleman, and Mitchell Kane representing the T-FSC Governance Committee; John Halpin and Fred Carl, Co-chairs of the N/C-FSC Task Force on Review of Faculty Handbook and Guidelines; General Counsel Terry Nolan, Senior Associate Provost Carol Morrow, and Assistant Provost Peter Gonzalez.
RESPONSE TO N/C FSC NOVEMBER 2014 RECOMMENDATIONS
ABOUT SEPTEMBER 2014 DRAFT HANDBOOK
(N/C-FSC page references cite the September 2014 draft)

Recommendations 1 - 3:

1. Foreword: Amending the Faculty Handbook, final sentence of Paragraph 1:
“Nothing in this Handbook constrains the Board of Trustees from making changes to this Handbook with
respect to any matter, and in the manner, it finds appropriate in carrying out its duties; and
administration will notify the Executive Committee of the Faculty Senators Council if the Board of
Trustees makes any change to the Faculty Handbook.” Recommendation: Add “and the Steering
Committee of the Full-Time Non-Tenure Track/Contract Faculty Senators Council” after “Faculty Senators Council.”

2. Foreword, Amending the Faculty Handbook,
Paragraph 3: Recommendation: Similarly to the above Recommendation, add “and the Full-Time Non-
Tenure Track/Contract Faculty Senators Council” after every mention of the “Faculty Senators Council”
(lines 1, 6, 7, 9, 12); and add “and the Steering Committee of the Full-Time Non-Tenure Track/Contract
Faculty Senators Council” after “Faculty Senators Council” (line 11). Or, simply add an “s” to every
mention of Faculty Senators Council, as in “Faculty Senators Councils.”

3. Foreword, Footnote 2:
Recommendation: Similar to the above Recommendation, add “and the Full-Time Non-Tenure
Track/Contract Faculty Senators Council” after every mention of the “Faculty Senators Council”
(lines 9, 11, 13); and add “and the Steering Committee of the Full-Time Non-Tenure Track/Contract Faculty
Senators Council” after “Faculty Senators Council” (line 10).

The consultative and notification processes for amending the Handbook that apply to the T-FSC
shall also apply to the N/C-FSC; this was the intent of the September amendments and is agreed by the T-
FSC as well. The Handbook incorporates Recommendation 1, 2, and 3.

4. Foreword, Important Additional Information: The first sentence states “schools and colleges will
supplement this text with information on local procedures and day-to-day operations.” Recommendation: In first sentence, clarify that “schools and colleges will supplement this text with information on local
procedures and day-to-day operations,” and add “but they cannot contradict policies in the Faculty
Handbook.”

The Handbook reads, “schools and colleges will supplement this text with information on local
procedures and day-to-day operations, consistent with University Bylaws, this Handbook, and University Policies.”

5. Principles of Shared Governance, Page 16, Items 1-5. Recommendation: Clarify that these Five
Principles of Joint Shared Governance apply at present to both the T-FSC and the FTNTT/CF FSC,
either by repeating them, with the appropriate Council name change, in the section on this page for the
FTNTT/CF Senate Council, or create a new section clearly stating that the Principles apply to both
faculty senate councils.

Extending the Principles of Joint Shared Governance to the N/C-FSC was anticipated in the
September draft. The T-FSC also requested that this be further clarified. Accordingly, the Handbook
creates a new section entitled “Principles of Joint Shared Governance” that appears after the sections on
the two Faculty Senators Councils.
6. Faculty Policies Applicable To All or Most Members of The Faculty Including... Recommendation: Delete the words “OR MOST” since the heading specifies the three defined categories of faculty.

The heading accurately communicates that not everything in this section applies to every faculty member. For example, “Restriction on Outside Employment” does not apply to part-time faculty. Accordingly, the existing language is retained.

7. Teaching and Research Assignments for Full-Time Faculty, Page 29 line 4, final full sentence: Recommendation: Clarify explicitly that some school policies do not require all full-time faculty to be engaged during the summer in “scholarly activity for professional growth.”

The Handbook deletes the sentence, “The summer months are generally expected to be spent partly in scholarly activity for professional growth and partly in rest and recreation.”

8. Term of Administrative Appointments [Bylaw 77], Page 35: Appointment to an administrative office, including but not limited to the office of executive dean, dean, vice dean, associate dean, assistant dean, director, secretary, department head, and department chair, will be without limit of time, unless otherwise specified, but may be terminated at any time without prejudice to any rights of the officer as holder of a professorship...” Recommendation: Clarify that the word “professorship” is a general term, and therefore applies to both tenured tenure track faculty and full-time non-tenure-track/contract faculty.

The Handbook adds a sentence after the full citation of Bylaw 77: “A faculty member's otherwise contractual rights are not affected solely by removal from an administrative position.”

9. Policies Applicable To Tenured And Tenure Track Faculty, Title I, Section I, II and IV, page 37. Recommendation: For clarity, since the references to academic freedom stated here apply to both tenured tenure track faculty (hereinafter referred to as “TTF”) and non-tenure track/contract faculty (hereinafter referred to as “NTT/CF”), begin this section with those policies (see Page 28, paragraph 6: “Tenured faculty members are also entitled to other protections related to tenure and academic freedom, discussed in more detail...”) that refer only to TTF, e.g., Title I, Section III, V-IX. 3.

The statement on Academic Freedom and Tenure is a coherent self-contained document that appropriately resides in full in the section on Policies Applicable to Tenured and Tenure Track Faculty. This important document was formulated as a whole and its integrity is not served by splitting the document or presenting it out of sequence. Accordingly, the existing language is retained.

10. Title IV, General Disciplinary Regulations Applicable to Both Tenured and Non-Tenured Faculty Members on the Tenure Track, page 51. Recommendation: As there is no set of general disciplinary regulations applicable explicitly to FTNTT/CF in the Faculty Handbook or the Guidelines (see below), a set of regulations and policies that mirror those set forth here in Disciplinary Procedures, Sections B. 5 through B. 10 for TTF must be developed that explicitly apply to FTNTT/CF. There should be a sense of urgency to the development of those regulations, but, most importantly, they should be guided by parallelism when compared to those set forth here for TTF. Those regulations should reiterate explicitly that language such as that stated in Title IV, #1 [General obligations], #2. [Particular obligation], Disciplinary Procedures, Section A. Section B.1, B. 2, B. 3, B. 4 apply to all faculty, regardless of tenure or contract status. In the interim, it should note in the Handbook that the immediately above-mentioned sections do, in fact, apply to all faculty.

Title IV Disciplinary Procedures are part of the University’s “Statement in Regard to Academic Freedom and Tenure,” tenure regulation and derive from the AAUP 1940 statement on Academic Freedom and Tenure. Title IV procedures apply to Tenured/Tenure Track Faculty, and reflect the special
circumstances of disciplining faculty who have the (potential) protection of life-time employment. Issues related to disciplinary procedures for FTNTT/CF will be discussed more fully later this spring. Pending this review, disciplinary procedures that apply to all University employees (other than the tenured/tenure track faculty) will apply to FTNTT/CF.

11. Sabbatical Leave, Eligibility, Page 54, paragraph 1. Recommendation: Add clarifying language, such as: Except where permitted by school policies that permit FTNTT/CF sabbatical leaves, eligibility for a sabbatical leave is limited to full-time members of the faculty who have achieved tenure rights....” Or “Eligibility for a sabbatical leave is limited... full-time service as members of the faculty at New York University and, when permitted by specific school policies, to FTNTT/CF, according to those policies.”

The Handbook adds the phrase, “Except as provided by school policies that permit sabbatical leaves for Full-Time Non-Tenure Track Contract Faculty.”

12. Faculty Policies Applicable To Full-Time Non-Tenure Track/Contract Faculty, Page 60. Recommendation: Following the suggestion in the Memorandum to Provost David W. McLaughlin, dated October 13, 2013, “University Guidelines for Full-Time Contract Faculty Appointments,” from Jules Coleman and Carol Morrow, we recommend that the grievance procedures for FTNTT/CF (see below for our specific recommendations related to the Guidelines) be incorporated into the Faculty Handbook.

Pending further amendments to the Guidelines, as described in my separate memo on this subject, and ultimately Trustee approval of them, my preference is for the Handbook to continue to incorporate the Guidelines as a hyperlink (as it does for Selected University Policies).

Attachment
Faculty Handbook, February 2015 (clean and redlined)

Cc: N/C-FSC Steering Committee Members: Randy Mowry, Vice Chairperson, Fred Carl, David Elcott, Mary Killilea, Susan Stehlik, Patrick Ying
Peter Gonzalez, Assistant Provost, Academic Appointments
John Halpin, N/C-FSC Task Force Co-Chair
Carol Morrow, Senior Associate Provost and Chief of Staff to the Provost
Terry Nolan, General Counsel and Secretary of the University
Karyn Ridder, Manager, Office of Faculty Governance
Raghu Sundaram, T-FSC Chairperson
FACULTY HANDBOOK

NEW YORK UNIVERSITY
A private University in the Public Service

DRAFT February 9, 2015

PUBLISHED BY NEW YORK UNIVERSITY

Issued March 1, 2015

In accordance with the Foreword, Procedures for Amending the Faculty Handbook, this edition of the Faculty Handbook was reviewed by the Tenured/Tenure Track Faculty Senators Council and the Full-Time Non-Tenure Track/Contract Faculty Senators Council, each of which provided input.
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Introduction

LETTER FROM THE PRESIDENT

I have the great privilege of greeting you as president and professor of New York University. In both capacities, I salute you for intellectual endeavor of the highest order—in the classroom, laboratory and beyond—mentoring and advising graduate and undergraduate students. In all this and more, you internalize our collective interest as part of your own interests and thereby embrace the notion of a common enterprise university. For the inescapable challenge of stating, debating, and renewing the purpose of such a university demands that all faculty act as true partners, each contributing to the university's self definition as it emerges over time.

At the core of every great institution of learning is its faculty. And you join us at an exciting time in the University’s long and distinguished history. We are at a threshold moment, for we have chosen to transform our institution from one of the leading research universities in the world into an institution that will establish a new level of educational excellence. You are at the core of that effort, and we will not compromise in our ability to secure the best possible talent to join you as we build an institution of unique stature.

President John Sexton
ETHICAL COMMITMENT

New York University has a strong institutional commitment to lawful and ethical behavior, and a fine reputation, which its faculty members have earned over the years. This is one of the University’s most valuable assets. In an increasingly complex world, the University can maintain its leadership in education and research only if it continues to merit the trust of its entire constituency.

All New York University faculty and employees are expected to carry out their institutional responsibilities in accordance with applicable legal and ethical principles. If any questions arise about how the University’s principles, standards, or policies apply, they should be brought to the attention of the appropriate dean or University administrator.

Please refer also to the “NYU Code of Ethical Conduct”.
FOREWORD

(Approved by the University Board of Trustees on March 14, 2014 and February 19, 2015)

Purpose of Handbook

The Faculty Handbook is a guide to the Faculty and is designed to present general information about New York University, and some of the more important University policies and practices as they apply to the Faculty of the University. It also is meant to inform and serve other members of the University Community. The Handbook is maintained by the Office of the Provost. It has been compiled from a number of sources. Significant portions of the Handbook have been adopted by, or reflect actions of, the University’s Board of Trustees, including, among others: the excerpted portions of the University’s Charter and Bylaws; matters involving the Faculty organization, such as with respect to academic freedom, and tenure, appointment of Faculty, Faculty and grievance procedures, and organization of the Faculty; the establishment of University Councils and Committees; and key policies, including the NYU Code of Ethical Conduct, Policy on Academic Conflict of Interest and Conflict of Commitment, and Statement of Policy on Intellectual Property. Certain portions of the Handbook provide an overview of the University and its administrative offices, libraries, and student affairs. The Handbook also provides hyperlinks to Selected University Policies, which represent a broad array of policies, including policies that principally affect Faculty and policies that may be of interest to Faculty but that apply broadly throughout the University Community.

The policies outlined in the Faculty Handbook as in effect from time to time form part of the essential employment understandings between a member of the Faculty and the University. Policies beyond those referenced in the Handbook are available here. In addition, Schools and units have their own internal rules, procedures, and policies, such as School statements on Faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement—but do not supersede or replace—policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

Amending the Faculty Handbook

Whenever the University Senate, a University Council, a Dean, or Faculty of a School (which includes a College or equivalent institute for purposes of this Handbook) seeks to propose changes to the Faculty Handbook, the body or person should first contact the Office of the Provost. The Provost (or his or her designee) will ascertain, based on the nature of the proposed change, whether the matter may be handled solely within the Office of the Provost, or whether the matter falls within the purview of the Office of the President of the University (which includes for this purpose all departments reporting directly or indirectly to the President other than those that report up through the Office of the Provost) and/or the Board of Trustees. In the event that the matter is within the purview of the Office of the President, the Provost (or his or her designee) will submit a recommendation to the President (or his or her designee) with respect to the proposed change. If the matter is within the purview of the Board of Trustees, the Provost (or his or her designee) will submit a recommendation to the President as to whether the President should present the matter to the Board for its consideration. Nothing in this Handbook constrains the Board of Trustees from making changes to this Handbook with respect to any matter, and in the manner, it finds appropriate in carrying out its duties; and administration will notify the Executive Committee leadership of the Tenured/Tenure Track Faculty Senators Council and the Full-Time Non-Tenure Track/Contract Faculty Senators Council if the Board of Trustees makes any change to the Faculty Handbook.
To clarify the history of the Faculty Handbook or a policy included in the Faculty Handbook, the Provost’s Office will maintain an on-line resource available to the Senate, the University Councils, the Deans, and Faculty of the Schools with the following information: state whether the provision or policy ultimately was promulgated by the Board of Trustees, the Office of the President, or the Office of the Provost; specify when a Senate or a Council comprising the Senate had the opportunity to review and comment on the provision or policy; and set forth the effective date of the provision or policy.

The administration of the University consults with the two Faculty Senators Councils with respect to additions and changes that it seeks to make to the Faculty Handbook, including changes to policies provided only by hyperlinks, before inclusion in the Faculty Handbook other than in exceptional circumstances. Consistent with the five Principles of Joint Shared Governance, this includes the administration providing a reasonable length of time for consultation and input by the Faculty Senators Councils; and, where the administration does not agree with written advice it receives from either or both the Faculty Senators Councils, the administration providing in writing, and in a timely manner, its reasoned justification for not accepting the advice. If an addition or change to the Faculty Handbook is made before either or both the Faculty Senators Councils reviews the addition or change, the addition or change is considered effective; however, the administration will provide an explanation to either or both the Executive leadership Committee of the Faculty Senators Councils, and the table of contents and text will indicate that the matter is still being reviewed by either or both the Faculty Senators Councils.

Important Additional Information

The separate schools and colleges will supplement this text with information on local procedures and day-to-day operations, consistent with University Bylaws, this Handbook, and University Policies. Some schools have written statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, supplementing policies outlined in this Faculty Handbook. It is important to become familiar with these policies and procedures. Department chairs or deans should be contacted for more information.

Contact information Names, addresses, and telephone numbers have not been cited, because of the expected long life of this Handbook. Such information is available on-line through the NYU Public Directory and the directories of the individual schools, which provide contact information for particular offices and services, as well as for individual faculty members. It should be noted that many administrative departments have policies, consistent with the rules of the Handbook, which affect the

1 The Faculty Handbook includes a substantial amount of descriptive material (e.g., the history of the University, excerpted portions of the University Charter and Bylaws, information about the University’s officers, information about the University Senate and its Councils and Commission Committees, information about the Libraries and the University Press, information about administrative departments of the University such as University Relations and Public Affairs, the Office for University Development and Alumni Relations, and the Office of General Counsel, information about benefits, selected University resources available to faculty, and information about student affairs). It also includes hyperlinked policies. There will be changes from time to time to these materials that have little or no effect on faculty with respect to educational and administrative policy and often are quite minor. In such cases, changes may be made to these materials without prior consultation with the Faculty Senators Councils. The administration will promptly notify the Executive leadership Committee of the either or both Faculty Senators Councils of any such changes; and if, after receiving such notification, the either or both Faculty Senators Councils believes that they should have an opportunity to review and comment on the changes, they should so notify the Office of the Provost and also may ask that the table of contents and text indicate that the matter is still being reviewed by the Faculty Senators Council(s). The addition or change is considered effective unless subsequently changed.
operations of those departments, as well as the privileges and responsibilities of faculty members. These are available through the individual schools and departments and may be posted on their websites. Faculty should become familiar with this array of policies as necessary and appropriate. **It is expected that the number of policies available on the web will continue to increase over time.**

It is expected that this Handbook will be brought up to date periodically and that a version will be created for and kept up to date on the NYU web site. A faculty member may verify information cited in this Handbook with the Dean’s Office.
APPLICATION OUTSIDE OF THE UNITED STATES

The University Policy on Policies provides: “University policies articulate the values and principles the University upholds and the obligations imposed on members of the University Community. Thus, University policies apply in connection with the operations and activities of the University regardless of location. As a Global Network University that operates in an expanding international environment, the University will encounter varying laws and business practices as it conducts its affairs outside the United States. To the extent that a University policy or a provision of a policy conflicts with the laws in another country, the University seeks to comply with the laws of the jurisdiction in connection with its operations and activities in that jurisdiction. However, differences between University policy and foreign laws may not be self-evident and can be complex. Therefore, whenever there is a question regarding the University’s legal responsibilities at locations outside the United States, the University’s Office of General Counsel must be consulted to evaluate the University policy in the context of foreign laws and to advise on the appropriate course of action. Affiliates are encouraged to use the standard policy format to help ensure uniformity of form and appearance for policies and procedures throughout the University. Their policies or procedures may not be contrary to University policies in language, purpose, intent or application. Any such policy that is contrary to University policies is void and will not be enforced unless approved in advance by the University President or his/her designee.”
The University

HISTORY AND TRADITIONS OF NEW YORK UNIVERSITY

A Brief History of New York University

Founded in 1831 by a farsighted group of prominent New Yorkers, the “University of the City of New-York” (as NYU was originally known) was envisioned from the start as something new: an academic institution metropolitan in character, democratic in spirit, and responsive to the demands of a bustling commercial culture.

The group of founders—which included former Secretary of the Treasury Albert Gallatin—envisioned a non-denominational institution that would be “a social investment and a direct response to the needs of the rising mercantile classes in New York,” intended both for those students “who devote themselves to scientific or literary pursuits,” and for those preparing for “the learned professions, commerce, or the mechanical and useful arts.”

In October 1832, the first classes began in rented quarters located downtown near City Hall, in contemporary subjects such as architecture, civil engineering, astronomy, chemistry, sculpture, painting, English and modern languages, as well as classical Greek and Latin.

After a search for a permanent home, the University Council purchased the northeast block of Washington Square East for $40,000, and a handsome Gothic building was built there in 1835. The University Building, as it was known, offered an urbane mix of academic spaces on its lower floors and rental apartments above—rooms and studios whose extraordinary roster of tenants included the artist Winslow Homer, the inventors Samuel F.B. Morse and Samuel Colt (who perfected the electric telegraph and revolver there, respectively), and the architects A.J. Davis and Richard Morris Hunt.

Throughout the 19th century, the University suffered from financial problems and an undergraduate enrollment that never exceeded 150 students. However, though the undergraduate program struggled to fulfill the vision of its founders, NYU’s professional and graduate programs—in law (1835), medicine (1841), dentistry (1865), arts and sciences (1886), and education (1890)—were a success from the start, contributing to New York’s stunning commercial rise and serving as an engine of upward mobility for thousands of native-born and immigrant New Yorkers.

In the late 19th century, under the leadership of Chancellor Henry Mitchell MacCracken, the university advanced significantly, drawing together its far-flung schools under central control and attracting a more business-like Board of Trustees and donors. In what he called a “second founding,” MacCracken moved the undergraduate schools of arts and science and engineering to an entirely new campus in the Bronx, on a bluff overlooking Manhattan—a stunning second home for what was now known by a new name: New York University.

Having moved nearly all of its undergraduates to the new Bronx campus, NYU turned Washington Square into a bustling center for graduate and professional training—including one of the country’s first university-affiliated business schools (1900)—to serve what had become the undisputed commercial capital of America and the second-largest city in the world.

Then, in 1914, NYU made the decision to establish an additional undergraduate program downtown that would serve commuter students. Called Washington Square College, it offered an education to nearly all qualified students, regardless of background. With students who were “famished…for knowledge, any
kind of knowledge,” and a young and creative faculty, Washington Square College was, in one professor’s later words, “the most exciting venture in American education that I had ever heard of.”

As enrollments exploded—from 500 students in 1919 to more than 7,000 by 1929—NYU scrambled to hire instructors. Among them was a young writer named Thomas Wolfe, who, while working on his first novel, *Look Homeward, Angel*, taught English from 1924 to 1930. There is “no other way in which a man coming to this terrific city,” he wrote, “could have had a more...stimulating introduction to its swarming life, than through the corridors and classrooms of Washington Square.”

A number of new graduate schools complemented NYU’s undergraduate growth: the College of Nursing (1932), the Institute of Fine Arts (1933), the Courant Institute of Mathematical Sciences (1934), and new colleges in continuing education (1934; now the School of Professional Studies) and public service (1938), the latter founded with the encouragement of Mayor La Guardia, himself an NYU alumnus.

NYU had taken on a role like no other private university in American history: a vast educational machine, by which tens of thousands of upwardly mobile New Yorkers—most of them Jewish and Catholic students, from working and middle-class families—could receive college-level training and move into the professions or business. With the largest private enrollment in the country—an astonishing 47,000 students by 1939—NYU had in many ways become the great urban university its founders dreamed of.

The postwar decades were a period of continued growth for NYU, as returning GIs swelled the student body even further; schools of social work (1960), the arts (1965), and individualized study (1972) were added; and plans were made under the leadership of President James Hester to construct the university’s first central library.

By 1973, however, as New York City reeled from years of rising crime and financial troubles and enrollments declined, NYU—which had been running annual deficits since 1964—reluctantly sold its Bronx campus in order to regain solvency.

These difficulties had one very positive result: they provided the opportunity to make a sweeping assessment of NYU’s future. The university had been founded on the two ideals of democratic promise and academic excellence. Since the 1920s, NYU had been fulfilling its democratic promise as no other private university in America; now, emerging from the crises of the ’70s, it daringly sought to fulfill its founders’ other dream—to transform itself from a respected metropolitan institution to a global seat of learning, in the top tier of world universities.

Throughout the 1970s, NYU gradually regained firm financial footing and began to improve the quality of its faculty, strengthen the curriculum, and establish more stringent admissions requirements. By the early 1980s, with the university’s financial health restored and New York itself emerging at last from decades of social and economic troubles, NYU was poised for a new era of growth.

In 1984, seeking to achieve what its recently appointed president, John Brademas, called “a new position of eminence in American higher education.” NYU undertook one of the first billion-dollar capital campaigns in academic history. Raising two million dollars a week for five hundred weeks, the university reached its goal in only ten years—five years ahead of schedule. President Brademas’s tenure also saw the transformation of Washington Square from a largely commuter campus into a residential one, with extensive construction and renovation of residence halls.

In 1991, NYU’s chancellor, L. Jay Oliva, was tapped as the university’s new president. Under President Oliva—a historian who had spent his entire academic career at NYU—the pace of advancement continued without stop. One of his primary goals was to ensure that the fast-rising stature of the
professional schools and arts divisions were matched by an equivalent commitment to the humanities and social science departments—many of which are now ranked among the best in the world.

President Oliva also oversaw a major growth in international studies, drawing record numbers of international students and scholars to NYU and establishing more study-away sites abroad. In 1994, NYU’s global presence gained a powerful centerpiece when Sir Harold Acton bequeathed Villa La Pietra, a 57-acre estate in Florence—at the time the largest single gift made to an American university.

By the end of the millennium, the university had accomplished the near-impossible, dramatically raising the academic rankings, professional stature, and student selectivity of nearly every one of its divisions and departments. As one scholar wrote in 2003, NYU was “the success story in contemporary American higher education.”

Under John Sexton, who became president in 2002 after coming to NYU as a faculty member and then serving as dean of the Law School, NYU’s reach and stature have grown still further, securing its position as one of the world’s premier research universities and a global leader in higher education in the 21st century.

Early in President Sexton’s tenure, the university identified a key strategic priority: the need to expand, strengthen, and energize the arts and sciences, the academic core of the university. From 2004 to 2009, the Partners program—led by a gift of $60 million from six trustees and matched by another $150 million in university funds—resulted in the most rapid expansion of NYU’s faculty in its history. With 125 positions added to the arts and science faculty—an increase of some 20 percent—and significant renovations made to academic facilities, the Partners program had a transformative effect on scores of academic departments.

Another recent academic milestone has been the re-establishment of engineering at NYU for the first time since the sale of the Bronx campus in the 1970s. After beginning a successful affiliation with Brooklyn’s Polytechnic University in 2008, a full merger between the two schools resulted in the creation of the NYU Polytechnic School of Engineering in 2014.

The past decade has seen the founding of several prominent institutes and centers as well, including the Institute for the Study of the Ancient World (2006), the Center for Urban Science and Progress (2012), and the Global Institute of Public Health (2012).

A signature of President Sexton’s tenure has been the creation of a new model of university: the global network university. Building on the international presence it established in the 20th century, NYU in the 21st century added more global academic centers, with a particular focus on expanding outside of Europe to locations such as Accra and Buenos Aires. Then, in 2010, in what President Sexton termed “an audacious step in higher education,” the university opened NYU Abu Dhabi, the first comprehensive liberal arts campus in the Middle East to be operated by an American research university. A second campus, NYU Shanghai, followed in 2013. Today, with its three campuses in New York, Abu Dhabi, and Shanghai and 11 academic centers on six continents, no university has a greater global presence.

In 1831, NYU’s founders chose to create an institution of learning that would be “in and of the city.” In the ensuing years, New York City has become the world’s first truly international city, and NYU has evolved with it. NYU’s more than 44,000 students and 4,500 faculty members are uniquely positioned to shape the 21st century as creative, thoughtful, engaged citizens. They learn and teach at what has become one of the world’s premier institutions of higher learning. They draw from and contribute to the inexhaustibly rich complexity of New York City. And, as they circulate throughout the global network, they build cultural bridges and perspectives that are critical in an ever-more global society. Still vitally “in and of the city,” NYU is now, too, “in and of the world.”
In the early part of the 19th century, a group of prominent New Yorkers, among whom were several individuals who would become founders of New York University, formed the New York Athenaeum, a society devoted to the discussion and advancement of science, art, and literature. The concept of higher education, grounded in practical and utilitarian concerns rather than solely on scientific or professional considerations, was a considered topic.

In December 1829, a group of nine men, including representatives of the clergy, the commercial occupations, law, and medicine met at the home of Reverend James Mathews to explore the possibility of establishing an institution of higher education that would operate according to their collective vision. This gathering and several subsequent others resulted in the call for a public meeting to lay the groundwork for the establishment of the University of the City of New-York.

During the public meeting, which took place at the New-York Historical Society in January 1830, Jonathan Wainwright of Grace Episcopal Church echoed the general thinking of the group, now appropriately called the University’s founders. Complementing the Jacksonian politics of the era, he proposed a curriculum based on “useful instruction” for the mercantile class. Albert Gallatin, resident of New York City and former Secretary of the Treasury, shared the vision of the formulation of a non-denominational college, which would “enlarge the opportunities of education for those qualified and inclined.” He described his motivation in a letter to a friend: “It appeared to me impossible to preserve our democratic institutions and the right of universal suffrage unless we could raise the standard of general education and the mind of the laboring classes nearer to a level with those born under more favorable circumstances.”

Not only would traditional courses in law, medicine, and theology be offered, but also courses, which taught the skills that would enable students to become “merchants, mechanics, farmers, manufacturers, architects, and civil engineers.” The curriculum would include modern languages in addition to Latin and Greek, history, natural science, philosophy, and economics. Financing was arranged through the sale of stock at $25 per share. Shareholders, with one vote for each $100 subscribed, chose the 32 members of the first Council. Albert Gallatin was elected President of the Council and Reverend James Mathews became the first Chancellor. Shortly thereafter, during a convention of national leaders in the chamber of the Common Council at City Hall, Gallatin outlined his educational philosophy and suggested establishing an English college, in addition to the classical curriculum, where the study of ancient languages would not be required.

In 1830, the New York State Legislature received a petition to charter the University of the City of New-York which included a plan for two departments of instruction: “one for elementary and practical education in the classics, in English and American literature, and the sciences, and one partaking of the character of a university as on the continent of Europe,” as in the German universities and the newly-founded University of London. Medicine, law, and teacher instruction were to follow. On April 18, 1831 the New York State Legislature accordingly chartered the University of the City of New-York. The University Council rented lecture rooms in Clinton Hall, a new four-story building located downtown near the City Hall, and instruction began in the fall of 1832. Since Clinton Hall was situated in the heart of the bustling, noisy commercial district, the University Council looked uptown for a permanent and more suitably academic environment. For $40,000, the Council purchased the northeast block of Washington Square East and issued a report calling for a “commodious but plain” building to be erected.

Through the influence of Chancellor Mathews, the architectural firm of Town, Davis, and Dakin was chosen to design the building. In spite of resistance within the University, Mathews chose an elaborate gothic design from among the alternatives offered by the designers, ignoring the earlier directive for...
simplicity. In the summer of 1833, workmen laid the cornerstone of what came to be known as the old University Building. The interior contained a great gothic chapel, as well as several classrooms, lecture spaces, and living quarters. In 1835, with the upper two stories yet unfinished, the University community eagerly took possession of its new and permanent home, which was formally dedicated on May 20, 1837.

Undergraduate enrollment hovered at 150 students for most of the 19th century; however, the Schools of Law (1835), Medicine (1841) and College of Dentistry (1865) grew rapidly. Development of New York University into a modern university system dates from the late 19th century, at which time it acquired an educational scholar as Chancellor, Henry Mitchell MacCracken. The Washington Square campus added the Graduate School of Arts and Science (1886), the School of Pedagogy (1890), now the Steinhardt School of Culture, Education, and Human Development, and the School of Commerce (1900), now the Leonard N. Stern School of Business. MacCracken brought the independent proprietary schools of law, medicine, and dentistry under central administrative control. In 1894, after discarding a plan for merging with Columbia College, he moved the undergraduate schools of arts and science and engineering further north from the urban crowding of Bohemian-bordered Greenwich Village to University Heights in the Bronx. The stimulus of Columbia University’s growing fame and prosperity, and of scholarly innovations in graduate study at Johns Hopkins, helped the University at this juncture to experience real growth.

The Council amended its charter in 1893, distancing the University from close political and clerical ties, and began to expand the educational mission, to seek gifts of funds, and to foster competition in intercollegiate athletics. A research-focused undergraduate and engineering curriculum was centered at the Bronx campus. The old University Building was replaced by the larger, more space-efficient Main Building in 1895 to accommodate growth at Washington Square. The medical school merged with Bellevue Medical College in the 1890s and thus became allied to New York City’s great public hospital, lineal descendent of the 1736 colonial almshouse hospital. Bellevue and the University Medical Center then developed into a unified teaching hospital and research center.

In the late 19th century, the University began to attract a more business-like Board of Trustees and interested donors such as industrialist/financier Jay Gould and his family, and began in 1887 to admit women and African Americans into what formerly comprised a mainly white male student body. The small, classical University of the City of New York became New York University in 1896, and began to fulfill its mission of educative partnership with New York City. The University’s urban milieu fostered a dynamic tension between competing claims of liberal and professional education, a dominant theme in the development of higher education in the United States. New York City’s population grew by 1.3 million between 1900 and 1910, with Eastern European Jews accounting for about half that number. Households of mixed German-Irish immigrants in the five boroughs of New York soon outnumbered those of third-generation Americans.

By the end of World War I, the University had established an additional arts and science division in Greenwich Village in the form of Washington Square College (1914) and had established the Graduate School of Business (1916), now the Leonard N. Stern School of Business, Graduate Division in the financial district. High professional enrollments of commuting students at Washington Square coexisted with the smaller University Heights residential colleges for decades. The past 65 years have seen the founding or expansion of the Institute of Fine Arts (1933), the School of Continuing and Professional Studies, formerly the School of Continuing Education (1934), the Courant Institute of Mathematical Sciences (1934), the Robert F. Wagner Graduate School of Public Service, formerly the Graduate School of Public Administration(1938), the Post-Graduate Medical School (1948), the Silver School of Social Work, formerly the School of Social Work (1960), the Tisch School of the Arts, formerly the School of the Arts (1965), the Gallatin School of Individualized Study, formerly the...
In the late 1970s, President John Sawhill, who succeeded James Hester, put the University on a firm financial footing and positioned NYU for the next stage in its development. The movement to advance the level of scholarship at NYU gained momentum with the appointment of John Brademas in 1981. Dr. Brademas had come to NYU after a distinguished 22-year career in the U.S. Congress. Under his leadership, the University began to undergo a renaissance at every level, and nowhere is this more clearly reflected than in the construction and renovation programs of the 1980s, among the most extensive ever undertaken by an urban university. The building of residence halls, which continued under President Oliva, resulted in the transformation of Washington Square into a residential campus; at the same time, the building and renovating in the 1980s of facilities that support academic programs has been integral to the continued high caliber of those programs. NYU emerged during Dr. Brademas’ tenure as an institution of national reputation.

The University’s stature as a research institution of the first order was achieved under the leadership of President L. Jay Oliva, who served from 1991 to 2002. Dr. Oliva held a succession of high academic and administrative posts, including that of Chancellor, before becoming the first member of the faculty to be elected president. His leadership was crucial to the long-term growth and development of New York University, and his administration was marked by a series of important advances. These included the successful effort to build a “campus in the city”; major growth in international studies, drawing record numbers of international students and scholars to NYU and establishing more study centers abroad; and strong support for the research work of the faculty while maintaining a high level of classroom instruction. Under President Oliva the University also saw the continuing consolidation of its programs at Washington Square, represented by the relocation of the Graduate Division of the Stern School of Business to the Square in 1992.

NYU’s current president, John Sexton, also is the Benjamin Butler Professor of Law and NYU Law School’s Dean Emeritus, having served as dean for 14 years. He joined the Law School’s faculty in 1981, was named the School’s dean in 1988, and was designated the University’s president in 2001.

President Sexton, at his installation on September 26, 2002, issued what he saw as the principal challenge of his presidency: “to dare to use the gifts we have to create the category change we need: a transformation in the years ahead from a leading university to one that will be among a handful of ‘leadership universities,’ those few that execute their core mission with such manifest excellence that they become the models others emulate. Our purpose, in short, is to create at NYU one of the first exemplars of what universities will be in this new century.”
Toward that end, the president is leading an intensive effort over the next five years, through the Partners program, to expand, strengthen and further energize the arts and sciences, the academic core of the University. The cornerstone of a larger $2.5 billion capital campaign, the Partners program is led by a gift of $60 million from six trustees, and matched by another $150 million in University funds. Between the start of the 2004-2005 academic year and the end of the 2009-10 academic year, the University will expand arts and science faculty by some 20 percent, or 125 positions, the most rapid expansion of its faculty in NYU’s history.

The Story of New York University is intertwined with the growth and development of New York City, and faculty and graduates have provided the city notable leadership in law, medicine, science, politics, the arts, and in the American imagination. Members of the faculty have achieved notable success with fellowships and prizes, including Guggenheim and MacArthur fellowships, Pulitzer and Nobel prizes, and membership in the National Academy of Sciences. In 2006-07, the University enrolled 38,735 students for degrees [19,582 undergraduate and 15,355 graduate plus 3,798 in professional and global programs], and full-time faculty members at Washington Square, mid-Manhattan, and the Schools of Medicine and Dentistry numbered approximately 3,500.

New York University has emerged as a nationally and internationally recognized research university, yet it has never strayed from its original mission. Indeed, the complexity of being such a university in an increasingly global city has given the institution a texture and depth unique in America. The University has sought and continues to seek to merge tasks that elsewhere in this country are seen as requiring different institutions—research university, liberal arts college, urban comprehensive institution, center for professional education—and to make sure that New York City’s cosmopolitan nature is reflected throughout.

The opportunities and challenges facing New York University at the beginning of the 21st century are ones it has confronted throughout its history. The purpose of the founders (some of whom were in the world of business—not unlike the Trustees of the contemporary University) was explicitly an urban one. In the spirit of its original mission of providing talented students with an agency for social mobility, and in its expanded role as an internationally important center of research and teaching, the University today offers an excellent academic program; it retains and attracts outstanding faculty; it maintains and constantly enlarges its special relationship to the surrounding city. Clearly New York University was planned from the beginning to be exactly what it has become: “A Private University in the Public Service.”

(Portions of the above brief history adapted from New York University and the City; an illustrated history by Thomas J. Frusciano and Marilyn H. Pettit, New Brunswick, 1997)

University Traditions

Although the name under which the University was originally chartered was the “University of the City of New York,” the institution from the beginning was commonly known as New York University, and the name was officially so changed in 1896. Despite the seemingly public nature of the name, New York University has always been an independent and autonomous institution of higher education—financed primarily by private endowments, current gifts, and fees. It is not to be confused with other institutions having similar names, the oldest of which is the University of the State of New York, created originally in 1784 as a corporation authorized to charter and control institutions of higher and secondary education in the state; it is now the corporate name of the State Education Department headed by the Board of Regents.
Another, and more recent, such foundation is the State University of New York (SUNY), established in 1948 to coordinate and develop under a board of trustees the state-financed institutions of higher education; still another is the City University of New York (CUNY), established in 1961 to coordinate the municipally supported colleges governed by the Board of Higher Education of the City of New York.

The official seal of New York University combines a silver ceremonial “torch of learning,” which is carried in formal academic processions, with a group of four running figures symbolizing effort or striving in the pursuit of learning. The seal carries the Latin motto “Perstare et Praestare,” which is generally translated as “to persevere and to excel,” together with the name of the University and the roman numerals for 1831, the year of the founding of the institution. When reproduced, the darker portions of the seal are usually printed in violet, the official color of the University.

In recent years a simplified version of the torch alone has been abstracted from the official seal and has gained wide acceptance when used as a symbol of New York University to identify publications, letterheads, buildings, etc. It appears on the cover of this Handbook.

The origin of the University color, violet, is obscure. It may have been chosen because in years gone by violets are said to have grown abundantly in Washington Square and around the buttresses of the original university old Gothic building. On the other hand, it may have been adopted because the violet was the flower associated with Athens, that center of learning in the ancient world, and was thus regarded as an appropriate symbol of education and knowledge. Both considerations may have entered into the selection, of course. Over the years various shades of violet have been used as the University color. In 1964, however, the University Senate decided that the official standard for University use would be a particular bluish shade of violet, registered with the Color Association of the United States as “Mayfair Violet, 17575.” The Senate also decided at that time that the academic robes for the University would be produced in Mayfair Violet.

For more than a century, NYU athletes have worn violet and white colors in competition, and have carried the resulting nickname – the Violets – with pride. While a student dressed as a violet served as the school mascot for a brief time in the 1980s, it was decided that the flower did not instill great awe or foreboding in NYU’s opponents. A new mascot was conceived from the name of the Bobst Library card catalog, or Bobst Catalog. Today, the Bobcat mascot symbolizes both NYU’s academic and athletic traditions.
ORGANIZATION AND ADMINISTRATION

The University Charter

New York University, as an educational corporation of the State of New York, derives its powers from a charter granted by act of the State Legislature in 1831. The original charter has been amended from time to time.

The line of authority in the administration of the University may be viewed as proceeding from the Board of Trustees to the President and then to the Chancellor of the University. When the position of the Chancellor is vacant, the functions of the Chancellor are performed by the Provost of the University, who is the senior assistant to the President and Chancellor in all academic matters.

The academic administration of the University is shared by general and regional University officers and administrators, school and departmental officers, the faculties of the several schools, the University Senate, and various University and inter-school councils and commissions.

The Board of Trustees

The University is governed by a Board of Trustees consisting of up to seventy men and women individuals, about 80% of whom are former students of the University. Six Certain Trustees are specifically designated as Alumni Trustees and others are designated as Young Alumni Trustees; one such Alumni Trustee is elected each year. All Trustees serve six-year terms, other than Young Alumni Trustees who serve three-year terms. Trustees, and, except for the Alumni Trustees who may not succeed themselves in that capacity, are eligible for reelection at the end of a term in office except that Alumni Trustees are limited to one term in that category and Young Alumni Trustees are limited to two terms in that category. Terms are staggered so that approximately one-sixth of the Board is elected each year. The Trustees have enacted Bylaws that outline the basic structure of the University and determine the principal officers and agencies that will deal with its affairs, and the ways in which those affairs are to be conducted.

The Board of Trustees holds an annual meeting each October and meets at various least three other times during the year. At the annual meeting in October, the Trustees elect their own officers, who serve until the next annual meeting and are eligible for reelection at the end of a term except that the Chair of the Board serves a four-year term and is eligible to be reelected for only one additional term. Between meetings, the Executive Committee has broad authority to act for the Board. Other standing committees are the Academic Affairs Committee, Alumni Affairs and University Life Audit Committee, Audit and Compliance Committee, Committee on Trustees, Committee on Online Education and Technology, Compensation Committee, Development Committee, Facilities and Real Estate Committee, Financial Affairs Committee, Global Initiatives Committee, and Investment and Alumni Affairs Committee.

The conduct of educational matters throughout the University is entrusted, under the leadership of the President and Chancellor and the Provost, to the faculties of the individual schools and to the University Senate.

University Officers

As is necessary in any large institution, the precise structure of the corporation, while controlled by the Bylaws of the University, may change from time to time. The relevant text of the Bylaws is reproduced here.
President and Chancellor [Bylaw 32]

The President and Chancellor is appointed by and serves at the pleasure of the Board; the President and Chancellor serves as an Ex Officio Trustee so long as he or she holds the office on a non-acting basis. The President and Chancellor will serve as the chief executive officer and chief academic officer of the University; will be delegated authority and responsibility for the administration and management of the University consistent with its mission and the direction of the Board; will have all powers and perform all duties incident to the office and such other powers and duties as the Board may prescribe from time to time; will exercise supervision and direction of all University activities; will be responsible to the Board for the supervision of the University’s educational programs in the University’s schools, colleges, institutes, departments, divisions, and units; will serve as head of each faculty of the University and have the power to call a meeting of any faculty or a joint faculty meeting of two or more faculties, provided that any such meeting has the power to take action only upon such subjects as specified in the call for the meeting; will be concerned with the welfare of students of the University and their moral and intellectual development; will be the Board’s representative and the official medium of communication between each faculty of the University and the Board, between University students and the Board, and between University administration and the Board; will prepare or cause to be prepared an annual proposed capital and operating budget in advance of each fiscal year for the Board’s consideration; will recommend to the Board the appointment of the deans of schools and colleges and directors of institutes, after consulting with the faculty of the applicable school, college, school, or institute or a representative committee of the faculty thereof, each of whom will serve at the pleasure of the President and Chancellor; will consult or cause his or her representative to consult with the University Senate, which may be through the pertinent Senate committee, before making a recommendation to the Board with respect to changes or innovations that affect the University in matters within the jurisdiction of the Senate; may call upon the University’s senior management and academic leaders for assistance in the performance of his or her duties and may appoint advisory councils of senior management and academic leaders and others as he or she deems appropriate; subject to Board policies regarding conflicts of interest and executive sessions, may attend meetings of any standing committee of the Board; and will determine the senior management and academic leaders who will serve in the President and Chancellor’s stead during a temporary absence or incapacity, or until the Board replaces the President and Chancellor or determines a temporary succession plan during a permanent or more extensive absence or incapacity.

Provost [Bylaw 33]

The Provost is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Provost will be the senior assistant to the President and Chancellor in all academic matters; will be a member of each faculty of the University; will work with the deans of the colleges and schools and the directors of the institutes in strategic academic planning, recruiting faculty, overseeing academic appointments and promotions, conducting program reviews, guiding academic aspects of enrollment planning and ensuring the highest academic standards throughout the University for faculty and students; and will have such other powers and duties as the President and Chancellor may prescribe from time to time.

The Executive Vice President [Bylaw 34]

The Executive Vice President, if there is one, is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Executive Vice President will be the senior assistant to the President and Chancellor in all non-academic matters; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.
Executive Vice President for Health [Bylaw 35]

The Executive Vice President for Health is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Executive Vice President for Health will be the senior assistant to the President and Chancellor in all matters involving the schools of Medicine, Dentistry and Nursing and other health-related areas within the University; will work with the deans and other University officials on long-term academic, financial and operational strategies for health and health-related activities at the University; will be the principal liaison between the University and NYU Hospitals Center and its subsidiaries; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.

Secretary and General Counsel [Bylaw 36]

The Secretary and General Counsel is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. As Secretary, the officer will have custody of the seal, Charter, Bylaws and records of the Board; will act as secretary at all meetings of the Board of Trustees and the members (in the absence or incapacity of the Secretary, the Chair will appoint a Secretary of the meeting); will be responsible for the maintenance of fair and accurate records of the proceedings of the Board and its Executive Committee and other standing committees of the Board, and the members, and distribute them to Trustees and members, as applicable, in accordance with these Bylaws; will cause notice to be given to Trustees, and officers of the Board, and Board committee members, and members of meetings and acts of the Board, and Board committees, and members affecting them; will be responsible for the issuance of diplomas and certificates; and will have all powers and duties incident to the office of secretary and such other powers and perform such other duties as the President and Chancellor, Chair, or Board may prescribe from time to time. As General Counsel, the officer will represent the University and its affiliates in its legal affairs; except for those matters where the General Counsel’s own performance of duties or status is being considered or evaluated, and subject to the right of the Board, the Audit and Compliance Committee and the Compensation Committee to engage independent counsel, all matters requiring legal advice or legal action will be referred to the General Counsel who will provide legal advice or take legal action directly or through counsel engaged for such purpose by the General Counsel; and will have such other powers and duties as the President and Chancellor, Chair, or Board may prescribe from time to time.

Chief Financial Officer [Bylaw 37]

The Chief Financial Officer is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Chief Financial Officer will be the chief accounting and financial officer of the University; will be responsible for assuring that the University is in compliance with applicable financial and accounting standards and has appropriate internal controls; will be responsible for assuring that payments made by the University are included in the approved budget for the fiscal year, unless approved by the Board, and that restricted funds are expended in accordance with applicable limitations and restrictions; will be responsible for collecting, recording, and safeguarding all funds and securities of the University, which will be deposited with such banks or trust companies as authorized by the Board; will be responsible for keeping proper books of account, preparing quarterly and annual financial reports, and providing financial reports to the members and the Board at least annually and as requested by the President and Chancellor, Chair, members, or Board or its committees; will make available during business hours, on request by a Trustee or member, the University’s books of account and records; will work with the University’s independent certified public accounting firm in its preparation of the annual audit; and will have such other powers
and duties as the President and Chancellor, the Executive Vice President, Chair, or Board may prescribe from time to time.

**The University Senate**

The first Bylaws to contain a description of the University Senate and an outline of its powers and duties appeared in 1899. Since that time the importance and the influence of the Senate have grown steadily. The Bylaws approved by the Board of Trustees on May 27, 1968, were the first to provide for multiple faculty representation according to the size of each school’s faculty. The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, delineated three categories of faculty—the Tenured/Tenure Track Faculty, the Full-Time Non-Tenure Track/Contract Faculty, and Other Faculty—and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school’s faculty. (Those interested in complete details are referred to the relevant Bylaws of the University—Chapters VII and VIII.) The Senate Rules of Procedure provide detail about membership, meetings, and committees.

In summary, the University Senate is empowered to act upon “educational matters and regulations of the academic community that affect more than one school.” (See Bylaw 60). Senate decisions in such matters are binding upon all faculties unless overruled by the Board of Trustees on an appeal lodged by a faculty. University-wide commissions report their findings and recommendations to the Senate. In addition, it is the deliberative body of the University for academic policies, structure, and procedures, including proposals for changes; it is concerned with the academic program and structure, personnel and budgetary policies, development of facilities, and community, professional, and educational relations of the University. It makes recommendations to the President and Chancellor, and, through the President and Chancellor to the Board of Trustees concerning the policies and practices of the University. The Senate may also make recommendations for consideration by each of the faculties concerning their internal educational programs and policies. The Senate is authorized to define the educational terms used in catalogs, bulletins, and other announcements, upon which it may also make advisory recommendations; it is responsible for fixing the academic calendar and determining the length of terms and vacations, for arranging the Commencement exercises, and for establishing regulations on academic costume.

Bylaw 610 reads as follows: “The Senate will consist of the President and Chancellor, and not more than eighty-four one hundred and twenty-seven (one hundred and twenty-nine in the academic year ending in 2015 and one hundred and twenty-eight in the academic year ending in 2016) voting members as follows: (a) not more than thirty-six (thirty-eight in the academic year ending in 2015 and thirty-seven in the academic year ending in 2016) members of the Tenured/Tenure Track Faculty Senators Council, including one representative of the Division of the Libraries of the University; (b) not more than twenty-seven members of the Full-Time Non-Tenure Track/Contract Faculty, including one representative of the Division of the Libraries of the University; (bc) not more than fifteen eighteen academic members of the Deans Council; (cd) not more than twenty-three thirty-five members of the Student Senators Council; (de) not more than five officers senior members of the administration of the University, including the President and Chancellor, the Provost, The Executive Vice President, if there is one, and the Executive Vice President for Health, the Secretary and General Counsel, or such other officers senior members of the administrators of the University as may from time to time be designated by the President and Chancellor.”

*B: Bylaw 60, cited in the Faculty Handbook, is amended by the uncodified “Interim Amendment to the Amended and Restated Bylaws With Respect to Senate Representation for the University’s Polytechnic School of Engineering,” which was approved by the Board of Trustees on December 18, 2013 as recommended by the University Senate. The action, which amends the composition of the University Senate beginning on January 1, 2014 through August 31, 2014, in relevant part provides “that the*
composition of the University Senate will be increased by four members beginning on the date of the
Merger through August 31, 2014 as follows: (a) the faculty member of NYU-Poly who currently serves as
an Observer on the Faculty Senators Council (“FSC”) will become an FSC representative in the
University Senate; (b) the Dean of the School of Engineering will become a Deans Council representative
in the University Senate; and (c) an undergraduate student and a graduate student in the School of
Engineering, each selected as determined by the Student Senators Council (“SSC”), will become SSC
representatives in the University Senate.”

The faculty members are elected for each of the two faculty senators councils are elected —one or more
per school, or college and Abu Dhabi and Shanghai portal campuses—from the faculties of the
constituent schools of the University listed in Bylaw 730, and from the Abu Dhabi and Shanghai portal
campuses, generally according to the number of full-time members in their respective faculties.
professorial ranks—(For this and other purposes, the faculties of the School of Medicine and of the Post-
Graduate Medical School are regarded as one medical faculty, the faculties of the College of Arts and
Science and the Graduate School of Arts and Science are regarded as one faculty, and the faculties of the
Leonard N. Stern School of Business, Undergraduate College and Graduate Division are regarded as one
faculty.) Faculty Senators are divided into three classes with staggered three year terms of office. The
deans and the vice chancellors of the Abu Dhabi and Shanghai portal campuses hold their seats ex-officio,
as do five of the administrative members. The other administrative Senators are designated at the
discretion of the President and Chancellor. One student Senator is elected annually from each school, or
college, and the Abu Dhabi and Shanghai portal campuses, except that for this purpose the School of
Medicine and Post-Graduate Medical School are considered one school. In addition, up to fourteen two
schools, which include both undergraduate and graduate divisions, elect one student Senator from each
division. In addition, up to seven student Senators may be appointed at large by the Executive Committee
of the Senate with the advice and consent of the regular student Senators. The Administrative
Management Council is comprised of six representatives from the professional and administrative staffs
of each college, school, and division of the University.

Some understanding of how the Senate functions may be gained by considering its Councils and the
structure and interests of its committee system. The faculty Senators constitute the Tenured/Tenure
Track Faculty constitute the Tenured/Tenure Track Faculty Senators Council and the faculty Senators
from the Full-Time Non-Tenure Track/Contract Faculty constitute the Full-Time Non-Tenure
Track/Contract Faculty Senators Council; academic school deans and the vice chancellors of the Abu
Dhabi and Shanghai campuses belong to the Deans Council; the students are organized as the Student
Senators Council; and professional and administrative staff are organized as the Administrative
Management Council. All these groups meet regularly, apart from the full Senate, to discuss matters of
concern to their respective areas of interest, and their reports and recommendations are regularly brought
to the attention of the full body.

The standing committees of the Senate, all of which include members drawn from the three Councils
comprising the Senate, as well as appropriate central administrative members of the Senate (including
representatives of the Administrative Management Council), are: the Executive Committee; the Academic
Affairs Committee; the Executive Committee; the Committee on Organization and Governance; the
Public Affairs Committee; the Faculty Affairs Committee; the Financial Affairs Committee; the
Organization and Governance Committee; the Public Affairs Committee; and the University Judicial
Board. The Executive Committee, composed of the President and Chancellor, and the chairpersons of the
three Councils, and the Secretary of the Senate who is a non-voting member, appoints the members of the
Standing Committees of the Senate, elects the officers of the Senate, is authorized to act on urgent matters
that may arise at times when the full Senate cannot be convened, and is empowered to refer topics to
Senate committees and to appropriate offices of the University. The Faculty Affairs Committee (formerly
the Faculty Personnel Committee) is composed of all the members of the Faculty Senators Council as
required by Bylaw 64(a). In addition, the Senate has certain special committees.
The Senate generally meets monthly during the months of October, November, December, February, March, and April, and May in accordance with a schedule adopted by the Senate during the academic year, and at other times, upon three days' notice, at the special call of the President and Chancellor or when requested in writing by five members of the Senate, including at least one member from each of the five Councils, the Secretary is required to call a special meeting on 24 hours' notice, specifying the purpose of the meeting, by written request of five members.

University Councils and Committees

There are five University Councils that participate in the Senate: The Tenured/Tenure Track Faculty Senators Council, the Full-Time Non-Tenure Track/Contract Faculty Senators Council, the Deans Council, the Student Senators Council, and the Administrative Management Council.

The Tenured/Tenure Track Faculty Senators Council

Each of the faculties comprising the Tenured/Tenure Track faculty, generally according to its size, has one or more representatives on the Tenured/Tenure Track Faculty Senators Council, a University-wide body of elected professors. University Bylaw 654(a) provides: “The Tenured/Tenure Track Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate with respect to the Tenured/Tenure Track Faculty. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board.”

The Full-Time Non-Tenure Track/Contract Faculty Senators Council

Each of the faculties comprising the Full-Time Non-Tenure Track/Contract Faculty, generally according to its size, has one or more representatives on the Full-Time Non-Tenure Track/Contract Faculty Senators Council, a University-wide body of elected faculty. University Bylaw 66(a) provides: “The Full-Time Non-Tenure Track/Contract Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate with respect to the Full-Time Non-Tenure Track/Contract Faculty. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board.”

Principles of Joint Shared Governance

The University Board of Trustees approved the following Principles set forth below with respect to administration of New York University and the Tenured/Tenure Track Faculty Senators Council, formerly the Faculty Senators Council, have agreed to the following five Principles of Joint Shared Governance (Approved by the University Board of Trustees, December 12, 2012) and with respect to the Full-Time Non-Tenure Track/Contract Faculty Senators Council (February 19, 2015).
1. Representation

The Tenured/Tenure Track Faculty Senators Council (T-FSC) and the Full-Time Non-Tenure Track/Contract Faculty Senators Council (N/C-FSC) will each have a representative (from each FSC or its designee) on University committees, taskforces, or other University-wide bodies that are convened by the administration to advise on matters that affect faculty in educational and administrative policy.

2. Information

Transparency with respect to information regarding matters that affect faculty in educational and administrative policy is the norm. The use of “deliberative privilege” is the exception to this norm, requested only in circumstances wherein an individual(s) or the University’s interests would be harmed by public disclosure. In such instances, the University administration will provide appropriate reasons for invoking “deliberative privilege”.

3. Consultation

Except under rare, extraordinary circumstances, the University administration will provide a reasonable length of time for T-FSC and N/C-FSC consultation and input on all matters that affect faculty in educational and administrative policy. This means that the administration must plan in advance to allow enough time for at least one regularly-scheduled T-FSC and/or N/C-FSC meeting to occur before the consultation period comes to a close on any particular matter.

For urgent decisions, such as decisions that must be taken during the summer or winter holiday, when the T-FSC and N/C-FSC are not in session, the T-FSC Council and/or N/C-FSC will establish a “provisional review committee” and a set of procedures for timely consultation and input regarding University administration decisions on matters that affect faculty in educational and administrative policy. All decisions reached by each Council’s provisional review committee are subject to full Council review and approval. The Each FSC Council will promptly convey its final decision on the matter to the administration, which in turn will reconsider the provisional policy, based on new or additional advice provided by the Council. The administration will then promptly convey its final decision to each FSC Council.

4. Reasoned Justification

When the T-FSC and/or N/C-FSC submits advice in writing to the University administration and the administration does not agree with or accept the Council’s advice, the administration will provide its reasons for not accepting the Council’s advice to the Council(s) in writing and in a timely matter.

5. Communication

Predicated on the understanding the communications will pertain to Senate-related matters relevant to faculty colleagues within the Senators’ schools, and that the communication systems will be used in a reasonable and responsible manner consistent with the norms of civility, the deans will enable Senators to send emails to faculty colleagues within their schools. Such communication will clearly convey whether its content is an official FSC Council communication or if it reflects the personal view(s) of the author(s).

The Deans Council
University Bylaw 6567(a) provides that “The Deans Council may consider any matters of educational and administrative policy, and will make appropriate recommendations to the President and Chancellor and other University officers. It will perform such other functions as are assigned to it by the President and Chancellor or by the Board.”

The Student Senators Council

University Bylaw 6668(a) provides: that “The Student Senators Council may consider any matters in which the interests, rights, or responsibilities of students are involved, and will take special responsibility for bringing to the attention of the Senate all matters concerning the students’ extracurricular life at the University. For this purpose, the Council will invite the presidents of student governments in the several schools, and such faculty members and administrative officers as may be specified in the rules of the Council, to function together as the University Committee on Student Life. The Committee may work through such local units as may be appropriate at the various geographical centers of the University, and will transmit to the Senate, through the Student Senators Council, its policy recommendations concerning student life. The Student Senators Council will designate representatives on the standing committees and, in appropriate instances, on the ad hoc committees of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other functions as are assigned to it by the President and Chancellor, by the Board, or by the Senate.”

The Administrative Management Council

University Bylaw 6769(a) provides: that “The Administrative Management Council of the Senate will be the liaison in the Senate for the Administrative Management Council of the University, which is composed of elected representatives from the professional and administrative staffs of each school and division of the University. The Administrative Management Council of the University functions as an initiative, deliberative and responsive body concerning policy issues, serves as a vehicle for promoting the continued professional growth and development of its constituents, and has a commitment to community service. The Administrative Management Council of the Senate will designate representatives on the standing committees of the Senate and, where appropriate, on any ad hoc committees of the Senate. The Administrative Management Council of the Senate may bring to the attention of the various committees of the Senate matters of concern to the University’s professional and administrative staffs that it believes should be presented to the entire Senate.”

Graduate Commission Program Committee [Bylaw 70]

University Bylaw 6870(a) provides: that “There will be a Graduate Commission Program Committee having the power, subject to the approval of the Senate, to review and recommend to the Provost, President and Chancellor and the Board the approval of proposals from colleges, schools, and portal campuses with respect to new general policies respecting graduate study in the University leading to programs granting master’s and doctoral degrees in course except first professional degrees. The Commission Committee will undertake evaluate all master’s and doctoral program studies and present proposals designed to ensure that the University’s colleges, schools, and portal campuses with graduate components strengthen the program of graduate instruction in the University. The Commission will review the work of the schools concerned with the preparation of candidates for the degrees under the purview of the Commission, will specify the means of maintaining comparable standards of work for the degrees, that there has been consultation with the relevant colleges, schools, and/or portal campuses; and that there is minimal curricular overlap between or among the units, and of assuring the complete availability of the general graduate offering of the University to every qualified student regardless of the school in which he or she is primarily enrolled, and will in appropriate instances promote the integration or coordination of
The recommendations of the Committee may formulate recommendations to be implemented through suitable directives by the President and Chancellor, the Provost on other matters that relate to graduate education in the University and the Executive Vice President for Health.

University Bylaw 70(b) provides: “The voting members of the Committee will include one elected faculty representative who is a full-time member of the Tenured/Tenure Track or Non-Tenure Track/Contract Faculty, elected by the faculty from each college, school, and portal campus that delivers graduate education; four graduate deans, selected by the Deans Council; the dean of the NYU Libraries (or his/her designee); a member of the Tenured/Tenure Track Faculty Senators Council, selected by the Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Non-Tenure Track/Contract Faculty Senators Council, selected by the Full-Time Non-Tenure Track/Contract Faculty Senators Council; and three graduate student members of the Student Senators Council, selected by the Student Senators Council. The term of service for Committee members is three years, unless filling a vacancy; except that the term of service for representatives from the Student Senators Council is two years, unless filling a vacancy. Terms are staggered, such that approximately one-third of the membership changes every year. The following administrators (or their designees) serve ex officio as non-voting members: the dean of each college, school, and portal campus that delivers graduate education; the most senior representative of the Provost’s Office tasked with academic program review; and the most senior representative of the Provost’s Office tasked with graduate academic affairs. The co-chairs of the Committee will be the most senior representative of the Provost’s Office tasked with graduate academic affairs and the dean of the Graduate School of Arts and Science.”

Undergraduate Program Committee [Bylaw 71]

University Bylaw 71(a) provides: “There will be an Undergraduate Program Committee whose chief responsibility is to advise the Provost on proposals from colleges, schools, and portal campuses for new undergraduate majors and degree programs, as well as for cross-school minors. The Committee will review all such program proposals to ensure that the University’s colleges, schools, and portal campuses with undergraduate components maintain comparable standards of work for the degrees; that units proposing new programs have consulted appropriate colleges, schools, and/or portal campuses; and that there is minimal curricular overlap between or among the units. At the request of the President and Chancellor and/or the Provost, or at its own discretion, the Committee also may formulate recommendations on other matters that relate to undergraduate education in the University.”

University Bylaw 71(b) provides: “The voting members of the Committee will include at least: one elected faculty representative from each college, school, and portal campus involved in undergraduate education, elected by the applicable college, school, or portal campus; two undergraduate deans selected by the Deans Council; a faculty representative from the NYU Libraries, elected by the faculty from the NYU Libraries; a member of the Tenured/Tenure Track Faculty Senators Council, selected by the Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Non-Tenure Track/Contract Faculty Senators Council, selected by the Full-Time Non-Tenure Track/Contract Faculty Senators Council; and three members of the Student Senators Council, selected by the Student Senators Council. The term of service for Committee members is three years, unless filling a vacancy; except that the term of service for representatives from the Student Senators Council typically is one year. Terms are staggered, such that approximately one-third of the membership changes every year. The following administrators (or their designees) serve on the Committee ex officio as non-voting members: the senior representatives of the Provost’s Office tasked with each of global programs, academic program review, and undergraduate academic affairs. The chair of the Committee will be the most senior representative of the Provost’s Office tasked with undergraduate academic affairs.”

Other University and Interschool Committees and Commissions

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University Bylaw 7269(a) provides: “The Senate or the President and Chancellor may from time to time appoint other University and interschool committees and commissions, which will have such powers and duties as are delegated to them at the time of their organization until modified or annulled by action of the appointing authority.”

**Organization of Schools, Colleges, Schools, and Academic and Departments**

**Schools, Faculties, and Divisions of the University [Bylaw 7073]**

(a) Colleges and Schools. The University comprises the following integral colleges and schools, listed in order of their establishment:

- 1832 College of Arts and Science
- 1835 School of Law
- 1841 School of Medicine
- 1865 College of Dentistry
- 1886 Graduate School of Arts and Science
- 1890 The Steinhardt School of Culture, Education, and Human Development
- 1900 Leonard N. Stern School of Business, Undergraduate College
- 1916 Leonard N. Stern School of Business, Graduate Division
- 1934 School of Continuing and Professional Studies
- 1938 Robert F. Wagner Graduate School of Public Service
- 1948 Post-Graduate Medical School
- 1960 The Silver School of Social Work
- 1965 Tisch School of the Arts
- 1972 Gallatin School of Individualized Study
- 2014 Polytechnic School of Engineering

(b) Separate Faculties. The colleges and schools of the University are governed by their separate faculties, except that the Faculty of Medicine is responsible for the School of Medicine and for the Post-Graduate Medical School, that the Faculty of Arts and Science is responsible for the College of Arts and Science and for the Graduate School of Arts and Science, and that the Faculty of Business Administration is responsible for the Leonard N. Stern School of Business, Undergraduate College and for the Leonard N. Stern School of Business, Graduate Division.

(c) Division of Libraries. The University also comprises the Division of the Libraries, which performs academic functions across school lines and is governed by its faculty and officers in accordance with procedures defined and approved by the President and Chancellor.

**Deans**

The dean of each school [see Bylaw 74(a) and (b)] is appointed by the Board of Trustees on the recommendation of the President and Chancellor and serves as the administrative head of the his or her respective faculty. The dean school is “responsible for carrying out the policies of the University” and for executing “such rules as his or her faculty may from time to time adopt.” The dean presides at faculty meetings, supervises the work of faculty members, and makes recommendations to the President and Chancellor of the University for the appointment, promotion, tenure as appropriate, dismissal, and retirement of officers of instruction and administration in the school. The dean is responsible for the preparation and submission of the budget for the school and for its implementation when approved. (See Bylaw 71.) Offices such as that of Executive Dean or Dean of the Faculty of Arts and Science have from
time to time been created to supervise or coordinate the activities of two or more schools or of their faculty members.

**Administration of Academic Departmental Organization**

The President and Chancellor, subject to the approval of the Board of Trustees, is authorized to divide courses of instruction into departments (see Bylaw 75). The chief executive officer of a department within one school other than a University department will bear the title of “chairperson” and will be responsible to the dean of that school; and the chief executive officer of a University academic department that is an academic department incorporating more than one college or school, will, created to provide instruction in more than one division of the University, bear the title of “head” and will be responsible through the appropriate deans to the President and Chancellor (see Bylaws 71 and 72-76).

**Responsibilities of the Faculties [Bylaw 76-79]**

(a) Educational Conduct and Functions. The educational conduct of each of the several schools and colleges, within the limits prescribed by these bylaws or by the Board, is committed to the faculty of each of the colleges and schools, and to such officers of the colleges and schools as the Board may appoint. The educational functions of the libraries of the University, as defined and structured by the President and Chancellor, are similarly committed to the faculty and officers of the Division of the Libraries.

(b) Entrance Requirements, Courses of Study and Degrees and Certificates. Subject to the approval of the Board and to general University policy as defined by the President and Chancellor and the Senate, it is the duty of each faculty to determine entrance requirements of the college or school under its care, to determine courses of study to be pursued and the standards of academic achievement to be attained for each degree offered, to prepare a schedule of lectures, to make and enforce rules for the guidance and conduct of the students, and to certify to the President and Chancellor, for recommendation to the Board, qualified candidates for degrees and certificates.

(c) Athletics and Other Extracurricular Activities. Each faculty will make and enforce rules of eligibility for the participation of its own students in athletics and other extracurricular activities. However, the University requirements for student participation in intercollegiate athletics will be determined by the Senate on the recommendation of an appropriate committee of the several faculties and will be uniformly applied in the college and schools concerned therewith.

(d) Libraries. It is the duty of the faculty of the Division of the Libraries to develop and implement the acquisition policies, resources and services of its various libraries in accordance with the instructional and research needs of the University and in collaboration with the academic units which the libraries serve and support; to provide access to the content of the collections by organizing them, by developing bibliographic guides, and by providing bibliographic assistance and instruction; to promote and develop the use of the libraries and their resources through interaction with the University community and through research and publication; and to make and enforce policies as desirable to ensure that the libraries’ resources and services advance learning, research, and scholarly inquiry in an environment dedicated to open, equitable, and productive exchange of scholarly information. Rules concerning the use of the libraries’ collections.

(See also “The University Senate” and “Faculty Membership and Meetings”)
LIBRARIES

A Brief History

During its early years, New York University, in the urban tradition, drew upon the library resources of the community to provide the best research tools for students and faculty alike. Close working relationships were established with the New York Society Library and many other specialized libraries throughout New York City, while the University’s own collection grew slowly, chiefly by donations of books, and was concentrated in the professional fields of law and medicine. The first official University library was assembled in 1835—281 volumes worth $620.75. Housed on the third floor of the University Building, the new gothic structure at Washington Square, it was by no means a central collection. With the movement of the University center to University Heights in 1894, the Gould Memorial Library was established to provide the University the level of library service necessary to support the curriculum. The Gould Library was designed by Stanford White as a tribute to Jeffersonian educational and architectural ideals. The schools at Washington Square continued at first to rely on the library resources available in the city, but in 1921 began assembling a library in the Main Building.

After World War II, the growth of public higher education and the overwhelming demands placed upon the traditional urban sources of academic library research within New York City led the University to embark on a bold new program to create research library resources to be devoted primarily to the University community. Attention was first turned to the professional schools, where the need for expanded facilities had become most pressing. The completion of Vanderbilt Hall in 1951 provided excellent facilities for the Law Library. In 1957 the Medical Library expanded into a new building to ensure its ability to meet the needs of the advanced programs of the School of Medicine. The Meyer Gold Library at Trinity Place (the business collection, now a part of Bobst Library) and the Institute of Fine Arts Library, One East 78th Street, closely followed.

By the early 1960s, the University recognized that its future success required the establishment of a new central library building at the Square. Book collections and library personnel were scattered in 28 separate locations, many ill-suited for storage or study. With the aid of an $11 million gift from Elmer Holmes Bobst, pharmaceutical entrepreneur and philanthropist, the University’s new main library, the Elmer Holmes Bobst Library, opened in 1973. Designed by architects Philip Johnson and Richard Foster, the 12-story Longmeadow redstone building (with two more floors below ground level) covers a full city block at the southeast corner of Washington Square and houses a collection of over 3 million volumes.

The extraordinary growth of the University’s academic programs in recent years, along with the rapid expansion of electronic information resources, has provided an impetus for new development in NYU’s libraries, and they continue to enhance their services for NYU students and faculty and to strengthen research collections.

Library Facilities and Services

The striking, 12-story Elmer Holmes Bobst Library, is the flagship of an eight-library, 4.6 million volume system that provides students and faculty members with access to the world’s scholarship and serves as a center for the University community’s intellectual life. The New York University system includes seven other specialized libraries: those of the Institute of Fine Arts, the Courant Institute of Mathematical Sciences, the Real Estate Institute, and the Law, Medical, and Dental Schools. Faculty have borrowing privileges to the libraries at Cooper Union, Mannes College of Music, the New School, and Parsons School of Design, through the Research Library Association of South Manhattan. Faculty also have reading privileges at Columbia, Yale and Princeton.
The Bobst Library houses more than 3.3 million volumes, 29 thousand journal subscriptions, and over 5 million microforms; and provides access to thousands of electronic resources both on site and to the NYU community around the world via the Internet. The Library is visited by more than 6,400 users per day, and circulates ca. 500,000 books annually.

Bobst Library offers three specialized reference centers, 28 miles of open stacks shelving, and approximately 2,000 seats for readers. The stacks are open until midnight and a 24-hour study area is located on the A & B levels.

The Avery Fisher Center for Music and Media, one of the world’s largest academic media centers, has over 100 audio and video viewing carrels and 5 media-enhanced classrooms; students and researchers use more than 51,000 audio and video recordings per year. The Studio for Digital Projects and Research offers a constantly evolving, leading-edge resource for faculty and student projects and promotes and supports access to digital resources for teaching, learning, research and arts events.

Among the noteworthy collections of Bobst Library are those in American and English literature and history, economics, education, science, music, United Nations documents, Near Eastern and Ibero-American languages and literatures, and Judaica and Hebrew. Bobst Library is also home to significant special collections such as the Fales Library of English and American Literature, one of the best collections of English and American fiction in the United States. Fales contains the unique Downtown Collection, archives documenting Downtown New York literary and artistic creativity from the 1970s to the present, focusing on the developments of postmodern writing and dance, performance art, outsider art, and the downtown music scene. Bobst Library houses the Tamiment Library, one of the finest collections in the world for scholarly research in labor history, socialism, anarchism, communism, and American radicalism. Tamiment includes the Archives of the Abraham Lincoln Brigade and the Robert F. Wagner Labor Archives, which holds the Jewish Labor Committee Archives, and the historical records of more than 200 New York City labor organizations.

Librarians who are subject specialists serve as liaisons to faculty in the various New York University schools and departments. Faculty participation in the collection development process is encouraged. In addition to collection development, the subject specialists provide specialized reference assistance, library instructional sessions, and work directly with faculty and students to assist with specific research needs.

Beyond Bobst, the library of the renowned Courant Institute of Mathematical Sciences focuses on research-level material in mathematics, computer science, and related fields, and the Stephen Chan Library of Fine Arts at the Institute of Fine Arts houses the rich collections that support the research and curricular needs of the Institute’s graduate programs in art history and archaeology. The Jack Brause Real Estate Library at the Real Estate Institute is the most comprehensive facility of its kind, designed to meet the information needs of the entire real estate community.

Complementing the collections of the Division of Libraries are the Frederick L. Ehrman Medical Library of NYU’s School of Medicine and the Dental Center’s Waldman Memorial Library. The Law Library serves the programs of the School of Law and is strong in a variety of areas, including legal history, biography, jurisprudence, copyright, taxation, criminal, labor, business and international law plus such legal specialties as urban affairs, poverty law and consumerism. The Web sites of all the libraries at the University can be found at http://www.nyu.edu/academics/libraries.html. Faculty can also stay in touch electronically with New York University Libraries by subscribing to the listserv LIBLINK.
Founded in 1916 by Elmer Ellsworth Brown, then Chancellor of the University, New York University Press was, in his words, created “to publish contributions to higher learning by eminent scholars.”

In the more than 85 years since its founding, the Press has sought to reflect the intellectual vitality of New York University by publishing a wide array of provocative and compelling titles, as well as works of lasting scholarly and reference value. NYU Press was once best known for its publication of The Collected Writings of Walt Whitman, the most comprehensive and definitive series of the poet’s work. In more recent years, the Press has published major new, award-winning works such as the three-volume Encyclopedia of Jewish Life Before and During the Holocaust (a 2001 National Jewish Book Award winner) and distinctive works of scholarship in history, religion, psychology, literature, cultural studies, politics, sociology, film, and law. In addition, the Press has established lists in New York regional history, politics and culture, Balkan Studies, and growing lists in such fields as Jewish studies, African-American studies, Asian-American studies, Latino/Latina culture, and youth culture in general. NYU Press publishes approximately 100 new books each year, enjoys a backlist of over 1500 titles, and was described recently by the Chronicle of Higher Education as “a major player in academic publishing.”

The Press seeks manuscripts without regard to the affiliation of the author, and, over the years, the Press’s publishing program has come to include an international roster of scholars. As an academic publisher, the Press utilizes outside peer review as part of the editorial review process of all proposed book projects. Members of NYU are highly encouraged to submit book manuscripts in those disciplines where the Press is actively publishing, and the Press will give particular attention to the work of faculty members. Inquiries should be addressed to the director (see the NYU Public Directory for contact information).
UNIVERSITY RELATIONS AND PUBLIC AFFAIRS

New York University is a large community of 50,000 students, members of faculties, administration, and staff. Informing the various interested sectors of the public of news and developments within our community is the primary mission of the Office of Public Affairs and the bureaus reporting to it.

NYU’s dramatic rise over the past 15 years brings with it ever-increasing media attention and scrutiny—much of it positive, some if it less so. It is hard to overstate the importance of effective communications in supporting the University’s strategic goals. Thoughtful communications about NYU’s efforts as a research university and member of the community of major New York institutions are crucial for enabling public officials, academics, donors (whether individuals, alumni, foundations, or corporations), candidates for admissions, parents of students, our neighbors, as well as those in our own community to better understand us and engage with us in an informed and productive fashion.

Among the communications tools employed by the Office of Public Affairs are news releases, contact with editors and editorial specialists in print and electronic media, bulletins and catalogs, advertising, still photography, motion picture film and video, direct mail, distribution of reprints of notable speeches and policy statements by administration and faculty, and the use of the web and other means of electronic communications.

But the public relations of New York University are, literally, also the business of everyone who works for the University, from its President and Chancellor to its newest employee. For while the Office of Public Affairs is charged with the formal mission of helping to enhance the public recognition and stature of the University and its scholars by disseminating official information through recognized media and established channels of information, some of the most telling impressions those interacting with NYU gain may depend on how courteously a telephone is answered, what a staff member tells friends about work, how effectively a member of our community works in his or her home community, and how students respond to the quality of teaching and the counseling they receive throughout their undergraduate and graduate years here.

The Office of Public Affairs is eager to support NYU’s faculty and work closely with them to publicize their academic efforts and achievements. In addition, the Office works to make connections between news organizations and scholars with expert knowledge, enabling faculty members to educate the public widely on issues of civic importance.

See the NYU Public Directory for contact information.
THE OFFICE FOR UNIVERSITY DEVELOPMENT AND ALUMNI RELATIONS

University Development

The Office for University Development and Alumni Relations (UDAR) is responsible for raising the funds required to ensure that the University carries out its primary missions—providing education of the highest caliber to its students, and public service to the community and nation. As a private institution, New York University relies on individual, foundation, and corporate philanthropy to augment revenue from tuition, fees, and investment return on endowment. In concert with other offices of the University, UDAR coordinates the efforts of the Board of Trustees, School Councils and Boards, University personnel, alumni, and friends of the University to attract support from the private sector.

Each school of the University coordinates their fundraising efforts through UDAR. Each school has a development director who works with the dean or deans of that school and its faculty members on development projects. Through the development director, UDAR can assist faculty members with proposal development and research on prospective donors. To ensure that more than one representative of the University does not solicit prospective donors at a time, all requests to approach a donor are cleared through UDAR. This office is also the route through which faculty members request the assistance of University trustees in their solicitations.

In addition to the individual fundraising efforts of each school director, UDAR also engages alumni and supporters of the university with a range of fundraising events and programs. UDAR coordinates the University’s annual fund solicitation efforts through The Fund for NYU and has established the Young Alumni Leadership Circle to engage recent graduates in giving to the University. UDAR assists faculty, alumni, and friends with making planned gifts through the Office of Planned Giving, and recognizes donors who have made significant gifts to NYU as members of several honorary gift societies. This office also coordinates the fundraising activity of the NYU Parents Program and the NYU Parents Committee.

In the fall of 2004, New York University, through UDAR, launched the Campaign for NYU—a comprehensive fundraising drive involving each of NYU’s trustees and deans, as well as University-wide administration and staff. The Campaign will run until 2008, and will raise significant philanthropic support to advance research, learning, teaching, and scholarship at NYU. The Campaign will provide essential financial resources for faculty recruitment and housing, student financial aid, research and programmatic support, and the creation and renovation of facilities that support academic and research programs.

Alumni Relations

To facilitate the engagement and participation of NYU’s 300,000-plus alumni, UDAR has implemented a wide range of alumni programs, events, and publications. Recently introduced initiatives include a University-wide Alumni Reunion Weekend celebration held each spring; NYU Alumni Magazine, mailed twice a year to all NYU graduates; the NYU in Your Neighborhood series of alumni receptions around the country with President Sexton, deans and leading faculty; and the Recent Alumni Network, engaging recent graduates of the University; as well as numerous other publications, career networking events, alumni volunteer opportunities, and student orientations.

UDAR also works to promote the many benefits that are available to New York University alumni, among which are access to University facilities and services such as the Office of Career Services; the-
Jerome S. Coles Sports and Recreation Center and Palladium Sports Center; the Elmer Holmes Bobst Library and Study Center; as well as credit card, travel, and insurance programs. UDAR helps promote the exchange of information among alumni and alumni organizations by providing free online communications resources, including email forwarding services, online directories of alumni contact information, and an online jobs database.

UDAR oversees the activities of the NYU Alumni Association. The NYU Alumni Association President chairs the Alumni Association’s Executive Committee of elected officers and represents alumni to the University.

For more information on alumni benefits and programs, including the Fund for NYU, visit the Alumni site.
The Faculty

(This part of the Faculty Handbook, The Faculty, begins under the heading Faculty Membership, Faculty Meetings, and Faculty Titles. It is followed by: (1) a section on Policies that are applicable to all or most faculty; (2) a section on Policies that are applicable to the Tenured/Tenure Track Faculty; and (3) a section on Policies that are applicable to the Full-Time Non-Tenure Track/Contract Faculty. These sections include: it’s followed by Other Faculty Policies, with policies, procedures and conventions in the form of Bylaws, rules adopted by the Senate, and policy summaries. Individual schools may have additional, but not substitute, bylaws, policies and procedures relevant to faculty positions. It should be noted that Other important policies can be found in Selected University Policies.)

OTHER FACULTY POLICIES

FACULTY MEMBERSHIP, FACULTY AND MEETINGS, AND FACULTY TITLES

(a) The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, delineated three categories of faculty – the Tenured/Tenure Track Faculty, the Full-Time Non-Tenure Track/Contract Faculty, and Other Faculty; and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school’s faculty. The Bylaws of the University are explicit on the matter of who is a faculty member and on how voting rights are allotted; the relevant texts are reproduced here.

Faculty Membership [Bylaw 7982]

(a) Categories of Faculty. The faculty in a college or school is comprised of three categories: (i) Tenured/Tenure-Track Faculty; (ii) Full-Time Non-Tenure Track/Contract Faculty; and (iii) Other Faculty, as more fully described in Section 87 of the Bylaws.

(b) Voting Members of Each Category of Faculty. The voting members of each faculty shall consist of the President and Chancellor, the Provost, and the dean of the faculty, and the professors, associate professors, and assistant professors (or in the Division of the Libraries, the curators, associate curators, and assistant curators), who serve on a full-time basis, will be considered voting members of each category of faculty, as well as of any subset of a category of faculty. In addition, the Executive Vice President for Health will be an ex officio voting member of each category of faculty, as well as of any subset of a category of the faculty, of the School of Medicine, of the Post-Graduate Medical School, and of the College of Dentistry; and each vice president or a deputy provost, senior, or vice provost liaison who has pertinent academic responsibilities will be selected by the Provost to serve as an ex officio voting member of each category of the faculty, as well as of any subset of a category of faculty, of each of the colleges, schools, and portal campuses other than the School of Medicine, the Post-Graduate Medical School, and the College of Dentistry of each school in his or her purview. Only the Tenured/Tenure Track Faculty may elect members of the Tenured/Tenure Track Faculty Senators Council and only the Full-Time Non-Tenure Track/Contract Faculty may elect members of the Full-Time Non-Tenure Track/Contract Faculty Senators Council. Only tenured faculty may vote on the awarding of tenure; only full Professors with tenure may vote on promotion to full Professor within the Tenured/Tenure Track Faculty and on the awarding of tenure to a faculty member hired as a full Professor. No faculty member may vote on a matter
(b) Attendance at Faculty Meetings. In addition, professors emeriti, adjunct and clinical and visiting professors of each grade and research professors without tenure of each grade, instructors, library associates, lecturers, senior language lecturers, language lecturers, master teachers, teachers, master artists, and artists-in-residence, whether they teach on a full-time or part-time basis, are entitled, subject to faculty regulations, to attend faculty meetings, but they will not have the right to vote at such meetings, except as provided below. Every year, each faculty through affirmative action of its voting members as specified in subsection (a) of this Section 79 may in its discretion, and according to its own qualifications, grant voting privileges to all or some of the individuals described above on matters affecting that faculty only, and excepting matters directly or indirectly affecting the individual’s candidacy for a degree or his or her status on the faculty at the University, and the election of members of the Faculty Senators Council or University commissions.

(c) College and School Governance - Attendance at Faculty Meetings and Voting. Each of the Tenured/Tenure-Track Faculty and the Full-Time Non-Tenure Track/Contract Faculty of a college or school may hold its own faculty meetings and determine the voting privileges at such meetings of its members, and also may grant rights of attendance and voting privileges to other categories of faculty of the college or school at such meetings as it determines, in all cases subject to the provisions of subsection (b) of Bylaw 82. The dean of a college or school may hold faculty meetings and invite the Tenured/Tenure-Track Faculty and/or the Full-Time Non-Tenure Track/Contract Faculty, as well as of any subset of a category of faculty, of that college or school, subject to the provisions of subsection (b) of Bylaw 82.

(d) Officer of Instruction. Appointments in More than One College or School. An officer of instruction faculty member serving on a full-time basis in the University will be a full-time member of the faculty of each college and school in which he or she gives instruction regularly, but will have voting rights in the election of members of the Tenured/Tenure Track Faculty Senators Council or the Full-Time Non-Tenure Track/Contract Faculty Senators Council, as applicable, only in the college or school of his or her principal assignment as determined for this purpose by the President and Chancellor.

(e) Roster. The roster of faculty members entitled to voting rights in each faculty under subsections (a), (b), and (c) of this Section 79 Tenured/Tenure Track Faculty and of Full-Time Non-Tenure Track/Contract Faculty will be prepared and maintained on a current basis by the dean of the faculty, will be submitted to the Secretary and General Counsel for verification and filing in the official records, and will be available for reference at each faculty meeting.

Faculty Meetings [Bylaw 8083]

The Tenured/Tenure Track Faculty and the Full-Time Non-Tenure Track/Contract Faculty in each college or school should each faculty will hold at least four meetings each year, at such times and places and under such rules of procedure, as are consistent with these Bylaws, as it may determine. Such meetings may be joint meetings. Copies of the minutes of such meetings will be sent to the President and Chancellor and the Provost.

Faculty Titles

In 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in a section headed “Statement in Regard to Academic Freedom and Tenure.” The Bylaws in effect at that time gave only brief descriptions of faculty titles; new Bylaws adopted since then give more ample descriptions. The text of Bylaws 825, 8623, 87, and 848, approved
May 27, 1968, as amended through January 1, 2014, is found below. In the event of conflict between earlier and later statements by the Board of Trustees, the most recent statement governs.

Since 1974, by action of the Board of Trustees, certain professional librarians of New York University also have had full faculty status. Their titles of rank are equated with those of the teaching ranks.

Tenured Faculty Professors and Associate Professors; Curators and Associate Curators [Bylaw 852]

a) Tenured Appointments. The Tenured Faculty consists of the Professors and Associate Professors who have are usually appointed to serve on a full-time appointments at the University and who have been awarded permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that he or she has received the requisite approvals and has been awarded tenure. Only full-time Professors and Associate Professors may achieve permanent or continuous tenure at the University. Unless otherwise specified, Professors and Associate Professors are appointed for one year only, but they may be appointed for a longer period or without limit of time, subject to such rules respecting tenure as the Board may adopt.

b) Libraries. Curators and Associate Curators in the Division of the Libraries and in the School of Law and certain, but not all, Curators and Associate Curators in the School of Medicine are granted tenure rights under conditions similar to those applicable to tenured Professors and Associate Professors. Only full-time Curators and Associate Curators may achieve permanent or continuous tenure at the University.

Tenure Track Faculty Assistant Professors; Assistant Curators [Bylaw 863]

a) Tenure Track Appointments. The Tenure Track Faculty consists of Associate Professors and Assistant Professors who have full-time faculty appointments at the University and currently are not tenured but who may be eligible to be considered for permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that his or her appointment is a tenure track appointment. Associate Professors and Assistant Professors are usually appointed for one year only, but full-time service in these ranks may be counted, to the extent permitted under the rules of the Board of Trustees, toward the attainment of tenure by assistant professors that are promoted to the rank of associate professor or professor.

b) Maximum Duration. A full-time Associate Professor or Assistant Professor on the tenure track in any school, college, school, division, or department except the School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, and the College of Dentistry and its departments and its College of Nursing and their departments, and the Leonard N. Stern School of Business and its departments, who is not awarded tenure promoted at the expiration of seven years as a full-time assistant professor shall will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor on the tenure track in the School of Medicine, or any of its departments, or in the College of Dentistry, or any of its departments or and its College of Nursing, or any of their departments who is not awarded tenure promoted at the expiration of ten years as a full-time assistant professor shall will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor...
Professor in the Leonard N. Stern School of Business, or any of its departments, who is not awarded tenure promoted at the expiration of nine years as a full-time assistant professor shall be ineligible for further full-time appointment in the University. Service as a Full-Time Non-Tenure Track/Contract Faculty member or as an Other Faculty member may not be counted toward the attainment of tenure by persons who may become tenure track faculty members.

c) Notice. The appropriate dean or departmental chairperson will give notice of these rules to Associate Professors and full-time Assistant Professors on the tenure track in any school, college, division, or department except the School of Medicine, and its departments, the College of Dentistry, and its departments and its College of Nursing and their departments, and the Leonard N. Stern School of Business, and its departments, in the sixth year of service as assistant professor, or, in the School of Medicine, or any of its departments, and the College of Dentistry, or any of its departments or its College of Nursing and their departments, in the ninth year of service as assistant professor, or, in the Leonard N. Stern School of Business, or any of its departments, in the eighth year of service as an assistant professor, but no untenured Associate Professor or Assistant Professor or instructor will be promoted or acquire tenure rights on the ground that he or she did not receive a notice or reminder of this section of these Bylaws.

d) Libraries. Associate Curators and Assistant Curators who may be eligible to acquire tenure in the Division of the Libraries and in the School of Law and certain Associate Curators (including and Assistant Curators in the School of Medicine) are appointed on the same terms and conditions as Associate Professors and Assistant Professors on the tenure track at New York University, without extension of probationary period as provided for Associate Professors and Assistant Professors in the School of Medicine, and are subject to the same prohibition on further full-time appointment if not promoted at the end of the specified periods. An exception is made, under special administrative arrangements approved by the President and Chancellor, for assistant curators appointed prior to October 1, 1972.

**Full-Time Non-Tenure Track/Contract Faculty [Bylaw 87]**

(a) Full-Time Non-Tenure Track/Contract Faculty Appointments. The Full-Time Non-Tenure Track/Contract Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from assistant to associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or a company). A Full-Time Non-Tenure Track/Contract Faculty member does not lose that status during the duration of his or her full-time faculty employment because the person has been advised that his or her contract will not be renewed. Full-Time Non-Tenure Track/Contract Faculty are not eligible for tenure.

(b) Contracts and Titles. Full-Time Non-Tenure Track/Contract Faculty are appointed for a definite period of time and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Unless otherwise specified, Full-Time Non-Tenure Track/Contract Faculty are appointed for one year only, but they may be appointed for a longer period, subject to such rules respecting Full-Time Non-Tenure Track/Contract Faculty as the
Board may adopt. Full-Time Non-Tenure Track/Contract Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Other Faculty titles. On rare occasions, the title of professor, associate professor, or assistant professor are utilized for Full-Time Non-Tenure Track/Contract Faculty, most commonly in the case of senior faculty who come to the University after a distinguished career at another institution and at the Abu Dhabi and Shanghai portal campuses. Titles also may include, among others, certain of the non-tenure position titles set forth in Section 88 of these Bylaws.

(c) Libraries. Associate Librarians of Practice and Assistant Librarians of Practice and certain Curators, Associate Curators, and Assistant Curators in the School of Medicine who are appointed on the terms and conditions required for Full-Time Non-Tenure Track/Contract Faculty at the University are considered Full-Time Non-Tenure Track/Contract Faculty for purposes of these Bylaws.

Other Faculty [Bylaw 88]

(a) Other Faculty Appointments. Other Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who are not Full-Time Non-Tenure Track/Contract Faculty. They may include: (i) emeritus faculty; (ii) adjunct and other part-time faculty; (iii) faculty whose titles or appointments prohibit indefinite contract renewals; (iv) temporary faculty; (v) visiting faculty; (vi) instructors and (vii) full-time researchers while they maintain a secondary faculty title. Other Faculty are not eligible for tenure.

(b) Contracts and Titles. Other Faculty are appointed for a definite period of time, not exceeding one academic year unless otherwise specified, and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Other Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Full-Time Non-Tenure Track/Contract Faculty titles. Titles may include, among others, certain of the non-tenure position titles set forth in Section 88 of these Bylaws

Non-Tenure Positions [Bylaws 87, 88, 89]

Types of Non-tenure Positions. Instruction or research service shall be without tenure implications of any kind, regardless of rank or title, if rendered in a part-time capacity, or in a temporary position, or in a program having a subsidy of limited duration. Bylaw 87(a) and Bylaw 88(a) provide that Full-time Non-Tenure Track/Contract Faculty and Other Faculty are not eligible for tenure. Bylaws 87(b) and Bylaw 88(b) provide that appointment to a non-tenure position shall be for a definite period of time, not exceeding one academic year unless otherwise specified, and shall automatically terminate at the close of that period unless there is an official notice of renewal. Non-tenure positions, which may be faculty or non-faculty positions, include the following:

- instructor titles (e.g., instructor, clinical instructor, research instructor, assistant professor/instructor);
- research and scientist titles (e.g., research professor, research associate professor, research assistant professor, research scholar, associate research scholar, assistant research scholar, senior research scientist, research scientist, associate research scientist, assistant research scientist, professor (research), associate professor (research), assistant professor (research)).

2 In the School of Medicine, research professor, research associate professor, and research assistant professor these designations denote part-time status. For full-time service appointments, the designations “Professor (Research or Clinical),” “Associate Professor (Research or Clinical),” and “Assistant Professor (Research or Clinical)” denote full-time status are used.
the title of that includes research professor is conferred as a distinction upon a faculty member with person already having tenure or on the tenure track at New York University);  
• global titles (e.g., global distinguished professor, global professor, global visiting professor, global instructor, global professor, except when a title that includes global professor is conferred as a distinction upon a faculty member with tenure);  
• adjunct titles (e.g., adjunct professor, adjunct associate professor, adjunct assistant professor);  
• clinical titles (e.g., clinical professor, clinical associate professor, clinical assistant professor, clinical professor (clinical), associate professor (clinical), assistant professor (clinical));  
• visiting titles (e.g., visiting professor, visiting associate professor, visiting assistant professor);  
• arts and music titles (e.g., arts professor, associate arts professor, arts arts professor, visiting arts professor, visiting associate arts professor, visiting assistant arts professor, music professor, music associate professor, music assistant professor, master artist, artist-in-residence);  
• senior research scientist, research scientist, associate research scientist, assistant research scientist;  
• senior research scholar, research scholar, associate research scholar, assistant research scholar;  
• lecturer titles;  
• titles related to the teaching of languages (e.g., senior language lecturer and language lecturer);  
• teacher titles (e.g., lecturer, master teacher, teacher, associate teacher, teaching fellow, teaching associate, teaching assistant, master artist, artist-in-residence);  
• teaching fellow, teaching associate, teaching assistant;  
• assistant and associate titles (e.g., library associate, research associate, assistant, clinical assistant, graduate assistant, research assistant);  
• in residence titles (e.g., distinguished scientists in residence, writer in residence);  
• industry titles (e.g., industry professor, industry associate professor, industry assistant professor, distinguished industry professor);  
• scholar titles (e.g., scholar in residence, distinguished scholar, visiting scholar);  
• practice titles (e.g., librarian of practice, professor of/from practice, associate professor of/from practice, assistant professor of/from practice); and  
• fellow titles (e.g., assistant professor/faculty fellow).

Any position designated by a title not specified in this chapter shall be a non-tenure position unless the Board of Trustees determines otherwise. Additional detail about non-tenure positions can be found at the website of the Office of Academic Appointments.

b) In Specific Schools. Additional non-tenure positions in specific schools include the following:

In the Tisch School of the Arts:

• arts professor, associate arts professor, assistant arts professor;  
• visiting arts professor, visiting associate arts professor, visiting assistant arts professor.

In the Steinhardt School of Culture, Education, and Human Development:

• music professor, music associate professor, music assistant professor

In the School of Medicine:

3 In the School of Medicine, clinical professor, clinical associate professor, and clinical assistant professor these designations denote part-time status. For full time service appointments, the designations “Professor (Research or Clinical),” “Associate Professor (Research or Clinical),” and “Assistant Professor (Research or Clinical)” denote full-time status are used.
• professor (clinical), associate professor (clinical), assistant professor (clinical);
• professor (research), associate professor (research), assistant professor (research)

e) Full-time Instructor. A full-time instructor is usually appointed for one year only, but if not promoted at the expiration of three years as an instructor shall be ineligible for further full-time appointment in the University. Full-time service in the rank of Instructor may not be counted towards the attainment of tenure by instructors who are promoted to the rank of Associate Professor or Professor. Library Associates are appointed on the same terms and conditions as Instructors.

Further Information on Selected Non-Tenure Track Position Titles

The title instructor is ordinarily applicable to an appointee as an officer of instruction who has not completed the Ph.D. or equivalent degree necessary for entry into the rank of assistant professor, but whose academic preparation is sufficiently advanced to indicate the likelihood of completing that degree and who otherwise gives evidence of character, productive scholarship, and ability to teach.

The title acting professor (or acting associate professor or acting assistant professor) is applicable to a temporary appointee of appropriate caliber who may succeed to unqualified appointment to the rank thus tentatively occupied, but who ordinarily has no assurance of such succession. Occasions for such temporary appointment are rare and are employed only when other designations fail to satisfy the circumstances.

The title visiting professor (or visiting associate professor or visiting assistant professor) is ordinarily applicable to an appointee who is a member of the teaching staff on leave of absence as a full-time teacher of corresponding professorial rank from another institution, but may be applicable to an appointee who does not have a home institution. The duration of the appointment of a visiting professor is normally one year, but shall not exceed three years. In the event of subsequent appointment to the tenure track, the time as visitor will count as part of the probationary timetable.

The title research professor (or research associate professor or research assistant professor) may be employed as a courtesy title without tenure implications, for part-time or full-time service or visiting individuals whose primary activities are in the area of research.

The title research scientist or research scholar (senior, associate or assistant) may be used for those temporarily serving on year-to-year appointments under research contracts, without tenure implications.

The title clinical professor (or clinical associate professor or clinical assistant professor) is applicable in the medical, dental, and certain other divisions to appointees whose professional attainments are comparable to those required for the regular professorial grades but whose teaching service is part-time or whose qualifications and responsibilities are fundamentally distinguishable from those of appointees in the tenure-earning ranks.

The title language lecturer (or senior language lecturer) is applicable in the Faculty of Arts and Science and in the School of Professional Studies to an appointee whose professional attainments are in the area of language instruction and whose qualifications and responsibilities are fundamentally distinguishable from those of appointees in the tenure-earning ranks.
The title **adjunct professor** (or **adjunct associate professor** or **adjunct assistant professor**) is applicable to an appointee whose academic preparation and professional attainments are such as to meet the qualifications for the regular professorial grades as set forth in the tenure statement but who usually does not have a current professorial connection with any other institution and is appointed to teach, usually a part-time program, in New York University on a purely temporary basis. Appointment in these ranks is made on a year-to-year or semester-to-semester basis.

The title **lecturer** is applicable to an appointee who is an individual of distinction in a professional field, who is not otherwise on the teaching staff of the University, and who is engaged to give a series of lectures or to teach on a part-time basis during a specified semester or year.

The title **teaching assistant** is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a teaching assistant are ordinarily related to the field or discipline of a student’s degree studies at NYU and are primarily focused on the development and exercise of teaching skills. Generally, such appointments entail stipend support and tuition remission.

The title **graduate assistant** is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a graduate assistant are ordinarily related to the field or discipline of a student’s degree studies at NYU and are primarily focused on the development and exercise of a variety of professional and technical skills. Generally, such appointments entail stipend support and tuition remission.

The title **research assistant** is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a research assistant are related to the field or discipline of a student’s degree at NYU and are primarily focused on the development and exercise of a variety of research-related skills. Generally, such appointments entail stipend support and tuition remission.

The designations **instructor, lecturer, associate teacher, master teacher, master artist, artist-in-residence, teaching fellow, graduate assistant, research assistant, and teaching assistant**, and any positions designated or not designated by a title cited in this chapter, whether gained at New York University or elsewhere, do not fall within the academic hierarchy (i.e., **assistant professor, associate professor, professor**) that may lead to tenure at New York University, and service in such capacities, irrespective of its duration or where it was rendered, whether full-time or part-time, is not creditable toward tenure requirements at New York University.
FACULTY POLICIES APPLICABLE TO ALL OR MOST MEMBERS OF THE FACULTY INCLUDING TENURED/TENURE TRACK FACULTY, FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY, AND OTHER FACULTY

The following faculty policies are applicable to all categories of faculty unless otherwise indicated.

Academic Freedom

This section on academic freedom is taken from Academic Freedom and Tenure, Title I: Statement in Regard to Academic Freedom and Tenure.

Section II. The Case for Academic Freedom

“Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.”

Section IV. Academic Freedom

“Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements should be based upon an understanding with the administration of the University.

Teachers are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.”

Tenured/tenure track faculty members also are entitled to other protections related to tenure and academic freedom, discussed in more detail in “Faculty Policies Applicable to Tenured/Tenure Track Faculty” below.

Responsibilities of the Faculty Member

Members of the faculty are expected to meet their professional and institutional commitments at the University on a regular basis throughout the academic year. These commitments include time spent on teaching, research, student advising, clinical activities and various kinds of University or outside professional service on committees and in administrative or advisory roles.

All officers of instruction Members of the faculty are expected to handle their teaching assignments with professional skill. They should familiarize themselves with the overall organization of the University, and especially with the operations of the school or college in which they serve, and with its requirements and
regulations, with which they will scrupulously comply. They should strive to be good citizens of the
academic community, cooperative and efficient in meeting deadlines, submitting grades, and returning
students’ work with appropriate comments. They should be active participants as committee members,
student advisers, or in whatever other capacity they can render the best service in the affairs of the
department and the school. Ideally, they should also maintain interest in the current activities and
problems of the larger community and in how the community and the University can benefit each other.

Tenure and tenure-track faculty should aim at the steady enlargement of knowledge in their special-
fields—by enlarging their own knowledge through continuing study and by enlarging the knowledge of
others through making scholarly contributions. All faculty should keep abreast of publications about
new developments in their subject area, and attend and actively participate in the meetings of appropriate
learned societies. (Financial assistance in attending professional meetings may be available, according to
the rules of the several schools and colleges.)

General criteria for promotion and tenure for tenure and tenure-track faculty are cited in Title I, Section V
of the Statement in Regard to Academic Freedom and Tenure. Some schools and colleges also have
written statements on faculty appointment policies and procedures, particularly those concerned with
promotion and tenure.

Section XI of the Tenure Statement cites important information regarding yearly notification of
nontenured faculty concerning tenure prospects, including a formalized early review for certain junior
faculty during their third year of service and, in the School of Medicine and the Stern School, also in their
sixth year of service.

Teaching and Research Assignments for Full-Time Faculty

As regards full-time faculty members, long-standing University policy normally limits regular teaching
assignments to the usual fall and spring terms (approximately early September to mid-May) or equivalent.
In the School of Medicine and the College of Dentistry, including the College of Nursing, the regular
teaching and research assignments are September through August and September through July,
respectively. The summer months are generally expected to be spent partly in scholarly activity for
professional growth and partly in rest and recreation.

Full-time faculty on such nine-month appointments may accept teaching, research or other employment
during the three summer month(s) when they do not have regular teaching assignments, either at NYU or
at another academic institution, or from another employer, or in NYU’s January Term Session, provided
such additional undertakings do not unduly interfere with the teacher’s efficiency and serviceability to the
department. In addition, with permission of the Dean or Chair, full-time faculty may be released from
some teaching responsibilities during the academic year in order to conduct research. Assignments at
NYU outside of the usual pattern as a part of the regular teaching load obligations are normally made
only as the result of a specific agreement with an individual faculty member. In the School of Medicine
and the College of Dentistry, the teaching and research assignments are September through August and
September through July, respectively.

Full-time teaching loads are determined administratively under guidelines approved by the Office of the
Provost for a particular school or department. No additional compensation by reason of teaching overload
may be paid to a full-time faculty member during the period of a regular teaching assignment, except in
emergency circumstances duly approved in advance by the Office of the Provost. As an exception,
teaching in the School of Continuing and Professional Studies by a faculty member based outside of that
school or in a regularly established off-campus program for additional compensation to the extent of one
course per semester (in addition to a faculty member’s regular assignment) will be permitted with the
approval of the dean of the school in which the teacher’s principal services are rendered, but such
arrangements are subject to review and renewed approval from year to year. Exceptions for additional compensation by reason of teaching overload also may be made for teaching in the Gallatin School of Individualized Study by a faculty member based outside of that school and in experimental programs. Exceptions for additional compensation also may be made for teaching at the portal campuses of NYU Abu Dhabi and NYU Shanghai by a faculty member based outside the applicable campus. A full-time faculty member whose regular teaching assignments are limited to the fall and spring terms (approximately early September to mid-May) may accept teaching or research assignments at times outside his or her regular schedule (e.g., during the summer) at New York University or elsewhere, provided such additional undertakings do not unduly interfere with the teacher’s efficiency and serviceability to the department. Summer teaching assignments at New York University are normally made to full-time faculty members only with the consent of the teacher concerned.

Meeting Classes

The regulations of the University require all officers of instruction, members of the faculty to be present for teaching duty and ancillary activities (e.g., committee work and student advisement) during the academic sessions to which they have been assigned. In addition, unless special arrangements have been made through the department or school, all officers of instruction, members of the faculty are duty-bound to meet all their assigned classes at the place and hour scheduled. The length of the various academic sessions and the number of class meetings per session are set conformably to the requirements of the State Education Departmentregulatory agencies for the different programs offered by the University, and may not be varied arbitrarily by individual teachers.

In case of illness necessitating absence from class, the teacher should communicate with the proper departmental officer or, if the latter is not available, with the dean. The department head or dean will determine what arrangements, if any, should be made to provide a substitute instructor or to make up the work of the class at a later date.

Calendar

The fiscal years for New York University extend from September 1 through August 31. In most divisions (except certain professional schools, where slightly different schedules obtain) the regular teaching year consists of two terms, beginning in early September and mid-January, respectively. The summer sessions conducted by the various divisions extend for the most part during the period from May to August. The University also offers a January Term Session. The calendars published in the University-wide and individual school bulletins will cite specific dates for each academic year conforming to local variations. This information is also available online (http://www.nyu.edu). The annual Commencement exercises are normally held in May.

Bulletins and Published (including on-line) Materials

Each school and college of the University, under the direction of its dean, issues its own bulletin or bulletins or other published (including on-line) materials describing entrance and degree requirements, programs of study, and the like. All because this is the official publications of the school’s or college’s requirements and programs, it must be as accurate and up-to-date as possible.

It is incumbent upon the individual faculty member whose particular courses are described therein to inform the departmental executive officer of all essential changes that may necessitate a revision of the course description in the bulletin-published materials.

Restriction on Outside Employment
All faculty members compensated on a full-time basis are expected to devote their major energies to teaching, research, service, student counseling, and related activities at the New York University. This implies a limit on outside activities, particularly those that involve the rendering of service for extra compensation.

No one appointed to a tenure or tenure-track faculty position at NYU may simultaneously hold a tenure or tenure-track position elsewhere. Teaching service by Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty at other institutions during the academic year must be approved in advance by the dean. For Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty, extramural activities that are consistent with the individual’s overriding obligation to the University, including consulting and other gainful employment, must be consistent with the principles outlined above and may not require on the average more than one day per week in any academic semester or in any summer month in which the faculty member is receiving compensation for full-time employment at the University. For additional information, please refer to the University’s Policy on Academic Conflict of Interest and Conflict of Commitment.

Circumstances thought to merit exceptional treatment should be referred in writing to the appropriate dean and the Office of the Provost.

All full-time faculty and other faculty if requested by a school dean or the Office of the Provost must complete annually and submit to their school dean the faculty disclosure form then in effect, certifying their compliance with applicable University and school conflict of interest and conflict of commitment policies and disclosing the information requested about the faculty member’s (and immediate family member’s) outside activities and other interests related to the policies. Faculty members also may be required to complete disclosure forms at other times, such as when planning to participate in certain research projects. All faculty members shall on a yearly basis report to their deans on (i) teaching outside the University, if the course taught is the same or similar to a course s/he teaches at the University, an outline of the curriculum taught at both institutions must be provided, (ii) other compensated activities outside the University and (iii) significant financial interest in entities having a relationship to the University (see Policy on Academic Conflict of Interest and Conflict of Commitment). All faculty have an obligation to assure that they do not engage in activities that are prohibited by applicable University and school conflict of interest and conflict of commitment policies and to seek guidance in advance from their department chair, school dean, or the Office of the Provost (the Executive Vice President for Health in the case of the Schools of Medicine, Dentistry and Nursing) if there is any reasonable doubt as to whether an activity may constitute a conflict of interest or a conflict of commitment.

It is the responsibility of departmental chairpersons and/or heads and of the deans of the various schools to protect the interest of the University in the full-time service of its full-time faculty, professional research and library staffs, and administration.

**Limitation on Degree Candidacy**

Special attention is called to Bylaw 78(c),81(c) provides: “which reads as follows: No Tenured/Tenure Track Faculty member or Full-Time Non-Tenure Track/Contract Faculty member, other than librarians, officer of instruction holding professorial rank in the University, that is, rank above the grade of instructor, shall will be permitted to enroll as a candidate for a degree or be recommended for a degree in course, unless specifically excepted by the Board. A degree candidate, other than a librarian, who accepts appointment as a Tenured/Tenure Track Faculty member or a Full-Time Non-Tenure Track/Contract Faculty member to professorial rank must thereupon relinquish such candidacy, unless specifically excepted by the Board.”
While the rule does not prohibit a Tenured/Tenure Track Faculty member, Full-Time Non-Tenure Track/Contract Faculty member, teacher of professorial rank, or Other Faculty member whether on temporary or permanent appointment, from taking courses at this institution for credit to be applied elsewhere toward a degree, it does prohibit such an appointee from pursuing a course to be credited toward a degree at New York University. In applying the rule, the prohibition has been extended to all holders of professorial titles, including visiting, research, adjunct, and clinical professors of each grade, and to administrators of policy-making rank. The holder of any professional librarian’s rank may pursue graduate work and be a degree candidate at the University.

New York State Oath Requirement

Section 3002 of the Education Law of the State of New York, as amended, requires in part that any United States citizen employed within the state as a teacher in a tax-supported or tax-exempt institution sign an oath or affirmation to support the Constitutions of the United States and of the State of New York.

This oath or affirmation must be executed by every newly appointed teacher before the first class session and returned for filing with the records of the institution.

The requisite form for complying with the law is available from the Office of Academic Appointments and in the offices of the deans of the schools and colleges (see the NYU Public Directory for contact information). Foreign nationals, of course, are not subject to this requirement.

Compensation

The salary of a full-time officer of instruction member of the faculty who teaches in the school’s regular fall and spring terms (i.e., a nine-month appointment), or a full-time faculty member, teaching assistant, and graduate assistant, in the School of Medicine, and College of Dentistry, and College of Nursing who serves the entire academic year, normally is paid by monthly check in equal installments over the entire twelve months calendar year, beginning on the first day of the month following the effective date of appointment, with the exception that a teaching associate, teaching assistant, teaching fellow, or graduate assistant on duty from September through May receives his or her salary in 17 biweekly payments, starting in September and ending in May.

Salary payments to a part-time member of the instructional staff are payable four times each term, on the first of October, November, December, and January for the fall term, and on the first of March, April, May, and June for the spring term, with the exception that a part-time faculty member appointed for the entire academic year (September through May) will receive his or her salary in nine equal payments starting October 1 and ending June 1. Salary payments of a part-time faculty member in the School of Medicine are paid according to the same schedule as a full-time faculty member in that school.

Salary payments to a visiting faculty member normally follow the same schedule as full-time faculty with the exception that a visitor whose appointment does not extend through the summer months may be paid on the same schedule as a part-time faculty member.

Payment for Summer Months

In addition to the academic year salary, faculty members appointed on a nine-month basis may receive up to three additional months of summer compensation from NYU-administered sources (e.g., from federal on non-federal research grants). The maximum monthly salary from such sources is one-ninth of the academic year salary. Payment for teaching in the summer intersession, whether paid as additional
compensation to regular full-time officers of instruction or to visiting or part-time personnel, is normally made on one or more of the following dates, depending on the duration of the assignment: July 1, August 1, September 1. In compliance with New York State Labor Law 195, at the time of hire NYU provides all new employees (including faculty) with written confirmation of their salary, as well as pay schedules and pay frequency. The law requires that the employee sign the notice as acknowledgment of receipt.

Deductions from Salary

Deductions from the salary check are made for applicable income and other taxes (e.g., retirement taxes) by the Controller’s Division for federal, New York State, and New York City income taxes; Federal Insurance Contributions Act (FICA) tax as specified by law; and for applicable annuity, group insurance, disability income protection plan, dental plan, and hospitalization and surgical-medical insurance premiums, and other benefits in accordance with individual requirements. Eligibility for benefits varies based on a variety of factors, including whether the faculty member is employed on a full-time versus part-time basis, whether the employee’s benefits are dictated by a collective bargaining agreement, whether the employee is a temporary appointee, the country in which the faculty member is payrolled and/or performing services, and other factors. Part-time members of the instructional staff, and such essentially temporary appointees as teaching fellows, graduate assistants, and the like, are ordinarily ineligible for annuity, group insurance, or hospitalization benefits. Cases to the contrary are subject to review and decision by the administration.

The University cooperates with the United States Treasury in arranging for the regular purchase of savings bonds under the Payroll Deduction Plan.

Leave of Absence (Paid and Unpaid)

Applications for leave of absence of not more than seven days should be made to the proper applicable dean; applications for leave of absence for more than seven days require the approval of the Office of the Provost.

A leave of absence may not be granted to a faculty member who has accepted a tenured appointment elsewhere. Leaves of absence for faculty performing services and/or payrolled outside of the United States may vary.

Illness/Disability Leave and Maternity Leave

The salary of a full-time faculty member Tenured/Tenure Track Faculty or a Full-Time Non-Tenure Track/Contract Faculty member (Code 102) may be continued for up to six months at the discretion of the dean, for absence caused by illness or disability, subject to approval by the Office of the Provost.

Legally, an absence caused by inability to work because of pregnancy, childbirth, or related medical conditions must be treated at least as favorably as an absence caused by illness or disability for all employment-related purposes. At the time a faculty member gives birth, she is entitled to an aggregate of six consecutive weeks of paid maternity leave preceding and following the date of birth.

A physician’s statement certifying that the faculty member is unable to work because of illness or disability and the date on which it is anticipated that he or she can return to work may be required. The University, in addition, may require that the faculty member be examined by a physician designated by the University at no cost to the faculty member. In cases of childbirth, no certification will be required unless the request for leave extends beyond six weeks.
A Tenured/Tenure Track Faculty or a Full-Time Non-Tenure Track/Contract Faculty. A full-time faculty member who is totally disabled for more than six consecutive calendar months may claim benefits under New York University’s long-term disability insurance if a participant.

**Personal Leave**

Personal leave without pay may be granted at the discretion of the dean for a variety of reasons, including those cited below. Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty members may be granted one or more full semesters of leave without pay for compelling personal reasons, such as care of a seriously ill child, parent, spouse, or registered same-sex domestic partner. Leave by either parent for the purpose of taking care of a child or related activities, as distinguished from inability to work because of pregnancy or childbirth, is treated as personal leave.

Faculty members are entitled to all provisions of the federal Family and Medical Leave Act of 1993 that are not specifically provided for herein. (A copy of “Your Rights under the Family and Medical Leave Act of 1993” is available at the Benefits Office; a set of new rules and updates to the regulations are effective January 2010 see the NYU Public Directory for contact information.)

**Workload Relief Policy (Approved by the University Senate March 1, 2007)**

In order to provide relief to eligible full-time faculty members faced with the additional demands of being the primary care-giver to a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, New York University’s workload relief policy grants one (1) semester of workload relief from classroom teaching and administrative committee work or two (2) semesters of half relief from such duties, based on the individual’s normal yearly workload, at full salary. Workload relief is not considered a leave as faculty members are expected to make themselves available to the extent reasonable and practicable for their customary responsibilities of research, student consultation, and advising.

The faculty member’s School shall remains financially responsible for the faculty member’s salary during the workload relief period. Financial support for workload relief of classroom teaching, necessitated by having to hire appropriate replacements, is to be borne by a University workload relief fund. Please see the Workload Relief Form for details.

Individuals eligible for workload relief benefits include all full-time (code 102) faculty, Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty. To qualify for workload relief, the faculty member must be the parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care. In all circumstances, only one (1) parent may be considered primarily responsible for the care of the child. If both parents could be eligible under this policy because they are both code 102 eligible full-time faculty, each such eligible faculty member could qualify sequentially for a half semester if the designation of primary responsible parent changed, but the total amount of workload relief would not increase.

Normally the first semester of workload relief will be the semester in which the temporary disability leave for childbirth is completed, the semester in which the adoption, foster care or guardianship takes place, or, in the case of the birth parent, the semester in which the birth takes place. If the primary caregiver taking workload relief is the non-birth parent, only the latter two (2) situations are relevant. If these events occur between semesters when classes are not in session, the first semester of the workload relief typically will be the following semester.
In the case of childbirth, at least five (5) months before the start of the first semester of relief, a faculty member wishing to utilize workload relief for parenting under this plan should inform his or her Department Chair by filling out a Workload Relief Form, certifying that she/he is the primary caregiver and stating her/his intentions to take one (1) full semester or two (2) half semesters of relief. The form should be submitted to the person responsible at his/her School for processing the request as listed on the Workload Relief contact sheet. Details of the workload relief arrangement must be decided in consultation with the Department Chair or, in Schools without departmental organization, with the Dean. In the case of adoption, foster care or guardianship, the faculty member should alert the Department Chair or Dean as early as possible. Tenure clock stoppage will be granted for a cumulative maximum of two semesters during the probationary period to a faculty member who is the primary caregiver of a child whether or not the faculty member avails herself or himself of workload relief. The one (1) full semester of relief or two half semesters of relief will count as credit toward a faculty member’s sabbatical leave. (See below, Tenure Clock Stoppage for Personal Reasons.)

This policy is not intended to replace leave available to faculty members who are eligible for leave for the birth of a child, an adoption, or foster care placement under the Family and Medical Leave Act of 1993 (“FMLA”). A set of new rules and updates to the regulations are effective January 2010. FMLA will run concurrently with workload relief as either intermittent or reduced workload leave. An FMLA certification must be completed and submitted with the Workload Relief Form to determine FMLA eligibility. Eligible faculty members may still elect to take unpaid FMLA leave if they wish to provide no service while providing care for their newborn child, newly adopted child, or foster care or guardianship placement.

Benefits During Leave of Absence

During a leave of absence, benefits may be affected. The Benefits Office should be contacted for details regarding how to continue benefit coverage and the length of time for which benefits may be continued. It is a faculty member’s responsibility to contact the Benefits Office to arrange for continuation of benefits. More information is available in the benefits booklets or at the Benefits Office (see the NYU Public Directory for contact information).

Retirement

In order to foster an ongoing relationship with the University’s retirees, a number of perquisites are available through Central Administration/the University and the individual schools. Faculty members may contact their Dean’s Office for details.

To determine eligibility for benefits after retirement, the Benefits Office or the Dean’s Office should be consulted. See the NYU Public Directory for contact information.

Term of Administrative Appointments [Bylaw 774]

“Appointment to an administrative office, including but not limited to the office of executive dean, dean, vice dean, associate dean, assistant dean, director, secretary, department head, and department chair, will be without limit of time, unless otherwise specified, but may be terminated at any time without prejudice to any rights of the officer as holder of a professorship (a) by the President and Chancellor, or the Executive Committee, or the Board; (b) in the case of an appointment other than an executive dean or dean or head, by the executive dean or dean, or by their respective designees; and (c) in the case of an appointment of a head, by the appropriate deans jointly or by the Provost.” A faculty member’s contracted rights are not affected solely by removal from an administrative position.
University Benefits

Benefit Plans and Services

The Benefits Office of the Human Resources Division provides information about the benefit plans and services available to faculty members, members of the professional research staffs, and administrative and professional staff members. All requests for information and questions should be directed to NYU Human Resources, Office located at Washington Square. See the NYU Public Directory for contact information, and further information can be found online.

(School of Medicine faculty should contact their Benefits Office; see the NYU Medical Center Telephone Directory for contact information).

Housing for Faculty

University-owned housing is allocated to faculty and staff at NYU. Faculty housing is a critical strategic resource that has supported NYU’s development into a national research university, in order to enhance the academic life at New York University. Nearby housing helps to create a feeling of campus by bringing faculty, staff, and students together. It supports the academic mission of the University by increasing accessibility of faculty members to their students, their colleagues, and their research tools. Although NYU’s rental resources are substantial, they are not sufficient to address all our housing needs. University housing is allocated to faculty and staff in a manner designed to support, recruit and retain the full-time faculty of the University according to University priorities informed by the Deans of the Schools. Specific University policies on Faculty Housing govern the allocation of housing. The highest priority is to house tenured and tenure track faculty, and among them, new faculty who will be joining NYU and who do not have housing in the metropolitan area. Almost equal priority is given to existing faculty who are of high retention importance as determined by the deans of each school. Any questions should be addressed through the individual school Dean’s Offices.

Service Recognition Awards

Faculty will receive service recognition gifts upon completion of 10, 15, 20, 25, 30, and 35 years of full-time service to the University, and every five-year milestone thereafter through 50+ years. The University also will also present a certificate to every member of the faculty who has given 25 years of full- and/or part-time service to the University.

Travel Policies

Information about University policies and guidelines concerning travel and reimbursement rates can be obtained from the Office of the Controller (see the NYU Public Directory for contact information). All faculty are encouraged to use NYUTraveler, which was created to provide the NYU community with tools and services for their travel needs and to help keep them safer.

Releasing Employment Information

Faculty members wishing to have information about their status at the University officially transmitted to persons or institutions outside the University should apply to the Office of Academic Appointments, in order to execute the required consent form (see the NYU Public Directory for contact information).

Legal Matters
Legal Assistance Related to University Matters; Signing of Contracts; Service of Legal Papers

The handling of all legal matters arising from or pertaining to the operations of the University is the responsibility of the General Counsel of the University and only the Office of General Counsel is authorized to retain outside counsel on behalf of the University. All legal inquiries should be directed to the Office of the General Counsel.

Administrators and faculty members should not sign contracts, leases, or other agreements without proper written authorization, as well as required legal and financial reviews, and should not reply to communications received from attorneys concerning University business, whether telephone messages, faxes, e-mails or letters. Responses to such communications must be prepared in consultation between the Office of the General Counsel and the faculty member or administrator concerned. Similarly, under no circumstances should anyone not an officer of the University accept service of legal papers, such as subpoenas, citations, court summonses, or violation notices. Anyone who wishes to serve such papers on the University should be referred to the Office of the General Counsel, which will accept them officially on behalf of the University.

Refusal by a faculty member or administrator to accept service is not illegal; it is in fact the proper procedure and in the best interests of the University. If a process server refuses to be cooperative and insists upon leaving the papers, immediately call the Office of the General Counsel, and ask for instructions.

The Office of the General Counsel is responsible only for official University business and is not staffed to provide personal legal assistance except in the special instances described in “Selected Policies Concerning the Protection of Rights and Other Matters” under the heading of “Legal Protection for Faculty Members.” In exceptional cases, however, the office will, upon request, suggest legal organizations or other counsel to University personnel in need of such assistance.
FACULTY POLICIES APPLICABLE TO TENURED AND TENURE-TRACK FACULTY

This part of the Faculty Handbook begins under the heading Academic Freedom and Tenure with Titles I-IV of the University’s formal rules of tenure and related provisions. As noted in the preceding section, Faculty Titles, in 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in a section headed “Statement in Regard to Academic Freedom and Tenure.” This provision has been amended, from time to time, by the Board of Trustees. The current provision is set forth below.

General criteria for promotion and tenure for tenured and tenure-track faculty are cited in Title I, Section V. The core principles and procedures for tenure and promotion at the University appear in the New York University Promotion and Tenure Guidelines. In addition, colleges and schools have their own internal rules, procedures, and policies, such as School statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President and Chancellor.

Academic Freedom and Tenure

(Titles I and II were adopted by the University Board of Trustees on October 24, 1960, and have been amended through December 2, 1996).

Title I: Statement in Regard to Academic Freedom and Tenure

I. Authorization by the Board of Trustees

The Board of Trustees of New York University has authorized the following statement in regard to academic freedom and tenure at New York University. It reserves the right to amend this statement at its discretion, but no amendment shall take away a status of permanent or continuous tenure acquired before such amendment.

II. The Case for Academic Freedom

Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.

III. The Case for Academic Tenure

Academic tenure is a means to certain ends, specifically: (1) freedom of teaching and research; and (2) a sufficient degree of economic security to make the profession of teaching attractive to men and women of ability.

IV. Academic Freedom

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements, should be based upon an understanding with the administration of the University.
Teachers are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.

V. Academic Tenure

1. Part-time positions and other positions] A distinction is made between part-time and full-time members of the teaching staff. Unless their notices of appointment explicitly state that they are appointed for full-time teaching service, officers of instruction, of whatever rank, are considered part-time members of the teaching staff. The full-time members of the teaching staff are those teachers who give full-time service to the University and whose notices of appointment explicitly so indicate.

All part-time appointees to the University staff, irrespective of title, rank, or cumulative length of service, are entitled to no right of tenure, and their appointments are limited strictly to the periods stipulated in the official notices thereof. Likewise, all instructors, and all those receiving appointment in such temporary capacities as fellow, assistant, associate, lecturer, or as acting, adjunct, clinical, and visiting officers of instruction in the several ranks, whether rendering full- or part-time service, are ineligible for tenure on the basis of such service and are restricted in the duration of their connection with the University to the period stipulated in the official notices of appointment. The same stipulation applies to personnel appointed with professorial or other titles, whether on full- or part-time service, on subsidized assignments such as sponsored research, or in teaching programs where expense of the program is dependent upon a subsidy of limited duration. [Cf. Bylaw 84.]

2. [Tenure described] The general policy of the University with respect to probation and tenure for full-time assistant professors, associate professors, and professors is given below. After expiration of the stipulated probationary periods, full-time associate professors and professors are considered to have permanent or continuous tenure, and their services are to be terminated only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division. It is understood that the University has the right to reduce the length of the probationary period in specific cases.

3. [Assistant Professor] The rank of Assistant Professor should be granted only to those who have proved their worth as teachers and have given evidence of character and productive scholarship. The assistant professor should possess the maturity and attainment in the field of scholarship or professional practice of which the doctor’s degree is usually the testimonial. Appointment to an assistant professorship carries with it the possibility but no presumption of reappointment and includes no right to permanent or continuous tenure or to further reappointment, or to promotion to any higher rank.
A full-time assistant professor in any school, college, division, or department except the School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, and the College of Dentistry and its departments and its College of Nursing, who is not promoted at the expiration of seven years as full-time assistant professor shall be ineligible for further full-time appointment in the University. A full-time assistant professor in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, who is not promoted at the expiration of ten years as a full-time assistant professor shall be ineligible for further full-time appointment in the University. A full-time assistant professor in the Leonard N. Stern School of Business or any of its departments, who is not promoted at the expiration of nine years as a full-time assistant professor shall be ineligible for further full-time appointment in the University.

4. [Associate Professor] The rank of Associate Professor should be granted only to those who, in addition to all the qualifications for an assistant professorship, have an unusual contribution to make to the University through the excellence of their character, teaching, productive scholarship, or other educational service. There is no presumption in appointing an associate professor that he or she will later be promoted. Reappointment as an associate professor does not imply any subsequent appointment at higher rank. Under any of the following conditions the appointment or reappointment of an associate professor carries with it the right of continuous or permanent tenure if it is for: (1) the sixth year as a full-time associate professor at New York University; or (2) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, the eighth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor; or (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, the eleventh year, as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor; or (c) in the Leonard N. Stern School of Business or any of its departments, the tenth year as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor, or (3) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, the fifth year as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term of more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section; (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, the eighth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term of more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section; (c) in the Leonard N. Stern School of Business or any of its departments, the seventh year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term at more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section.

If a full-time teacher at the time of his or her first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he
or she has gained permanent or continuous tenure in another institution of higher education in
the United States having tenure regulations similar to those in effect at New York University
and leaves that institution to accept appointment as a full-time associate professor at New
York University, it is assumed that he or she has permanent or continuous tenure at New
York University unless it is agreed in writing that his or her appointment is for a probationary
period of not more than four years. It shall be the responsibility of the University official
hiring the teacher to raise the question of tenure possibly achieved elsewhere.

5. [Professor] The rank of Professor should be granted only after careful consideration of the
individual’s character, scholarship, productivity, teaching ability, and reputation among peers
in his or her own field, as well as his or her capacity for inclining students toward noteworthy
attainments. It should be granted only to men and women who have been so tested that there
is reasonable certainty of their continuing usefulness throughout the remainder of their
working years. It should never be granted as the reward of seniority and should be reserved as
a mark of distinction in the field of scholarship and instruction. It should never be granted as
a recognition of usefulness in administration.

Under any of the following conditions the reappointment of a professor carries with it the
right of continuous or permanent tenure: (1) if the reappointment is for the fourth year as a
full-time professor at New York University; or (2) if the reappointment is for the sixth year as
a full-time professor or associate professor at New York University; or (3) (a) in any school,
college, division, or department except the School of Medicine and its departments, the
College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern
School of Business and its departments, if the reappointment is for the eighth year as a full
time teacher at New York University in the rank or ranks of assistant professor, associate
professor, or professor; (b) in the School of Medicine or any of its departments and the
College of Dentistry or any of its departments or its College of Nursing, if the reappointment
is for the eleventh year as a full-time teacher at New York University in the rank or ranks of
assistant professor, associate professor, or professor; (c) in the Leonard N. Stern School of
Business or any of its departments, if the reappointment is for the tenth year as a full-time
teacher at New York University in the rank or ranks of assistant professor, associate
professor, or professor, or (4) (a) in any school, college, division, or department except the
School of Medicine and its departments, the College of Dentistry and its departments and its
College of Nursing, and the Leonard N. Stern School of Business and its departments, if the
reappointment is for the fifth year as a full-time teacher at New York University in the rank
or ranks of assistant professor, associate professor, or professor and follows a term of more
than three years of full-time teaching in the rank or ranks of assistant professor, associate
professor, or professor in one or more institutions of higher education other than New York
University except as provided in paragraph six of this section; (b) in the School of Medicine
or any of its departments and the College of Dentistry or any of its departments and its
College of Nursing, if the reappointment is for the eighth year as a full-time teacher at New
York University in the rank or ranks of assistant professor, associate professor, or professor
and follows a term of more than three years of full-time teaching in the rank or ranks of
assistant professor, associate professor, or professor in one or more institutions of higher
education other than New York University except as provided in paragraph six of this section;
(c) in the Leonard N. Stern School of Business or any of its departments, if the
reappointment is for the seventh year as a full-time teacher at New York University in the
rank or ranks of assistant professor, associate professor, or professor and follows a term of
more than three years of full-time teaching in the ranks of assistant professor, associate
professor, or professor in one or more institutions of higher education other than New York
University except as provided in paragraph six of this section.
If a full-time teacher at the time of first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he or she has gained permanent or continuous tenure in another institution of higher education in the United States having tenure regulations similar to those in effect at New York University and leaves that institution to accept appointment as a full-time professor at New York University, it is assumed that he or she has permanent or continuous tenure at New York University unless it is agreed in writing that his or her appointment is for a probationary period of not more than three years. It shall be the responsibility of the University official hiring the teacher to raise the question of tenure possibly achieved elsewhere.

6. [Exclusion of prior full-time teaching service at another institution] When full-time teaching service at another institution of higher education does not meet the criteria recognized for service at New York University, that service may be excluded from the probationary period under paragraph 4, clause (3), or paragraph 5, clause (4), of this section. In determining whether prior service at another educational institution should not be included, consideration shall be given to whether or not the prior service: (a) was in an Association of American Universities institution or equivalent; (b) followed the attainment of the terminal degree; (c) was in a tenure earning position; and (d) related factors. Recommendations that service at another institution of higher education not be included within the probationary period should be predicated on a written agreement between the prospective faculty member and the dean, and should be submitted by the dean to the Provost for approval before the initial appointment is effective. The faculty member will be notified in writing by the Office of the Provost whether or not prior service will be included within the probationary period at New York University.

7. [Administrative posts; promotions] Appointment to administrative posts may be terminated or modified by the University Board of Trustees without prejudice to the teaching rights of officers holding such positions. If a teacher gains permanent or continuous tenure at New York University in one rank, his or her tenure will not be invalidated by subsequent promotions in rank.

VI. Termination of a Tenure Appointment

1. When a member of the teaching staff has permanent or continuous tenure or is serving an appointment for a term of years which has not expired, his or her services may be terminated by the University only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division.4

2. Termination for cause:

(a) [Adequate cause] Adequate cause includes (but is not limited to) one or more of the following: incompetent or inefficient service; neglect of duty; repeated and willful disregard of the rules of academic freedom as set forth in this statement; physical or mental incapacity; or any other conduct of a character seriously prejudicial to his or her teaching or research or to the welfare of the University. [Cf. Bylaw 9287, Removal of Tenured Faculty and Tenured Librarians.]

4 The Board of Trustees has approved resolutions concerning “Procedures for Termination and Reorganization of Programs”, dated December 10, 1979 and December 1, 1997.
(b) [Rules; notice; record] Proceedings for termination of service for cause shall be conducted in accordance with such rules as may from time to time be adopted by the Board of Trustees, and shall be initiated by service upon the person involved of a written notice setting forth clearly and directly all charges preferred against him or her and informing him or her of his or her rights under this section and under relevant University bylaws and rules regulating proceedings on such charges. The person charged shall be entitled to a hearing before a hearing panel of the Faculty Tenure Committee of the University in accordance with the regulations pertaining thereto. A full stenographic record of the hearing shall be given to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers or other scholars, whether from this University or from other institutions.

(c) [Appeal to the Tenure Appeal Committee] Upon the request of either the faculty member charged or the charging party, the record, findings, conclusions, and proposed sanctions of the hearing panel of the Faculty Tenure Committee shall be forwarded to the Tenure Appeal Committee for review and final determination. In the absence of such request, the findings, conclusions, and proposed sanctions of the hearing panel shall be final.

(d) [Rules bind all parties] The rules regulating proceedings to terminate service for cause shall be binding upon all parties.

(e) [Summary suspension] Summary suspension pending termination proceedings is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor the dean of the college, school, or division involved with the assent of the President and Chancellor whenever, in his or her judgment, continuance of the person in service threatens substantial harm to himself or herself, to others, or to the welfare of the University. Unless legal considerations forbid, any such suspension shall be with full base pay. At any time during the pendency of termination proceedings, the President and Chancellor may lift or modify any suspension in the interest of substantial justice.

(f) [Review of suspension] In the event of summary suspension, the propriety and effect of such suspension shall be reviewed by the hearing panel of the Faculty Tenure Committee when it commences its proceedings on the merits of the charges made, and the panel may recommend to the President and Chancellor that the suspension be revoked or limited in its effects pending the outcome of the proceeding.

(g) [Salary following dismissal] A person having permanent or continuous tenure who is dismissed for cause may, upon the recommendation of the hearing panel of the Faculty Tenure Committee and, in the event of an appeal, upon the approval of the Tenure Appeal Committee, receive his or her salary for up to one year from the date of mailing to him or her, by registered mail, of a notice of such dismissal.

VII. Existing Commitments

This statement, while applicable generally to all members of the teaching staff of New York University at the time of its adoption, is not intended to modify existing commitments, as in the case of assistant professors previously appointed without reference to non-tenure restrictions.

II. Notification of Resignation

The following provisions shall apply to notifications of resignation:
1. [Early notice] Notification of resignation ought, in general, to be early enough to obviate serious embarrassment to the University, the length of time necessarily varying with the circumstances of the particular case.

2. [Minimum notice] Subject to this general principle it would seem appropriate that a professor or an associate professor should ordinarily give not less than four months’ notice and an assistant professor or instructor not less than three months’ notice.

3. [Notification before transferring] It is assumed that a teacher may answer an informal inquiry about whether he or she would be willing to consider transfer to another institution under specified conditions without previous consultation with University officials, with the understanding, however, that if a definite offer follows he or she will not accept it without giving such notice as is indicated in the preceding provisions. A teacher is at liberty to ask his or her superior officers to reduce, or waive, the notification requirements there specified, but he or she is expected to conform to their decision on these points.

IX. Whom Tenure Cannot Protect

Nothing in this statement is to be interpreted as giving the protection of tenure to anyone who advocates the overthrow of the government of the United States by force, violence, or any unlawful means.

Title II: Appointment and Notification of Appointment

X. General Appointment Procedures Affecting the Full-Time Tenure-Earning Ranks

1. [Recommendation by department] Recommendations of appointment or reappointment of full-time assistant professors, associate professors, and professors, who have not achieved permanent or continuous tenure, shall be made by the chief executive officer of each department to the appropriate dean. The chief executive officer is the head of an all-University department or the chairperson of a school or college department that is not part of an all-University department.

2. [Advisory body] In the preparation of his or her recommendation the chief executive officer of each department shall have the counsel of an advisory body of tenured faculty members of the department. In case he or she is not the chief executive officer of the department, the chairperson of a school or college department in which a recommendation for appointment is under consideration shall be a member of the advisory body of tenured faculty members.

3. [Establishing advisory body] Each academic department shall, in accordance with its own procedures, establish an advisory committee on appointments.

4. [Transmitting recommendations] The department head or chairperson shall transmit to the appropriate dean, along with his or her recommendation and reasoning, the recommendation and reasoning of the advisory body, together with their names, the method of their selection, and a report of the numerical vote.

5. [Recommendations by dean] In schools without a departmental organization, the dean, in the preparation of his or her recommendations of appointment, shall have the counsel of an advisory body of tenured faculty members of the school. The dean shall notify the faculty members of his or her school of the composition of the advisory body, and the method of their selection.
6. [Approval by dean] The dean shall approve or disapprove the recommendation, and shall notify the department head or chairperson if there is a departmental organization, and the advisory body, of the ultimate decision along with reasons therefor if the recommendation is disapproved.

7. [Other advisory bodies] Nothing in the appointment procedures described above shall be construed to preclude the possibility that other advisors or advisory bodies or student groups may be consulted to meet the needs of individual schools or specific situations.

XI. Notification of Non-Tenured Faculty Members

1. [Notification; prospects] During his or her probationary period, each full-time assistant professor, associate professor, and professor shall be notified annually by the departmental head or chairperson, or by the dean in schools without departmental organization, of his or her prospect of being recommended by the department on the evidence then available for an appointment resulting in tenure. Where it is unlikely that tenure will be achieved, such notification shall be in writing.5

2. [Notification; no reappointment] Notice of intention not to reappoint a full-time assistant professor, associate professor, or professor 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 December 15 of the second year of academic service, if the appointment is to be terminated on August 31.

(c) In all other cases, not later than August 31, if the appointment is to be terminated on the following August 31, or not later than one year before the termination of the appointment.

However, a faculty member whose period of appointment is due to terminate on a date other than August 31, after receipt of the notice required by this paragraph 2, shall have the right, upon written notification to his or her dean at least 120 days prior to the termination date of the period of appointment, to an extension of his or her appointment until the following August 31. That right shall be communicated to the faculty member in the notice required by this paragraph 2. Under no circumstances shall such extension of appointment, however described, be considered to create any right to further appointment nor shall it, or any other faculty appointment, carry with it a right of continuous or permanent tenure in the absence of written notice awarding such tenure after the carrying out of the procedures described above in Section X.

XII. Tenure Appointments

5 In addition to the current requirement of yearly notice to each faculty member, set forth in Title II, Section XI.1, a formalized early review on tenure prospects is to be completed in the third year of service in the probationary period for assistant professors whose probationary timetable is not shortened due to qualifying previous service. In the School of Medicine and any of its departments, the Leonard N. Stern School of Business and any of its departments, and the College of Dentistry and any of its departments including its College of Nursing, a formalized early review on tenure prospects is to be completed in the third year of service for all assistant professors and in the third and sixth year of service for assistant professors whose probationary timetable is not shortened due to qualifying previous service.
1. [Procedure] In addition to the general appointment procedures, the process of recommending an appointment that would result in tenure shall be as follows:

(a) The dean shall forward his or her recommendation by June 1 to the Provost, with a copy to the department head or chairperson and to the advisory body or, in schools without departmental organization, to the dean’s advisory body. The dean’s recommendation shall be accompanied by the recommendations he or she has received from the department head or chairperson and the advisory body.

(b) The Provost shall support or oppose the dean’s recommendation in his or her recommendation to the President and Chancellor, and shall notify the dean of the final decision, along with reasons therefor, if the recommendation is disapproved. The dean in turn shall communicate the decision to the department head or chairperson, if there is a departmental organization, and to the advisory body. The dean shall notify the affected faculty member of the decision.

2. [Negative recommendations] In the case of an appointment that would, if made, complete the stipulated probationary period and result in tenure, negative recommendations as well as positive ones shall be transmitted by the department head or chairperson to the dean, and by the dean to the Provost.

Title III: Rules Regulating Proceedings to Terminate for Cause the Service of a Tenured Member of the Teaching Staff, Pursuant to Title I, Section VI, of the Statement in Regard to Academic Freedom and Tenure

(Titles III and IV were adopted by the University Board of Trustees on October 24, 1960 and have been amended through December 8, 1986)

I. Initiation of Dismissal Proceedings

1. Whenever the President and Chancellor or the Provost, or the dean of a college, school, or division of the University with the assent of the President and Chancellor or the Provost shall deem such action is warranted, that person shall initiate proceedings to terminate for cause the service of a tenured member of the teaching staff. He or she shall formulate, or cause to be formulated, the charges in writing. A copy of such charges, together with notice of proceedings for termination of his or her service for cause, shall be mailed by registered mail to the person involved (“the respondent”).

2. The respondent shall serve a written answer upon his or her dean and the President and Chancellor of the University within twenty days after service of the charges and notice upon him or her admitting or denying each of the allegations contained in the charges and setting forth any defenses to the charges. The time for service of the answer may be extended by the President and Chancellor or the Provost in the interests of substantial justice.

3. Upon receipt of the answer of the respondent, the dean shall forward to the chairperson of the Faculty Tenure Committee copies of the written charges and of the answer to such charges.

4. If the respondent fails to serve a written answer within twenty days, or any extension of such time, the dean shall nevertheless forward the charges to the chairperson of the Faculty Tenure Committee with a statement showing that no answer has been served by the respondent.
5. Within fifteen days after submission of the charges and answer, or of the charges alone, as the case may be, to the Faculty Tenure Committee, the chairperson of such committee shall set a time for the commencement of a hearing, which shall not be more than thirty days thereafter unless further time is granted by the chairperson upon request of either party.

II. The Faculty Tenure Committee and Its Hearing Panels

1. The Faculty Tenure Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to establish a hearing panel to hear the charges against a tenured faculty member in proceedings for termination of his or her service for cause. Its powers are confined to such cases and do not extend to grievances concerning the terms of special contracts of employment, promotion, salary, conditions of work, or similar questions.

2. The Faculty Tenure Committee shall consist of a faculty representative from each school or college in the University. The representative shall be a former elected senator who is still a full-time teacher in the University and is not a dean or the incumbent of a comparable administrative position. The former senator whose term has most recently concluded shall be named first, and in his or her absence by reason of leave, illness, or other inability to serve, the next most recent former senator, and if he or she be unable to serve, then the next most recent former senator, and so on until the list of former senators has been exhausted. If two or more senators had their term of office expire on the same date, lots shall be cast to determine the former senator who shall first be eligible to serve. If there be no available and properly qualified member of the faculty of any unit, then a representative who is eligible to be an elected member of the Senate shall be elected by the faculty of the unit in the manner in which a member of the Senate is elected. The Faculty Tenure Committee shall, when the Committee is called upon to consider a case, elect a Committee chairperson who shall serve until a hearing panel has been selected and has elected its own chairperson.

3. Whenever a case has been referred to the Faculty Tenure Committee, the Committee shall designate from its membership a hearing panel of five members to hear and decide the case. One member of the panel shall be the faculty representative from the same school or college as the respondent. The remaining four members shall be selected by the Faculty Tenure Committee, and such selection shall proceed notwithstanding the unavailability to serve of any former senator from one or more schools or colleges. The hearing panel shall select its own chairperson. Once identified to serve in a particular case, the members of the hearing panel shall continue to serve until the completion of all proceedings, except as otherwise provided by these rules.

III. Conduct of Hearings before the Hearing Panel of the Faculty Tenure Committee

1. An arbitrator who is an attorney shall be the presiding officer at the hearing on the charges. The arbitrator shall be chosen from a list of 12 qualified attorney-arbitrators compiled by the American Arbitration Association. The charging party and the respondent each may strike up to four names from the list and each shall rank, in order of preference, the names of those whom they have not stricken. The Association shall then designate as the arbitrator the available person with the highest degree of joint preference of the parties. Should more than one available person have an equally high joint preference, the Association shall select the arbitrator by lot from those with the highest joint preference.

2. A calendar of hearing dates in a proceeding for dismissal shall be fixed by the chairperson of the hearing panel after consultation with the parties to the proceeding and the arbitrator; the
calendar shall be read into the record on the opening day of the hearing; it shall be adhered to unless the hearing panel orders exceptions for due cause. Whenever the interests of substantial justice appear to so require, the hearing panel may direct either or both parties to submit a summary of the evidence, a first list of witnesses to be called, or both. If the statement of the charges, or the answer thereto, appears to the hearing panel to be indefinite or obscure, the hearing panel may require a more definite statement. Where the respondent has failed to serve an answer to the charges and where it further appears that the respondent is unable to understand the charges and to participate meaningfully in the proceeding, the panel shall obtain the services of a qualified person to represent the respondent. In the absence of such circumstances or other good cause, upon the failure of the respondent to serve an answer prior to the commencement of a hearing or to appear at the hearing, the panel may, in its discretion, preclude the subsequent assertion of any defense or the introduction of evidence on behalf of the respondent.

3. The arbitrator shall conduct the hearing and rule on all procedural matters, including the admissibility of evidence, subject to the right of each party to appeal to the panel. Upon such appeal, the decision of a majority of the panel members shall control. The panel shall have the power to enlarge the time appointed in these procedures for doing any act or taking any proceedings, where the interests of substantial justice appear to so require.

4. The hearings shall not be restricted by the rules of procedure or of the admissibility of evidence which prevail in the courts of law. Subject to the provisions of section 3 of this article III, each member of the panel, at the hearing, may inquire into whatever is believed relevant to the inquiry. Whenever the proceedings originate from a finding of scientific misconduct in accordance with the separate rules governing such proceedings, the hearing panel shall deem the report of the earlier committee to constitute the facts as to the existence of such misconduct.

5. The respondent may be assisted by counsel of his or her choice, as may be the charging party. Counsel for both sides shall cooperate at all times with the panel and the arbitrator.

6. A request by either party to present witnesses shall be made to the panel, which may limit the hearing of witnesses at its discretion. If witnesses are called, each party shall have the right of cross-examination.

7. Each party may introduce exhibits, which shall constitute part of the record of the case. They shall be retained in the custody of a suitable person designated by the chairperson unless, after appropriate precautions to preserve a record of their purport, the chairperson shall order otherwise.

8. A stenographic record shall be made of all proceedings at the hearing. However, on order of the chairperson, procedural matters may be discussed in executive session, the minutes of which need not be included in the transcript of the record of the hearing. This transcript shall be available to all parties to the hearing.

9. Each party shall have equal opportunity at the final session of the hearing for the summation of the case, either in person or by counsel, but no new evidence or testimony may be introduced during such summation.

10. All five members of the hearing panel shall be present at the hearing. If, after the commencement of the hearing, a member of the panel becomes unable to continue to serve, he or she shall be excused from further service. Should a member of the panel repeatedly fail
to carry out his or her obligations as a member of the panel, he or she may be discharged from further service upon the vote of a majority of the remaining members of the panel. In no event, however, may the hearing panel proceed with fewer than three members, and should the number of panel members be reduced to fewer than three, the Faculty Tenure Committee shall designate a new hearing panel which shall commence a de novo proceeding. The members of the original panel who remained on the panel at the time that it ceased to function shall be eligible to serve on the successor panel. The affirmative vote of a majority of the panel shall constitute any action by the panel. Subject to the foregoing, the panel may adopt rules not inconsistent with the provisions herein set forth.

11. Upon completion of the hearing, the panel shall deliberate and make its report. The deliberations shall be conducted in executive session and shall be attended only by the members of the hearing panel. The decision of the panel must be supported by a majority of its members and no recommendation of dismissal shall be made based solely upon the failure of the person involved to answer the charges or appear at the hearing.

IV. Report of the Hearing Panel of the Faculty Tenure Committee

1. The report of the hearing panel of the Faculty Tenure Committee shall be in writing and shall consist of (a) a transcript of the record of the hearing and the exhibits offered or introduced into evidence by the parties; (b) such findings, conclusions, and proposed sanctions as the panel shall make, including a statement of the facts deemed essential to the findings; (c) a memorandum setting forth the reasons for any recommendations, including any recommendation for severance pay where dismissal for cause is recommended; and (d) any memorandum submitted by any member of the panel, at his or her own discretion, with reference to his or her opinion as to the matters in controversy.

2. Each finding, conclusion, and recommendation shall be reported with the numerical vote of the members of the panel but not with the names of the members who voted for or against the same.

3. Complete copies of items (b), (c), and (d) described in section 1 of this Article IV shall be transmitted to the President of the University and to the parties to the hearing. Either party may take an appeal from the findings, conclusions, and recommendations of the hearing panel by filing a written notice of appeal with the President of the University within ten days of the receipt of the aforesaid items. In the event of an appeal, the full report as described in section 1 of this article IV shall be submitted to the Tenure Appeal Committee as described below.

V. The Tenure Appeal Committee of the University

1. The Tenure Appeal Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to hear an appeal from the findings, conclusions, and recommendations of a hearing panel of the Faculty Tenure Committee in a proceeding for the termination for cause of a tenured faculty member. Its powers are confined to such cases and do not extend to any other matter concerning the award or the termination of tenure.

2. The Tenure Appeal Committee shall consist of three persons, none of whom hold a full time appointment in the same school as the respondent, as follows: the chairperson of the Faculty Council; the chairperson of the Academic Affairs Committee of the Board of Trustees; and a person designated by the President of the University, ordinarily a dean, having the status of a tenured faculty member. In the event that either of the first two persons is unable to serve in a
given case, a substitute person shall be designated, respectively, by the Faculty Council and the Board of Trustees. Any substitute for the chairperson of the Faculty Council shall be a member of the Faculty Council and any substitute for the chairperson of the Academic Affairs Committee of the Board of Trustees shall be a trustee of the University.

VI. Action by the Tenure Appeal Committee

1. Upon the request of either the respondent or the charging party, the Tenure Appeal Committee of the University shall consider the findings, conclusions, and recommendations of the hearing panel of the Faculty Tenure Committee on the record made at the hearing before the panel. If the Tenure Appeal Committee deems the record not complete, it may refer the matter back to the panel for further data, findings, and recommendations.

2. An opportunity for argument before the Tenure Appeal Committee shall be afforded to each of the parties or their representatives before the final vote on the merits of the controversy.

3. Upon appeal a tenured member of the teaching staff shall be removed for cause only by a vote of a majority of the Tenure Appeal Committee to affirm the findings of the hearing panel in support of one or more of the charges. A recommendation for dismissal for cause made by the hearing panel shall be upheld only if the Tenure Appeal Committee determines: (i) that the findings against the respondent on one or more of the charges are supported by substantial evidence in the record as a whole; (ii) that the hearing was conducted fairly and in substantial compliance with the rules set forth above for the conduct of such hearings; and (iii) that the sanction of dismissal is appropriate. If the Tenure Appeal Committee does not determine that the findings in support of one or more of the charges are supported by substantial evidence in the record as a whole, or determines that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules, or that the sanction of dismissal is not appropriate it shall, as the interests of substantial justice shall require: (i) dismiss the charges; (ii) remand the case for a new hearing before the same or a new hearing panel; or (iii) reduce the sanction, provided however that any decision to reduce the sanction must be upon the unanimous vote of the Tenure Appeal Committee.

4. Where the hearing panel has sustained one or more of the charges but has not recommended dismissal for cause and has instead recommended a lesser sanction, the Tenure Appeal Committee shall, upon appeal, similarly review the findings, conclusions, and recommendations of the panel. The Tenure Appeal Committee is empowered to make the final determination with respect to the appropriate sanction to be imposed provided, however, that any decision to increase the sanction recommended by the hearing panel must be upon the unanimous vote of the Tenure Appeal Committee. Where the hearing panel has not sustained any of the charges, the Tenure Appeal Committee shall, upon appeal, again review the findings, conclusions, and recommendations of the panel, and where it determines that the findings are not supported by substantial evidence in the record as a whole or that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules to the detriment of the charging party, it may, in its discretion, remand the case for a new hearing before a new panel of the Faculty Tenure Committee.

5. After the conclusion of its deliberations, the Tenure Appeal Committee shall prepare a report setting forth its findings and conclusions, stating the reasons therefor, including the dissenting views of any member of the Committee.

6. The secretary of the University shall provide a copy of the report of the Tenure Appeal Committee to the parties and to the President of the University.
7. The final disposition of the case shall be made public only after the parties to the hearing have been officially informed of the decision of the Tenure Appeal Committee. Until that time no information concerning the hearings shall be disclosed to the public.

VII. General Provisions

1. The members of the Board of Trustees, the President and Chancellor of the University and other officers of administration, the members of the Tenure Appeal Committee, the members of the Faculty Tenure Committee, the dean and members of the faculty, and all witnesses and other participants in any hearing shall be absolutely privileged as to statements or publications made in connection with the hearings, and shall have complete immunity for any decision, statement of fact, or comment relating thereto.

Title IV: General Disciplinary Regulations Applicable to Both Tenured and Non-Tenured Faculty Members on the Tenure Track

1. [General obligations] Quite apart from any question of tenure or the termination for cause of the service of a faculty member with tenure, all faculty members have an obligation to comply with the rules and regulations of the University and its schools, colleges, and departments. These rules protect the rights and freedoms of all members of the academic community.

2. [Particular obligation] In particular, the faculty member is obligated to live up to the standards of academic freedom as outlined in this statement. Disciplinary action may also follow when the faculty member engages in conduct unbecoming a member of the faculty, such as violation of the New York University Rules for the Maintenance of Public Order, any action which interferes with the regular operations of the University or the rights of others, any serious violation of the law, or any other conduct prejudicial to the teaching, research, or welfare of the University, and so forth.

Disciplinary Procedures

A. The following procedure is applicable where a question arises concerning an alleged violation by any member of the faculty of a rule or regulation of the University, with the exception of the proceedings brought by the appropriate official to terminate the services of a faculty member with tenure.

B. Initiation of Disciplinary Proceedings

1. [Who may file a complaint] Any officer of the University, any member of the faculty or staff, or any student may file a complaint against a member of the faculty for conduct prohibited by the rules and regulations of the University, or its schools, colleges, and departments.

2. [Summary suspension] Summary suspension pending investigation and hearing is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor or the Provost or the dean of the college, school, or division involved with the assent of the President and Chancellor or Provost, whenever, in the judgment of either, suspension is necessary in the interest of the University community.
3. [Where to file a complaint] The complaint shall be filed with the dean of the faculty member’s school, except that a complaint against a dean shall be filed with the Provost. Complaints must be filed within a reasonable time after an alleged violation.

4. [Informal resolution at school level] When a complaint is filed against a member of the faculty, an effort shall be made to resolve the matter informally under the direction of the dean of the member’s school at the departmental level or with a committee of the faculty of that school. Where the charge is against the dean as a faculty member, the informal effort shall be under the direction of the Provost. Where the matter cannot be resolved in this manner, disciplinary proceedings shall proceed.

5. [Hearing committee for the non-tenured] Where the faculty member does not have continuous or permanent tenure, the matter shall be referred, with all pertinent information, to the Chairperson of the Faculty Council, who shall appoint a special committee of the faculty, either members of the Council or not, to hear the matter. The majority of the committee members shall be from the school in which the faculty member holds primary appointment. The Chairperson of the Faculty Council shall appoint the chairperson of the committee.

6. [Procedures and authority under Item 5] The special hearing committee shall adopt its own rules of procedure and shall have authority to impose any of the penalties, other than dismissal, listed in paragraph B.9 and to recommend dismissal. Decisions shall be by majority vote. A recommendation for dismissal must be approved by the dean (except where he or she is the subject of the charge) and the Provost.

7. [Hearing committee for the tenured] Where the faculty member has continuous or permanent tenure, and the proceeding or charge was not brought by the President, and Chancellor, the Provost, or the dean of the member’s school or college, specifically in order to terminate service (Title III), the matter shall be referred to the chairperson of the Faculty Tenure Committee, who shall appoint a special hearing committee and chairperson from the membership of the Faculty Tenure Committee. One member of the hearing committee shall be from the college or school in which the faculty member holds primary appointment.

8. [Procedures and authority under Item 7] The special hearing committee of the Faculty Tenure Committee shall adopt its own rules of procedure and shall have authority by majority vote to impose any of the penalties, other than dismissal, listed in paragraph B.9. If the possibility of dismissal should be at any time involved, the procedure must follow that in Title III.

9. [List of penalties] Penalties for violations of the rules and regulations of the University, or its schools, colleges, and departments shall include, but are not limited to, the following:

   a) Reprimand
   b) Censure
   c) Removal of privileges
   d) Suspension
   e) Dismissal

10. [Appeal] A faculty member may appeal the decision by the hearing committee to impose a penalty. Appeal shall be to Provost. Grounds for an appeal shall be that the decision was not supported by substantial evidence in the record taken as a whole or that the proceedings were not conducted in substantial compliance with the principles enumerated herein. In cases involving scientific misconduct, substantial deviance from procedures set out for fact-finding within the affected school shall also be grounds for appeal. Any such appeal must be made to
the Provost within fifteen calendar days after receipt of notice of the decision of the hearing committee. The Provost may seek the advice of such individuals or groups as he or she deems appropriate.

In deciding the appeal the Provost may affirm or reverse the decision of the hearing committee, may remand the case for a new or further investigation by the same or a different committee, or may increase or decrease the sanction imposed as the interests of substantial justice appear to him or her to require. Where scientific misconduct is at issue, the Provost may also remand the case to the dean of the appropriate school with a request for a new or further fact-finding by the same or a new committee, appointed in accordance with the provisions of the rules governing such cases.
Additional Faculty Policies Applicable to Tenured/Tenure Track Faculty

Sabbatical Leave

Purpose

A sabbatical leave, as distinguished from a terminal leave, a leave without compensation, or a leave for reasons of health, is defined as a leave for the purpose of encouraging faculty members (including administrative officers who hold faculty rank) to engage in scholarly research or other activities that will increase their scholarly achievement or their capacity for service to the University. A sabbatical leave will not be granted for the purpose of taking regular academic or other employment of pecuniary advantage elsewhere. (A partial exception to this policy, applicable to certain kinds of research grants, is explained below.)

Eligibility

Except as provided by school policies that permit sabbatical leaves for Full-Time Non-Tenure Track/Contract Faculty, eligibility for a sabbatical leave is limited to full-time members of the faculty who have achieved tenure rights and who have completed six years of full-time service as members of the faculty at New York University. In general, at least six years must elapse between consecutive sabbaticals.

It is stipulated that at the conclusion of a sabbatical leave the faculty member will forward to the department chairperson and the dean copies of a report on activities undertaken during the period of the leave.

Term and Compensation of the Sabbatical

In general, a sabbatical leave is granted to the eligible faculty member, starting September 1, for the usual teaching terms (i.e., September to June inclusive) of one academic year, at three quarters of annual base salary. However, as an alternative, a faculty member who has qualified for a full year of sabbatical leave at three-quarters salary may apply for such sabbatical to be divided into two terms falling within a seven-year period, each such term representing a seventh semester at three-quarters of the base salary applicable thereto. As another alternative, a faculty member who is qualified for a full year’s sabbatical leave at three-quarters salary may elect, in lieu thereof, to apply for only one semester of sabbatical leave during the sabbatical year, at the full base salary for that semester. Appropriate variations apply in units, such as the College of Dentistry, the School of Medicine and the Libraries, in which active service is rendered on an 11-or 12-month basis rather than a 9-month basis.

The cost of replacing a faculty member during sabbatical leave will be kept as low as possible by arrangements such as rotating (“bracketing”) courses, employing part-time faculty members, and making internal adjustments in the departments concerned.

Procedure for Granting a Sabbatical Leave

Application for a sabbatical leave should be made in writing by the faculty member and submitted to the department chairperson no later than December 1 preceding the academic year for which the leave is sought. Because of the impact of a leave on departmental planning, early application is recommended.
The department chairperson must forward the application with an accompanying recommendation to the
appropriate dean on or before the following December 15. The recommendation shall include a statement
of the proposed method of handling the normal duties of the faculty member while on leave.

The dean must forward each application and the accompanying recommendation of the department
chairperson, together with the dean’s own recommendation, to the Office of the Provost on or before
January 15. The Office of the Provost, after such additional consultation with the dean as may be
desirable, will announce the determination.

Sabbatical Leave and Sponsored Research and Related Activities

All sabbatical leave arrangements approved by the University carry the restriction that the faculty
member is not permitted to engage in any form of regular academic or other employment to supplement
the sabbatical salary. However, a member of the faculty is entitled to supplement the salary provided by
the University during the period of leave with funding provided by an external sponsor for research and
related activities, in an amount approved by the sponsor, so long as the total compensation is no more
than the full base salary and the leave otherwise comports with the terms and conditions of the award. The
faculty member must take the initiative to report plans for sabbatical leave to the sponsor and identify the
salary supplementation explicitly in the proposal whenever possible, and must make known to the
department chairpersons and dean at the time of request for sabbatical leave that such funding is being, or
will be, sought from the sponsor.

Benefits During Sabbatical Leave of Absence

During a leave of absence, benefits may be affected. The Benefits Office should be contacted for details
regarding how to continue benefit coverages and the length of time for which benefits may be continued.

It is a faculty member’s responsibility to contact the Benefits Office to arrange for continuation of
benefits. More information is available in the benefits booklets or at the Benefits Office. (see the NYU
Public Directory for contact information).

Tenure Clock Stoppage for Personal Reasons (Approved by the University Senate March 1, 2007)

Tenure clock stoppage may be granted automatically for a maximum of two semesters during the
probationary period for any one of, or combination of, the following personal reasons:

1. Tenure clock stoppage may be authorized during a period of full service to faculty members who
are primary caregivers of a child; and to primary caregivers of a parent, a spouse, or a domestic
partner in a health crisis of extended duration. A domestic partner qualifies if he or she is
registered with the University for benefits purposes. “Primary care” means day-to-day
responsibility for the care of a child, parent, spouse, or registered domestic partner for a
substantial portion of the period.

2. Tenure clock stoppage may be authorized to a faculty member who is granted one or more full
semesters of leave for any one of, or combination of, illness/disability leave, maternity leave, or
personal leave.

Tenure clock stoppage for up to two semesters will be granted automatically in the case of a parent
primarily responsible for the care of a newborn child, newly adopted child, new foster care or
guardianship placement, or newly-established legal custodial care, upon notification to the Chair of the
Department or, in the case of Schools without departmental organization, the Dean.
In other cases, a request for tenure clock stoppage normally will require advance approval by the Dean and the Office of the Provost. Requests should be made as early as possible, and when feasible, approvals should be in place no later than the onset of the semester preceding the period of tenure clock stoppage.

Note: The granting of tenure clock stoppage does not influence granting of tenure in the future.

**Faculty Grievance Procedures**

(Adopted by the University Senate May 10, 1973, approved by the Board of Trustees May 21, 1973)

The purpose of these regulations is to establish University procedures by means of which Tenured/Tenure Track faculty members can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under B, infra.

**A. Faculty Grievances, General**

Faculty grievances are classified into two main types:

1. Those connected with appointment, reappointment, promotion, or tenure.
2. Those concerned with other matters, such as duties, salaries, perquisites, and working conditions.

Although it may be preferable to treat all grievances as uniformly as possible, whatever the issue, those stemming from appointment decisions must be dealt with in a manner that conforms to the general appointment procedures. The initial protection for the faculty member is in the “Statement in Regard to Academic Freedom and Tenure” and the regulations and procedures on “Appointment and Notification of Appointment”. It is expected that most grievance cases, particularly those concerned with matters such as duties, salaries, perquisites, and working conditions, will be settled within each school or faculty. The schools and faculties have wide latitude in establishing procedures to meet their needs.

3. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

4. Each school or faculty shall establish a faculty committee to hear grievance cases in order to advise the dean. This grievance committee shall be elected by the voting members of the faculty and shall be a standing committee of the school or faculty. A majority of the committee shall be tenured members of the faculty. It shall not include departmental chairpersons or departmental heads or any faculty member whose primary assignment is administrative.

5. If a faculty member’s grievance is not 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. The dean shall do so within 15 working days. After obtaining the recommendation of the grievance committee, the dean shall decide the case and

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6 Explanatory note: In any instance in which the dean has not convened the school’s grievance committee within the mandated 15 working days, the faculty member has the right to bring it to the attention of the Office of the Chancellor.
in writing shall notify the concerned parties and the grievance committee of his or her decision, together with reasons therefor, and information on the procedure for appeal.

6. If a faculty member has no grievance at a level below the dean but the dean makes a decision against the faculty member, the latter may request the dean for a hearing before the grievance committee of the school or faculty. The dean shall convoke the grievance committee within 15 working days\(^7\). After receiving the recommendation of the committee, the dean shall then make his or her final decision and shall notify as in A-5.

**B. Appeal from a Dean’s Decision on Appointment, Reappointment, Promotion, or Tenure**

1. Appeals from such decisions can be made only on the following grounds:

a) That the procedures used to reach the decision were 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.

2. A faculty member intending to make an appeal shall indicate such intention in writing to the Provost within 15 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.

3. Where such an appeal is made, the dean shall transmit to the Provost a report of the proceedings in the case at its earlier stages. The Provost shall in each case obtain the advice of a standing committee of no less than three tenured faculty members selected by the Tenured/Tenure Track Faculty Senators Council Faculty Council but not necessarily members of that body. This committee shall be called the Tenured/Tenure Track Faculty Senators Council Grievance Committee.

4. The Tenured/Tenure Track Faculty Senators Council Faculty Council Grievance Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations, preferably within 30 days of the close of the hearing, but in any case within 60 days.

5. The Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. Evidence that a decision appealed from is so arbitrary that it has no rational foundation may be considered on the issue of “inadequate consideration” (B-1-a above)

6. The Committee shall at all times follow the requisites of a fair and equitable hearing, but it is not to be restricted by the technical rules of evidence or the formality of the adversary proceeding as in a court trial. In each case the Committee shall determine its own procedure, adapting the requirements of the particular case to the equity of the situation. This shall include, for example, the question of a record of the hearing, the examination of witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine whether he or she shall have the aid of an advisor or counsel.

\(^2\) See previous footnote.
7. After receiving the advice of the Tenured/Tenure Track Faculty Senators Council Grievance Faculty Council Committee, the President and the Chancellor of the University and Executive Vice President for Academic Affairs shall decide the case and notify the grievant, the dean, and the Chairperson of the Tenured/Tenure Track Faculty Senators Council Grievance Faculty Council Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision.

8. If the dean’s decision is favorable to the faculty member and hence is not appealed and the Office of the Chancellor of the University and Executive Vice President for Academic Affairs reverses that decision without seeking the advice of the Tenured/Tenure Track Faculty Senators Council/Grievance Faculty Council Committee as described in B-1 through 7, the faculty member may then invoke the appeal procedure.

C. Appeal from a Dean’s Decision on Matters Such as Duties, Salaries, Perquisites, and Working Conditions (A-2 above)

Where such an appeal is desired by a faculty member and the Chancellor of the University and Executive Vice President for Academic Affairs is so informed within 15 days after the member is notified of the decision, the Central Administration shall make informal procedures available.

Appeal from the dean’s decision can be made only on the same grounds as in B-1 above.

D. Copies of the Grievance Procedures

A copy of the school’s grievance procedure and of this appellate procedure should be given to each full-time faculty member.

Retirement

Retirement of Tenured Faculty and Tenured Librarians [Bylaw 9186]

“The tenure rights of Tenured Faculty officers of instruction and librarians who have attained tenure will cease August 31 of the academic year, September 1 to August 31, in which they give notice of their intention to retire from active service, unless an alternative effective date is agreed upon, and there shall be no presumption of reappointment thereafter.”

Professor Emerita; Professor Emeritus

The titles of Professor Emerita and Professor Emeritus are given only to full professors who have served New York University with academic distinction for a long enough time prior to retirement to have become identified historically in the profession as New York University professors. This title is given only upon formal retirement from active service, or at least from full-time active service. It is not automatic; it must be recommended by a department and approved through the normal procedures applicable to other academic titles. Comparable principles apply to the use of the designation Emerita and Emeritus for administrative personnel.
FACULTY POLICIES APPLICABLE TO FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY

Appointment, Reappointment, Promotion and Performance Assessment

The core principles and procedures for hiring, reappointment, promotion and performance assessment are found in the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty Appointments. In addition, Schools and units have their own internal rules, procedures, and policies, which may supplement the University Guidelines – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

Grievances Related To Reappointment and Promotion

The basic processes related to grievances related to reappointment and promotion are found in the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty Appointments. In addition, Schools and units have their own internal rules, procedures, and policies, which may he University Guidelines – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.
SELECTED UNIVERSITY RESOURCES FOR FACULTY

Libraries

NYU Libraries is an 11-library, 5.9 million volume system whose flagship is the Elmer Holmes Bobst Library on Washington Square. To learn more about the extensive resources and services available to faculty and students throughout NYU’s global network, please visit the Libraries.

New York University Press

New York University Press publishes over 110 new books each year with nearly 3,000 titles in print. NYU faculty members are highly encouraged to submit book manuscripts in those disciplines where the Press is actively publishing: anthropology, criminology, cultural and American studies, environmental studies, law, media studies and communication, politics, religion, and sociology. While the Press considers manuscripts from scholars everywhere, it gives particular attention to the work of NYU faculty members.

Office of University Relations and Public Affairs

The Office of University Relations and Public Affairs (URPA) is responsible for ensuring that the University’s message, agenda, and image are effectively and creatively projected to external and internal audiences. URPA provides assistance to NYU academic and operating units in dealing with the media; publications needs, both online and print; interaction with government at all levels; planning major events; and outreach to the community, including student volunteer efforts.

Office for University Development and Alumni Relations

The Office of Development and Alumni Relations (UDAR) is dedicated to soliciting the private funds necessary to support the strategic goals of the University in teaching, learning and research. UDAR raises funds for immediate University use and also for the University's endowment for such critical operations as student aid, faculty support, academic and research program development, and facilities and infrastructure. Alumni may access the Alumni site for alumni news and information about benefits and events.

Office of Faculty Resources

The Office of Faculty Resources (OFR) which is based in the Office of the Provost, helps faculty navigate various programs and all the services that NYU has to offer them. Faculty can find information on programs and departments that assist in the pursuit of teaching, research, funding, or simply living and working in New York City. Visit the Office of Faculty Resources.

Resources and Support Offices for Research

A number of University offices are dedicated to directing and supporting faculty research, including externally sponsored research. These include the Office of Sponsored Programs (OSP), Contract Office, Environmental Health and Safety, Entrepreneurial Institute, Government Affairs & Civic Engagement, Government Affairs and Civic Engagement, Office of Industrial Liaison/Technology Transfer, Office of Postdoctoral Affairs, Office of Veterinary Resources, Sponsored Programs Administration (SPA), University Animal Welfare Committee, and University Committee on Activities Involving Human Subjects. NYU provides a large number of institutional funding opportunities, research residencies through the Provost's Global Research Initiatives program, and international research programs at the portal campuses and research institutes of NYU Shanghai and NYU Abu Dhabi.

The Administration of Sponsored Research and Training
As part of its activities as a major research institution, New York University provides services to the academic community in support of research, training, and related activities carried out with funding from public, private, non-profit, and voluntary health agencies. The Office of Sponsored Programs (OSP) serves New York University faculty, excluding the School of Medicine, and Sponsored Programs Administration (SPA) serves the School of Medicine faculty.

**Office of Sponsored Programs — Washington Square Campus**

OSP is staffed by Projects Officers knowledgeable about funding opportunities in a wide range of academic fields and experienced in working with external sponsors. They assist in the following areas:

- Identify appropriate sponsors and interpret guidelines;
- Develop budgets and fulfill application requirements;
- Review for consistency with institutional and sponsor guidelines;
- Act as liaison between investigators and governmental agencies in the negotiation of awards; and
- Provide guidance to investigators in managing projects administration. OSP also functions as the University’s research compliance office by:
  - Identifying new regulatory requirements;
  - Negotiating federal assurances and staffing institutional review committees;
  - Developing institutional policy and procedures for the protection of human subjects, conflict of interest, and misconduct in science; and
  - Supporting the University’s obligations under its Assurance covering the use of animals in research.

OSP manages two institutionally-funded research programs:

- New York University Research Challenge Fund, an annual competitive program; and
- University Scientific Instrumentation Costsharing Fund, which offers costsharing for proposals to external research equipment programs requiring it.

To keep the University community informed, OSP maintains a website which contains:

- News and developments of interest to researchers;
- A deadline calendar (also distributed in hard copy);
- Guidelines for NYU’s internal research competitions;
- Principal Investigator’s Guide to Preparing and Submitting Proposals;
- Human Subjects’ Review Information; and
- Links to funding agencies and online application forms.

OSP also publishes an Award Listing to assist potential sponsors in identifying other faculty members working in compatible areas of interest, and detailed announcements of specific program opportunities. The office maintains a library of sponsor guidelines and application materials as well as guides to proposal development. For additional guidance in the process of applying for externally sponsored programs, OSP has available an overview of University policies and procedures regarding the generation and operation of funded programs by members of the University community, as well as specific information on personnel policies applicable to sponsored research and training personnel.

See the NYU Public Directory for contact information.

**Sponsored Programs Administration — Medical Center**
Sponsored Programs Administration (SPA) provides specialized services for the scientific community at the New York University School of Medicine. SPA provides individual consultation to assist faculty in obtaining funding for research, public service, and training activities at the School of Medicine.

SPA staff members utilize web-based tools to help faculty find funding, prepare and submit applications. Faculty can work with experienced SPA staff to perform specialized searches for funding using online databases. NYU School of Medicine faculty have access to electronic research administration via the SPA Home Page. The home page features announcements of new funding opportunities from both federal and non-federal agencies, comprehensive deadline calendars, links to federal and non-federal sponsors, online NYU School of Medicine grant forms, and application forms for external sponsors.

Sponsored Programs Administration coordinates four internal research grant programs. The Research Bridging Support Program provides support to faculty who experience a hiatus in extramural support. The Scholars Program identifies prominent award programs, and works closely with selected candidates to submit competitive applications. The R01/R21 Incentive Program considers support for unsuccessful new (rather than competing continuation) applications for these NIH grant mechanisms that have received favorable critiques but were never funded. The program provides funds for the completion of necessary experiments, the collection of essential data, or the maintenance of essential laboratory infrastructure deemed necessary to address application critiques and move unfunded grant applications into the fundable range on subsequent submissions. A fourth initiative supports efforts to develop research teams that will be competitive in applying for large (over $700,000 direct costs per year), multi-investigator research grants such as Program Projects, Center Grants, and SPORES.

Sponsored Programs Administration is responsible for confirming compliance with the requirements of regulatory agencies and sponsors as well as serving as liaison to funding agencies in negotiating awards and contracts. The Senior Associate Dean for Research Administration oversees the review and institutional approval of applications submitted on behalf of the NYU School of Medicine.

See the Sponsored Programs Administration Home Page for contact information.

Faculty Resource Network

NYU’s Faculty Resource Network (FRN), established in 1984, is an award-winning professional development initiative that sponsors programs for faculty members from a consortium of over 50 colleges and universities, which are designed to improve the quality of teaching and learning at its member and affiliate institutions.

The Faculty Resource Network (FRN) at New York University was established in 1984 to address the challenge faced by small liberal arts institutions in providing their faculty members with professional development opportunities in the face of limited human and financial resources. Today, the Network is an award-winning, nationally recognized faculty development initiative involving over 16,000 faculty members who teach more than 200,000 undergraduate students at a broad cross-section of colleges and universities across the country. Member institutions include NYU and 41 liberal arts colleges and universities spanning 18 states, from New York to Louisiana to Hawaii, as well as the Commonwealth of Puerto Rico. Among these members are 15 historically black colleges and universities and 3 Hispanic-serving institutions, including the University of Puerto Rico system. The FRN also is linked closely with the Leadership Alliance consortium, based at Brown University.

All of the Network’s programs are value-added: built into each program are sessions on curriculum and course development, as well as dissemination activities. Thus, faculty participants not only work on their own projects and acquire new knowledge and skills while participating in Network residencies, seminars,
workshop programs, and symposia, but also are expected to develop new, practical and effective curricula and course modules for implementation at their home institutions, and to disseminate information about new research and pedagogical techniques and tools among their colleagues and students.

New York University faculty members may participate in Network programs in a variety of ways. For further information, check the website or contact the Faculty Resource Network offices at (212) 998-2090 or by email at frn@nyu.edu.

The Center for the Advancement of Teaching Excellence

Established in 2001, and renamed in 2013, the Center for the Advancement of Teaching supports and nurtures effective teaching and learning at New York University, providing practical resources to members of the NYU community to enhance their effectiveness in the classroom.

The Center for Teaching Excellence

The Center for Teaching Excellence began in 1992 as a presidential commission dedicated to Enhancing the Quality of Undergraduate Academic Life (EQUAL). This commission was created by the Office of the President in response to University Senate recommendations endorsing a University-wide effort to improve faculty-student relations and promote teaching effectiveness. For further information, faculty members may contact the Center at 998-2200 or through its website.

Visiting Scholars Program

The program for visiting scholars, visiting research professors, and visiting exchange professors extends specified courtesy titles and privileges to scholars of distinction who visit New York University in order to engage in research and scholarship, and in general scholarly and cultural interaction with New York University’s faculty and students. The courtesy titles may not be granted for the purpose of providing free courses or other privileges to graduate or post-graduate students, or for the sole purpose of providing library privileges.

Visiting scholars, visiting research professors, and visiting exchange professors are considered guests of the University who may visit for a temporary period of up to one year (renewable). As non-employees, they have no teaching or other responsibilities and are not entitled to salary or housing. Visiting scholars, visiting research professors, and visiting exchange professors covered by this program may not in any way perform in the role of an employee at New York University. For further information, faculty members may contact their Dean’s Office and can view the Visiting Scholar application form. (see the NYU Public Directory for contact information).
The Students

THE ADMINISTRATION OF STUDENT AFFAIRS

Each school makes provisions for the organization, conduct, and supervision of intraschool student affairs including its own student government and student service groups. The Student Senators Council, acting with the University Committee on Student Life, has special responsibilities for studying and making recommendations in areas of student concern.

The University also offers a wide range of extracurricular activities, programs, and support services for students under the jurisdiction of the Senior Vice President for Student Affairs. When relevant issues or problems arise in working with students, faculty members may find useful resources and expertise in the following areas listed below:

To help a student in trouble, faculty can contact Helping Someone in Trouble at https://www.nyu.edu/life/safety-health-wellness/wellness-exchange/helping-someone-in-trouble.html

The New York Division of Student Affairs encompasses the following offices and services:

- Athletics, Intramurals and Recreation at http://www.gonyuathletics.com/
- Student Resource Center at https://www.nyu.edu/life/resources-and-services/student-resourcecenter.html
- Wasserman Center for Career Development at https://www.nyu.edu/life/resources-and-services/career-development.html
Student Health, including
Student Health Center at https://www.nyu.edu/life/safety-health-wellness/student-health-center.html

Henry and Lucy Moses Center for Students with Disabilities at https://www.nyu.edu/life/safety-health-wellness/students-with-disabilities.html

Health Promotion at https://www.nyu.edu/life/safety-health-wellness/student-health-center/services/health-promotion.html

Live Well NYU at https://www.nyu.edu/life/safety-health-wellness/live-well-nyu.html

Counseling and Wellness Services at https://www.nyu.edu/life/safety-health-wellness/student-health-center/services/mental-health.html


Student Services at NYU Abu Dhabi and NYU Shanghai


Information is available for NYU Shanghai at http://shanghai.nyu.edu/campus-life/ss.

Office of Housing and Residence Life

University Counseling Service

University Health Center

Office of Student Life

Henry and Lucy Moses Center for Students with Disabilities
Office of African-American, Latino, and Asian-American Student Services
Office of Career Services
Office of International Students and Scholars
Office of Student Activities
Office of Drug and Alcohol Education
Office of Lesbian, Gay, Bisexual, and Transgender Student Services
Student Employment and Internship Center

The Office of Student Life also coordinates All-University Orientation, the Human Relations Committee, the Parents Helpline, and Parents Day activities, as well as a strong peer education program and leadership training activities. This office produces the Student’s Guide to NYU and the Faculty Guide to Student Services at NYU.

For further information, contact the appropriate school-specific office or the Office of the Vice President for Student Affairs (see the NYU Public Directory for contact information). For the School of Medicine, contact the Office of the Dean (see the NYU Medical Center Telephone Directory).

Academic Discipline
University Bylaw 77-80 provides that “the power of suspending or dismissing a student in any college or school is lodged with the voting faculty of that school, but the President and Chancellor or the dean of a college or school, or their respective representatives, may suspend a student pending the consideration of his or her case by his or her faculty. The Senate shall have power to act in situations involving more than one college or school.” In general, each school handles breaches of academic discipline, such as plagiarism or cheating on examinations. Matters involving breaches of the peace or disruptive disturbances may come within the jurisdiction of the Faculty or the Senate, depending on the nature of the circumstances. The Senate has approved a “Statement of Policy on Student Conduct at New York University” and the “Student Disciplinary Procedures”, as well as a general set of “New York University Rules for the Maintenance of Public Order”. For further information, contact the Dean’s Office in the appropriate school or the Office of the Vice President for Student Affairs.

Student Press

The general undergraduate newspaper is the Washington Square News, published daily and available free of charge throughout the Washington Square campus online at http://www.nyunews.com and through a smartphone app.

Privacy of a Student’s Educational Records

Among its several purposes, the federal Family Educational Rights and Privacy Act of 1974 (FERPA) was enacted to protect the privacy of a student’s education records, by limiting access to student records and the disclosure of information contained in them, to establish the rights of students to inspect and review their education records, and to provide students with an opportunity to have inaccurate or misleading information on their education records corrected. See “Guidelines for Compliance with the Family Educational Rights and Privacy Act of 1974”.
Selected University Policies

SELECTED POLICIES CONCERNING THE PROTECTION OF RIGHTS AND OTHER MATTERS

NYU Code of Ethical Conduct
NYU Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees
Affirmative Action Policy/Equal Opportunity Policy
Preventing Threatening or Violent Behavior in the Workplace
Legal Protection for Faculty Members
Procedures for Termination or Reorganization of Academic Programs
Policy on the Employment of Members of the Same Family
University Practice with Respect to Memberships and Subscriptions
Guidelines for Compliance with the Family Educational Rights and Privacy Act (FERPA)
Guidelines for Sponsored Research
Principles and Procedures for Dealing with Allegations of Research Misconduct
Policy on Academic Conflict of Interest and Conflict of Commitment
Statement of Policy on Intellectual Property
Educational and Research Uses of Copyrighted Materials Policy Statement
Statement of Policy on Honorary Degrees
University Calendar Policy on Religious Holidays

SELECTED POLICIES CONCERNING GOOD ORDER IN THE CONDUCT OF UNIVERSITY AFFAIRS

Guidelines for the Use of University Facilities
New York University Rules for the Maintenance of Public Order
Statement of Policy on Student Conduct at New York University
Student Disciplinary Procedures
Policy on Solicitation
Speakers and Other Campus Visitors
Guidelines Regarding Protest and Dissent
New York University Policies on Substance Abuse and Alcoholic Beverages
University Smoke Free Campus Policy
FACULTY HANDBOOK

NEW YORK UNIVERSITY
A private University in the Public Service

DRAFT February 9, 2015

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In accordance with the Foreword, Procedures for Amending the Faculty Handbook, this edition of the Faculty Handbook was reviewed by the Tenured/Tenure Track Faculty Senators Council and the Full-Time Non-Tenure Track/Contract Faculty Senators Council, each of which provided input.
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    - Title I: Statement in Regard to Academic Freedom and Tenure
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    - Title III: Rules Regulating Proceedings to Terminate for Cause the Service of a Tenured Member of the Teaching Staff, Pursuant to Title I, Section VI, of the Statement in Regard to Academic Freedom and Tenure
    - Title IV: General Disciplinary Regulations Applicable to Both Tenured and Non-Tenured Faculty Members
  - Additional Faculty Policies Applicable to Tenured and Tenure Track Faculty
    - Sabbatical Leave
    - Tenure Clock Stoppage for Personal Reasons
Faculty Grievance Procedures
Retirement

POLICIES APPLICABLE TO FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY
Appointment, Reappointment, Promotion, and Performance Assessment
Grievances Related to Reappointment and Promotion

SELECTED UNIVERSITY RESOURCES FOR FACULTY
Libraries
New York University Press
University Relations And Public Affairs
Office for University Development and Alumni Relations
Office of Faculty Resources
Resources and Support Offices for Research
Faculty Resource Network
Center for the Advancement of Teaching
Visiting Scholars Program

The Students

THE ADMINISTRATION OF STUDENT AFFAIRS
The New York Division of Student Affairs
Student Services at NYU Abu Dhabi and NYU Shanghai
Academic Discipline
Student Press
Privacy of a Student’s Educational Records

Selected University Policies

SELECTED POLICIES CONCERNING THE PROTECTION OF RIGHTS AND OTHER MATTERS

NYU Code of Ethical Conduct
NYU Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees
Affirmative Action Policy/Equal Opportunity Policy
Preventing Threatening or Violent Behavior in the Workplace
Legal Protection for Faculty Members
Procedures for Termination or Reorganization of Academic Programs
Policy on the Employment of Members of the Same Family
University Practice with Respect to Memberships and Subscriptions
Guidelines for Compliance with the Family Educational Rights and Privacy Act of 1974
Guidelines for Sponsored Research
Principles and Procedures for Dealing with Allegations of Research Misconduct
NYU Policy on Academic Conflict of Interest and Conflict of Commitment
Statement of Policy on Intellectual Property
Educational and Research Uses of Copyrighted Materials Policy Statement
Statement of Policy on Honorary Degrees
University Calendar Policy on Religious Holidays

SELECTED POLICIES CONCERNING GOOD ORDER IN THE CONDUCT OF UNIVERSITY AFFAIRS

Guidelines for the Use of University Facilities
New York University Rules for the Maintenance of Public Order
Statement of Policy on Student Conduct at New York University
Student Disciplinary Procedures
Policy on Solicitation
Speakers and Other Campus Visitors
Guidelines Regarding Protest and Dissent
Policies on Substance Abuse and Alcoholic Beverages
University Smoke Free Campus Policy
Introduction

LETTER FROM THE PRESIDENT

I have the great privilege of greeting you as president and professor of New York University. In both capacities, I salute you for intellectual endeavor of the highest order—in the classroom, laboratory and beyond—mentoring and advising graduate and undergraduate students. In all this and more, you internalize our collective interest as part of your own interests and thereby embrace the notion of a common enterprise university. For the inescapable challenge of stating, debating, and renewing the purpose of such a university demands that all faculty act as true partners, each contributing to the university's self definition as it emerges over time.

At the core of every great institution of learning is its faculty. And you join us at an exciting time in the University’s long and distinguished history. We are at a threshold moment, for we have chosen to transform our institution from one of the leading research universities in the world into an institution that will establish a new level of educational excellence. You are at the core of that effort, and we will not compromise in our ability to secure the best possible talent to join you as we build an institution of unique stature.

President John Sexton
ETHICAL COMMITMENT

New York University has a strong institutional commitment to lawful and ethical behavior, and a fine reputation, which its faculty members have earned over the years. This is one of the University’s most valuable assets. In an increasingly complex world, the University can maintain its leadership in education and research only if it continues to merit the trust of its entire constituency.

All New York University faculty and employees are expected to carry out their institutional responsibilities in accordance with applicable legal and ethical principles. If any questions arise about how the University’s principles, standards, or policies apply, they should be brought to the attention of the appropriate dean or University administrator.

Please refer also to the “NYU Code of Ethical Conduct”.
FOREWORD

(Approved by the University Board of Trustees on March 14, 2014 and February 19, 2015)

Purpose of Handbook

The Faculty Handbook is a guide to the Faculty and is designed to present general information about New York University, and some of the more important University policies and practices as they apply to the Faculty of the University. It also is meant to inform and serve other members of the University Community. The Handbook is maintained by the Office of the Provost. It has been compiled from a number of sources. Significant portions of the Handbook have been adopted by, or reflect actions of, the University’s Board of Trustees, including, among others: the excerpted portions of the University’s Charter and Bylaws; matters involving the Faculty organization, academic freedom, tenure, appointment of Faculty, and grievance procedures; the establishment of University Councils and Committees; and key policies, including the NYU Code of Ethical Conduct, Policy on Academic Conflict of Interest and Conflict of Commitment, and Statement of Policy on Intellectual Property. Portions of the Handbook provide an overview of the University and its administrative offices, libraries, and student affairs. The Handbook also provides hyperlinks to Selected University Policies, which represent a broad array of policies, including policies that principally affect Faculty and policies that may be of interest to Faculty but that apply broadly throughout the University Community.

The policies outlined in the Faculty Handbook as in effect from time to time form part of the essential employment understandings between a member of the Faculty and the University. Policies beyond those referenced in the Handbook are available here. In addition, Schools and units have their own internal rules, procedures, and policies, such as School statements on Faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement—but do not supersede or replace—policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

Amending the Faculty Handbook

Whenever the University Senate, a University Council, a Dean, or Faculty of a School (which includes a College or equivalent institute for purposes of this Handbook) seeks to propose changes to the Faculty Handbook, the body or person should first contact the Office of the Provost. The Provost (or his or her designee) will ascertain, based on the nature of the proposed change, whether the matter may be handled solely within the Office of the Provost, or whether the matter falls within the purview of the Office of the President of the University (which includes for this purpose all departments reporting directly or indirectly to the President other than those that report up through the Office of the Provost) and/or the Board of Trustees. In the event that the matter is within the purview of the Office of the President, the Provost (or his or her designee) will submit a recommendation to the President (or his or her designee) with respect to the proposed change. If the matter is within the purview of the Board of Trustees, the Provost (or his or her designee) will submit a recommendation to the President as to whether the President should present the matter to the Board for its consideration. Nothing in this Handbook constrains the Board of Trustees from making changes to this Handbook with respect to any matter, and in the manner, it finds appropriate in carrying out its duties; and administration will notify the executive leadership of the Tenured/Tenure Track Faculty Senators Council and the Full-Time Non-Tenure Track/Contract Faculty Senators Council if the Board of Trustees makes any change to the Faculty Handbook.
To clarify the history of the Faculty Handbook or a policy included in the Faculty Handbook, the Provost’s Office will maintain an on-line resource available to the Senate, the University Councils, the Deans, and Faculty of the Schools with the following information: state whether the provision or policy ultimately was promulgated by the Board of Trustees, the Office of the President, or the Office of the Provost; specify when a Senate or a Council comprising the Senate had the opportunity to review and comment on the provision or policy; and set forth the effective date of the provision or policy.

The administration of the University consults with the two Faculty Senators Councils with respect to additions and changes that it seeks to make to the Faculty Handbook, including changes to policies provided only by hyperlinks, before inclusion in the Faculty Handbook other than in exceptional circumstances. Consistent with the Principles of Joint Shared Governance, this includes the administration providing a reasonable length of time for consultation and input by the Faculty Senators Councils; and, where the administration does not agree with written advice it receives from either or both Faculty Senators Councils, the administration providing in writing, and in a timely manner, its reasoned justification for not accepting the advice. If an addition or change to the Faculty Handbook is made before either or both Faculty Senators Councils review the addition or change, the addition or change is considered effective; however, the administration will provide an explanation to either or both of the executive leadership of the Faculty Senators Councils, and the table of contents and text will indicate that the matter is still being reviewed by either or both Faculty Senators Councils.

Important Additional Information

The separate schools and colleges will supplement this text with information on local procedures and day-to-day operations, consistent with University Bylaws, this Handbook, and University Policies. Some schools have written statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, supplementing policies outlined in this Faculty Handbook. It is important to become familiar with these policies and procedures. Department chairs or deans should be contacted for more information.

Contact information is available on-line through the NYU Public Directory and the directories of the individual schools, which provide contact information for particular offices and services, as well as for individual faculty members. It should be noted that many administrative departments have policies, consistent with the rules of the Handbook, which affect the operations of those departments, as well as the privileges and responsibilities of faculty members. These are available through the individual schools and departments and may be posted on their websites. Faculty should become familiar with this array of policies as necessary and appropriate.

1 The Faculty Handbook includes a substantial amount of descriptive material (e.g., the history of the University, excerpted portions of the University Charter and Bylaws, information about the University’s officers, information about the University Senate and its Councils and Committees, information about the Libraries and the University Press, information about administrative departments of the University such as University Relations and Public Affairs, the Office for University Development and Alumni Relations, and the Office of General Counsel, information about benefits, selected University resources available to faculty, and information about student affairs). It also includes hyperlinked policies. There will be changes from time to time to these materials that have little or no effect on faculty with respect to educational and administrative policy and often are quite minor. In such cases, changes may be made to these materials without prior consultation with the Faculty Senators Councils. The administration will promptly notify the executive leadership of either or both Faculty Senators Councils of any such changes; and if, after receiving such notification, either or both Faculty Senators Councils believe that they should have an opportunity to review and comment on the changes, they should so notify the Office of the Provost and also may ask that the table of contents and text indicate that the matter is still being reviewed by the Faculty Senators Council(s). The addition or change is considered effective unless subsequently changed.
It is expected that this Handbook will be brought up to date periodically and that a version will be created for and kept up to date on the NYU web site. A faculty member may verify information cited in this Handbook with the Dean’s Office.
APPLICATION OUTSIDE OF THE UNITED STATES

The University Policy on Policies provides: “University policies articulate the values and principles the University upholds and the obligations imposed on members of the University Community. Thus, University policies apply in connection with the operations and activities of the University regardless of location. As a Global Network University that operates in an expanding international environment, the University will encounter varying laws and business practices as it conducts its affairs outside the United States. To the extent that a University policy or a provision of a policy conflicts with the laws in another country, the University seeks to comply with the laws of the jurisdiction in connection with its operations and activities in that jurisdiction. However, differences between University policy and foreign laws may not be self-evident and can be complex. Therefore, whenever there is a question regarding the University’s legal responsibilities at locations outside the United States, the University’s Office of General Counsel must be consulted to evaluate the University policy in the context of foreign laws and to advise on the appropriate course of action. Affiliates are encouraged to use the standard policy format to help ensure uniformity of form and appearance for policies and procedures throughout the University. Their policies or procedures may not be contrary to University policies in language, purpose, intent or application. Any such policy that is contrary to University policies is void and will not be enforced unless approved in advance by the University President or his/her designee.”
The University

HISTORY AND TRADITIONS OF NEW YORK UNIVERSITY

A Brief History of New York University

Founded in 1831 by a farsighted group of prominent New Yorkers, the “University of the City of New-York” (as NYU was originally known) was envisioned from the start as something new: an academic institution metropolitan in character, democratic in spirit, and responsive to the demands of a bustling commercial culture.

The group of founders—which included former Secretary of the Treasury Albert Gallatin—envisioned a non-denominational institution that would be “a social investment and a direct response to the needs of the rising mercantile classes in New York,” intended both for those students “who devote themselves to scientific or literary pursuits,” and for those preparing for “the learned professions, commerce, or the mechanical and useful arts.”

In October 1832, the first classes began in rented quarters located downtown near City Hall, in contemporary subjects such as architecture, civil engineering, astronomy, chemistry, sculpture, painting, English and modern languages, as well as classical Greek and Latin.

After a search for a permanent home, the University Council purchased the northeast block of Washington Square East for $40,000, and a handsome Gothic building was built there in 1835. The University Building, as it was known, offered an urbane mix of academic spaces on its lower floors and rental apartments above—rooms and studios whose extraordinary roster of tenants included the artist Winslow Homer, the inventors Samuel F.B. Morse and Samuel Colt (who perfected the electric telegraph and revolver there, respectively), and the architects A.J. Davis and Richard Morris Hunt.

Throughout the 19th century, the University suffered from financial problems and an undergraduate enrollment that never exceeded 150 students. However, though the undergraduate program struggled to fulfill the vision of its founders, NYU’s professional and graduate programs—in law (1835), medicine (1841), dentistry (1865), arts and sciences (1886), and education (1890)—were a success from the start, contributing to New York’s stunning commercial rise and serving as an engine of upward mobility for thousands of native-born and immigrant New Yorkers.

In the late 19th century, under the leadership of Chancellor Henry Mitchell MacCracken, the university advanced significantly, drawing together its far-flung schools under central control and attracting a more business-like Board of Trustees and donors. In what he called a “second founding,” MacCracken moved the undergraduate schools of arts and science and engineering to an entirely new campus in the Bronx, on a bluff overlooking Manhattan—a stunning second home for what was now known by a new name: New York University.

Having moved nearly all of its undergraduates to the new Bronx campus, NYU turned Washington Square into a bustling center for graduate and professional training—including one of the country’s first university-affiliated business schools (1900)—to serve what had become the undisputed commercial capital of America and the second-largest city in the world.

Then, in 1914, NYU made the decision to establish an additional undergraduate program downtown that would serve commuter students. Called Washington Square College, it offered an education to nearly all qualified students, regardless of background. With students who were “famished...for knowledge, any
kind of knowledge,” and a young and creative faculty, Washington Square College was, in one professor’s later words, “the most exciting venture in American education that I had ever heard of.”

As enrollments exploded—from 500 students in 1919 to more than 7,000 by 1929—NYU scrambled to hire instructors. Among them was a young writer named Thomas Wolfe, who, while working on his first novel, *Look Homeward, Angel*, taught English from 1924 to 1930. There is “no other way in which a man coming to this terrific city,” he wrote, “could have had a more…stimulating introduction to its swarming life, than through the corridors and classrooms of Washington Square.”

A number of new graduate schools complemented NYU’s undergraduate growth: the College of Nursing (1932), the Institute of Fine Arts (1933), the Courant Institute of Mathematical Sciences (1934), and new colleges in continuing education (1934; now the School of Professional Studies) and public service (1938), the latter founded with the encouragement of Mayor La Guardia, himself an NYU alumnus.

NYU had taken on a role like no other private university in American history: a vast educational machine, by which tens of thousands of upwardly mobile New Yorkers—most of them Jewish and Catholic students, from working and middle-class families—could receive college-level training and move into the professions or business. With the largest private enrollment in the country—an astonishing 47,000 students by 1939—NYU had in many ways become the great urban university its founders dreamed of.

The postwar decades were a period of continued growth for NYU, as returning GIs swelled the student body even further; schools of social work (1960), the arts (1965), and individualized study (1972) were added; and plans were made under the leadership of President James Hester to construct the university’s first central library.

By 1973, however, as New York City reeled from years of rising crime and financial troubles and enrollments declined, NYU—which had been running annual deficits since 1964—reluctantly sold its Bronx campus in order to regain solvency.

These difficulties had one very positive result: they provided the opportunity to make a sweeping assessment of NYU’s future. The university had been founded on the two ideals of democratic promise and academic excellence. Since the 1920s, NYU had been fulfilling its democratic promise as no other private university in America; now, emerging from the crises of the ‘70s, it daringly sought to fulfill its founders’ other dream—to transform itself from a respected metropolitan institution to a global seat of learning, in the top tier of world universities.

Throughout the 1970s, NYU gradually regained firm financial footing and began to improve the quality of its faculty, strengthen the curriculum, and establish more stringent admissions requirements. By the early 1980s, with the university’s financial health restored and New York itself emerging at last from decades of social and economic troubles, NYU was poised for a new era of growth.

In 1984, seeking to achieve what its recently appointed president, John Brademas, called “a new position of eminence in American higher education,” NYU undertook one of the first billion-dollar capital campaigns in academic history. Raising two million dollars a week for five hundred weeks, the university reached its goal in only ten years—five years ahead of schedule. President Brademas’s tenure also saw the transformation of Washington Square from a largely commuter campus into a residential one, with extensive construction and renovation of residence halls.

In 1991, NYU’s chancellor, L. Jay Oliva, was tapped as the university’s new president. Under President Oliva—a historian who had spent his entire academic career at NYU—the pace of advancement continued without stop. One of his primary goals was to ensure that the fast-rising stature of the
professional schools and arts divisions were matched by an equivalent commitment to the humanities and social science departments—many of which are now ranked among the best in the world.

President Oliva also oversaw a major growth in international studies, drawing record numbers of international students and scholars to NYU and establishing more study-away sites abroad. In 1994, NYU’s global presence gained a powerful centerpiece when Sir Harold Acton bequeathed Villa La Pietra, a 57-acre estate in Florence—at the time the largest single gift made to an American university.

By the end of the millennium, the university had accomplished the near-impossible, dramatically raising the academic rankings, professional stature, and student selectivity of nearly every one of its divisions and departments. As one scholar wrote in 2003, NYU was “the success story in contemporary American higher education.”

Under John Sexton, who became president in 2002 after coming to NYU as a faculty member and then serving as dean of the Law School, NYU’s reach and stature have grown still further, securing its position as one of the world’s premier research universities and a global leader in higher education in the 21st century.

Early in President Sexton’s tenure, the university identified a key strategic priority: the need to expand, strengthen, and energize the arts and sciences, the academic core of the university. From 2004 to 2009, the Partners program—led by a gift of $60 million from six trustees and matched by another $150 million in university funds—resulted in the most rapid expansion of NYU’s faculty in its history. With 125 positions added to the arts and science faculty—an increase of some 20 percent—and significant renovations made to academic facilities, the Partners program had a transformative effect on scores of academic departments.

Another recent academic milestone has been the re-establishment of engineering at NYU for the first time since the sale of the Bronx campus in the 1970s. After beginning a successful affiliation with Brooklyn’s Polytechnic University in 2008, a full merger between the two schools resulted in the creation of the NYU Polytechnic School of Engineering in 2014.

The past decade has seen the founding of several prominent institutes and centers as well, including the Institute for the Study of the Ancient World (2006), the Center for Urban Science and Progress (2012), and the Global Institute of Public Health (2012).

A signature of President Sexton’s tenure has been the creation of a new model of university: the global network university. Building on the international presence it established in the 20th century, NYU in the 21st century added more global academic centers, with a particular focus on expanding outside of Europe to locations such as Accra and Buenos Aires. Then, in 2010, in what President Sexton termed “an audacious step in higher education,” the university opened NYU Abu Dhabi, the first comprehensive liberal arts campus in the Middle East to be operated by an American research university. A second campus, NYU Shanghai, followed in 2013. Today, with its three campuses in New York, Abu Dhabi, and Shanghai and 11 academic centers on six continents, no university has a greater global presence.

In 1831, NYU’s founders chose to create an institution of learning that would be “in and of the city.” In the ensuing years, New York City has become the world’s first truly international city, and NYU has evolved with it. NYU’s more than 44,000 students and 4,500 faculty members are uniquely positioned to shape the 21st century as creative, thoughtful, engaged citizens. They learn and teach at what has become one of the world’s premier institutions of higher learning. They draw from and contribute to the inexhaustibly rich complexity of New York City. And, as they circulate throughout the global network, they build cultural bridges and perspectives that are critical in an ever-more global society. Still vitally “in and of the city,” NYU is now, too, “in and of the world.”
University Traditions

The official seal of New York University combines a silver ceremonial “torch of learning,” which is carried in formal academic processions, with a group of four running figures symbolizing effort or striving in the pursuit of learning. The seal carries the Latin motto “Perstare et Praestare,” which is generally translated as “to persevere and to excel.” The origin of the University color, violet, is obscure. It may have been chosen because in years gone by violets are said to have grown abundantly in Washington Square and around the buttresses of the original university building. On the other hand, it may have been adopted because the violet was the flower associated with Athens, that center of learning in the ancient world, and was thus regarded as an appropriate symbol of education and knowledge.

For more than a century, NYU athletes have worn violet and white colors in competition, and have carried the resulting nickname – the Violets – with pride. While a student dressed as a violet served as the school mascot for a brief time in the 1980s, it was decided that the flower did not instill great awe or foreboding in NYU’s opponents. A new mascot was conceived from the name of the Bobst Library card catalog, or Bobst Catalog. Today, the Bobcat mascot symbolizes both NYU’s academic and athletic traditions.
ORGANIZATION AND ADMINISTRATION

The University Charter

New York University, as an educational corporation of the State of New York, derives its powers from a charter granted by act of the State Legislature in 1831. The original charter has been amended from time to time.

The line of authority in the administration of the University may be viewed as proceeding from the Board of Trustees to the President and Chancellor of the University. The Provost of the University is the senior assistant to the President and Chancellor in all academic matters.

The academic administration of the University is shared by University officers and administrators, school and departmental officers, the faculties of the several schools, the University Senate, and various University and inter-school councils and commissions.

The Board of Trustees

The University is governed by a Board of Trustees consisting of up to seventy individuals, most of whom are former students of the University. Certain Trustees are specifically designated as Alumni Trustees and others are designated as Young Alumni Trustees. All Trustees serve six-year terms other than Young Alumni Trustees who serve three-year terms. Trustees are eligible for reelection at the end of a term in office except that Alumni Trustees are limited to one term in that category and Young Alumni Trustees are limited to two terms in that category. Terms are staggered so that approximately one-sixth of the Board is elected each year. The Trustees have enacted Bylaws that outline the basic structure of the University and determine the principal officers and agencies that will deal with its affairs.

The Board of Trustees holds an annual meeting each October and meets at least three other times during the year. At the annual meeting in October, the Trustees elect their own officers, who serve until the next annual meeting and are eligible for reelection at the end of a term except that the Chair of the Board serves a four-year term and is eligible to be reelected for only one additional term. Between meetings, the Executive Committee has broad authority to act for the Board. Other standing committees are the Academic Affairs Committee, Alumni Affairs and University Life Committee, Audit and Compliance Committee, Committee on Trustees, Committee on Online Education and Technology, Compensation Committee, Development Committee, Facilities and Real Estate Committee, Finance Committee, Global Initiatives Committee, and Investment Committee.

The conduct of educational matters throughout the University is entrusted, under the leadership of the President and Chancellor and the Provost, to the faculties of the individual schools and to the University Senate.

University Officers

As is necessary in any large institution, the precise structure of the corporation, while controlled by the Bylaws of the University, may change from time to time. The relevant text of the Bylaws is reproduced here.

President and Chancellor [Bylaw 32]

The President and Chancellor is appointed by and serves at the pleasure of the Board; the President and Chancellor serves as an Ex Officio Trustee so long as he or she holds the office on a non-acting basis. The
President and Chancellor will serve as the chief executive officer and chief academic officer of the University; will be delegated authority and responsibility for the administration and management of the University consistent with its mission and the direction of the Board; will have all powers and perform all duties incident to the office and such other powers and duties as the Board may prescribe from time to time; will exercise supervision and direction of all University activities; will be responsible to the Board for the supervision of the University’s educational programs in the University’s schools, colleges, institutes, departments, divisions, and units; will serve as head of each faculty of the University and have the power to call a meeting of any faculty or a joint faculty meeting of two or more faculties, provided that any such meeting has the power to take action only upon such subjects as specified in the call for the meeting; will be concerned with the welfare of students of the University and their moral and intellectual development; will be the Board’s representative and the official medium of communication between each faculty of the University and the Board, between University students and the Board, and between University administration and the Board; will prepare or cause to be prepared an annual proposed capital and operating budget in advance of each fiscal year for the Board’s consideration; will recommend to the Board the appointment of the deans of schools and colleges and directors of institutes, after consulting with the faculty of the applicable college, school, or institute or a representative committee of the faculty thereof, each of whom will serve at the pleasure of the President and Chancellor; will consult or cause his or her representative to consult with the University Senate, which may be through the pertinent Senate committee, before making a recommendation to the Board with respect to changes or innovations that affect the University in matters within the jurisdiction of the Senate; may call upon the University’s senior management and academic leaders for assistance in the performance of his or her duties and may appoint advisory councils of senior management and academic leaders and others as he or she deems appropriate; subject to Board policies regarding conflicts of interest and executive sessions, may attend meetings of any committee of the Board; and will determine the senior management and academic leaders who will serve in the President and Chancellor’s stead during a temporary absence or incapacity, or until the Board replaces the President and Chancellor or determines a temporary succession plan during a permanent or more extensive absence or incapacity.

Provost [Bylaw 33]

The Provost is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Provost will be the senior assistant to the President and Chancellor in all academic matters; will be a member of each faculty of the University; will work with the deans of the colleges and schools and the directors of the institutes in strategic academic planning, recruiting faculty, overseeing academic appointments and promotions, conducting program reviews, guiding academic aspects of enrollment planning and ensuring the highest academic standards throughout the University for faculty and students; and will have such other powers and duties as the President and Chancellor may prescribe from time to time.

The Executive Vice President [Bylaw 34]

The Executive Vice President, if there is one, is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Executive Vice President will be the senior assistant to the President and Chancellor in all non-academic matters; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.

Executive Vice President for Health [Bylaw 35]

The Executive Vice President for Health is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The
Executive Vice President for Health will be the senior assistant to the President and Chancellor in all matters involving the schools of Medicine, Dentistry and Nursing and other health-related areas within the University; will work with the deans and other University officials on long-term academic, financial and operational strategies for health and health-related activities at the University; will be the principal liaison between the University and NYU Hospitals Center and its subsidiaries; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.

Secretary and General Counsel [Bylaw 36]

The Secretary and General Counsel is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. As Secretary, the officer will have custody of the seal, Charter, Bylaws and records of the Board; will act as secretary at all meetings of the Board of Trustees and the members (in the absence or incapacity of the Secretary, the Chair will appoint a Secretary of the meeting); will be responsible for the maintenance of fair and accurate records of the proceedings of the Board, its Executive Committee and other committees of the Board, and the members, and distribute them to Trustees and members, as applicable, in accordance with these Bylaws; will cause notice to be given to Trustees, officers of the Board, Board committee members, and members of meetings and acts of the Board, Board committees, and members affecting them; will be responsible for the issuance of diplomas and certificates; and will have all powers and duties incident to the office of secretary and such other powers and perform such other duties as the President and Chancellor, Chair, or Board may prescribe from time to time. As General Counsel, the officer will represent the University and its affiliates in its legal affairs; except for those matters where the General Counsel’s own performance of duties or status is being considered or evaluated, and subject to the right of the Board, the Audit and Compliance Committee and the Compensation Committee to engage independent counsel, all matters requiring legal advice or legal action will be referred to the General Counsel who will provide legal advice or take legal action directly or through counsel engaged for such purpose by the General Counsel; and will have such other powers and duties as the President and Chancellor, Chair, or Board may prescribe from time to time.

Chief Financial Officer [Bylaw 37]

The Chief Financial Officer is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Chief Financial Officer will be the chief accounting and financial officer of the University; will be responsible for assuring that the University is in compliance with applicable financial and accounting standards and has appropriate internal controls; will be responsible for assuring that payments made by the University are included in the approved budget for the fiscal year, unless approved by the Board, and that restricted funds are expended in accordance with applicable limitations and restrictions; will be responsible for collecting, recording, and safeguarding all funds and securities of the University, which will be deposited with such banks or trust companies as authorized by the Board; will be responsible for keeping proper books of account, preparing quarterly and annual financial reports, and providing financial reports to the members and the Board at least annually and as requested by the President and Chancellor, Chair, members, or Board or its committees; will make available during business hours, on request by a Trustee or member, the University’s books of account and records; will work with the University’s independent certified public accounting firm in its preparation of the annual audit; and will have such other powers and duties as the President and Chancellor, the Executive Vice President, Chair, or Board may prescribe from time to time.

The University Senate

The first Bylaws to contain a description of the University Senate and an outline of its powers and duties appeared in 1899. Since that time the importance and the influence of the Senate have grown steadily.
The Bylaws approved by the Board of Trustees on May 27, 1968, were the first to provide for multiple faculty representation according to the size of each school’s faculty. The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, delineated three categories of faculty—the Tenured/Tenure Track Faculty, the Full-Time Non-Tenure Track/Contract Faculty, and Other Faculty—and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school’s faculty. (Those interested in complete details are referred to the relevant Bylaws of the University—Chapters VII and VIII.) The Senate Rules of Procedure provide detail about membership, meetings, and committees.

In summary, the University Senate is empowered to act upon “educational matters and regulations of the academic community that affect more than one school.” Senate decisions in such matters are binding upon all faculties unless overruled by the Board of Trustees on an appeal lodged by a faculty. University-wide commissions report their findings and recommendations to the Senate. In addition, it is the deliberative body of the University for academic policies, structure, and procedures, including proposals for changes; it is concerned with the academic program and structure, personnel and budgetary policies, development of facilities, and community, professional, and educational relations of the University. It makes recommendations to the President and Chancellor, and, through the President and Chancellor to the Board of Trustees concerning the policies and practices of the University. The Senate may also make recommendations for consideration by each of the faculties concerning their internal educational programs and policies. The Senate is authorized to define the educational terms used in catalogs, bulletins, and other announcements, upon which it may also make advisory recommendations; it is responsible for fixing the academic calendar and determining the length of terms and vacations, for arranging the Commencement exercises, and for establishing regulations on academic costume.

Bylaw 61 reads as follows: “The Senate will consist of the President and Chancellor, and not more than one hundred and twenty-seven (one hundred and twenty-nine in the academic year ending in 2015 and one hundred and twenty-eight in the academic year ending in 2016) voting members as follows: (a) not more than thirty-six (thirty-eight in the academic year ending in 2015 and thirty-seven in the academic year ending in 2016) members of the Tenured/Tenure Track Faculty Senators Council, including one representative of the Division of the Libraries of the University; (b) not more than twenty-seven members of the Full-Time Non-Tenure Track/Contract Faculty, including one representative of the Division of the Libraries of the University; (c) not more than eighteen academic members of the Deans Council; (d) not more than thirty-five members of the Student Senators Council; (e) not more than six representatives of the Administrative Management Council; and (f) not more than five senior members of the administration of the University, including the President and Chancellor, the Provost, The Executive Vice President, if there is one, the Executive Vice President for Health, the Secretary and General Counsel, or such other senior members of the administrators of the University as may from time to time be designated by the President and Chancellor.”

The faculty members for each of the two faculty senators councils are elected—one or more per school, college and Abu Dhabi and Shanghai portal campuses—from the faculties of the constituent schools of the University listed in Bylaw 73, and from the Abu Dhabi and Shanghai portal campuses, generally according to the number of full-time members in their respective faculties. (For this and other purposes, the faculties of the School of Medicine and of the Post-Graduate Medical School are regarded as one medical faculty, the faculties of the College of Arts and Science and the Graduate School of Arts and Science are regarded as one faculty, and the faculties of the Leonard N. Stern School of Business, Undergraduate College and Graduate Division are regarded as one faculty.) The deans and the vice chancellors of the Abu Dhabi and Shanghai portal campuses hold their seats ex-officio. One student Senator is elected annually from each school, college, and the Abu Dhabi and Shanghai portal campuses, except that for this purpose the School of Medicine and Post-Graduate Medical School are considered one school. In addition, up to fourteen student Senators may be appointed at large by the Executive Committee of the Senate with the advice and consent of the regular student Senators. The Administrative
Management Council is comprised of six representatives from the professional and administrative staffs of each college, school, and division of the University.

Some understanding of how the Senate functions may be gained by considering its Councils and the structure and interests of its committee system. The faculty Senators from the Tenured/Tenure Track Faculty constitute the Tenured/Tenure Track Faculty Senators Council and the faculty Senators from the Full-Time Non-Tenure Track/Contract Faculty constitute the Full-Time Non-Tenure Track/Contract Faculty Senators Council; school deans and the vice chancellors of the Abu Dhabi and Shanghai campuses belong to the Deans Council; the students are organized as the Student Senators Council; and professional and administrative staff are organized as the Administrative Management Council. All these groups meet regularly, apart from the full Senate, to discuss matters of concern to their respective areas of interest, and their reports and recommendations are regularly brought to the attention of the full body.

The standing committees of the Senate, all of which include members drawn from the Councils comprising the Senate, as well as appropriate administrative members of the Senate are: the Executive Committee; the Academic Affairs Committee; the Financial Affairs Committee; the Organization and Governance Committee; the Public Affairs Committee; and the University Judicial Board. The Executive Committee, composed of the President and Chancellor, the chairpersons of the Councils, and the Secretary of the Senate who is a non-voting member, appoints the members of the Standing Committees of the Senate, elects the officers of the Senate, is authorized to act on urgent matters that may arise at times when the full Senate cannot be convened, and is empowered to refer topics to Senate committees and to appropriate offices of the University.

The Senate meets monthly during the months of October, November, December, February, March, and April in accordance with a schedule adopted by the Senate. At the call of the President and Chancellor or when requested in writing by five members of the Senate, including at least one member from each of the five Councils, the Secretary is required to call a special meeting on 24 hours' notice, specifying the purpose of the meeting.

University Councils and Committees

There are five University Councils that participate in the Senate: The Tenured/Tenure Track Faculty Senators Council, the Full-Time Non-Tenure Track/Contract Faculty Senators Council, the Deans Council, the Student Senators Council, and the Administrative Management Council.

The Tenured/Tenure Track Faculty Senators Council

Each of the faculties comprising the Tenured/Tenure Track faculty, generally according to its size, has one or more representatives on the Tenured/Tenure Track Faculty Senators Council, a University-wide body of elected professors. University Bylaw 65(a) provides: “The Tenured/Tenure Track Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate with respect to the Tenured/Tenure Track Faculty. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board.”

The Full-Time Non-Tenure Track/Contract Faculty Senators Council
Each of the faculties comprising the Full-Time Non-Tenure Track/Contract Faculty, generally according to its size, has one or more representatives on the Full-Time Non-Tenure Track/Contract Faculty Senators Council, a University-wide body of elected faculty. University Bylaw 66(a) provides: “The Full-Time Non-Tenure Track/Contract Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate with respect to the Full-Time Non-Tenure Tenure Track/Contract Faculty. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board.”

Principles of Joint Shared Governance

The University Board of Trustees approved the following Principles set forth below with respect to the Tenured/Tenure Track Faculty Senators Council, formerly the Faculty Senators Council (December 12, 2012) and with respect to the Full-Time Non-Tenure Track/Contract Faculty Senators Council (February 19, 2015).

1. Representation

The Tenured/Tenure Track Faculty Senators Council (T-FSC) and the Full-Time Non-Tenure Track/Contract Faculty Senators Council (N/C-FSC) will each have a representative (from each FSC or its designee) on University committees, taskforces, or other University-wide bodies that are convened by the administration to advise on matters that affect faculty in educational and administrative policy.

2. Information

Transparency with respect to information regarding matters that affect faculty in educational and administrative policy is the norm. The use of “deliberative privilege” is the exception to this norm, requested only in circumstances wherein an individual(s) or the University’s interests would be harmed by public disclosure. In such instances, the University administration will provide appropriate reasons for invoking “deliberative privilege”.

3. Consultation

Except under rare, extraordinary circumstances, the University administration will provide a reasonable length of time for T-FSC and N/C-FSC consultation and input on all matters that affect faculty in educational and administrative policy. This means that the administration must plan in advance to allow enough time for at least one regularly-scheduled T-FSC and/or N/C-FSC meeting to occur before the consultation period comes to a close on any particular matter.

For urgent decisions, such as decisions that must be taken during the summer or winter holiday, when the T-FSC and N/C-FSC are not in session, each Council will establish a “provisional review committee” and a set of procedures for timely consultation and input regarding University administration decisions on matters that affect faculty in educational and administrative policy. All decisions reached by each Council’s provisional review committee are subject to full Council review and approval. Each Council will promptly convey its final decision on the matter to the administration, which in turn will reconsider the provisional policy, based on new or additional advice provided by the Council. The administration will then promptly convey its final decision to each Council.

4. Reasoned Justification
When the T-FSC and/or N/C-FSC submits advice in writing to the University administration and the administration does not agree with or accept the Council’s advice, the administration will provide its reasons for not accepting the Council’s advice to the Council(s) in writing and in a timely matter.

5. Communication

Predicated on the understanding the communications will pertain to Senate-related matters relevant to faculty colleagues within the Senators’ schools, and that the communication systems will be used in a reasonable and responsible manner consistent with the norms of civility, the deans will enable Senators to send emails to faculty colleagues within their schools. Such communication will clearly convey whether its content is an official Council communication or if it reflects the personal view(s) of the author(s).

The Deans Council

University Bylaw 67(a) provides that “The Deans Council may consider any matters of educational and administrative policy, and will make appropriate recommendations to the President and Chancellor and other University officers. It will perform such other functions as are assigned to it by the President and Chancellor or by the Board.”

The Student Senators Council

University Bylaw 68(a) provides: “The Student Senators Council may consider any matters in which the interests, rights, or responsibilities of students are involved, and will take special responsibility for bringing to the attention of the Senate all matters concerning the students’ extracurricular life at the University. For this purpose, the Council will invite the presidents of student governments in the several schools, and such faculty members and administrative officers as may be specified in the rules of the Council, to function together as the University Committee on Student Life. The Committee may work through such local units as may be appropriate at the various geographical centers of the University, and will transmit to the Senate, through the Student Senators Council, its policy recommendations concerning student life. The Student Senators Council will designate representatives on the standing committees and, in appropriate instances, on the ad hoc committees of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other functions as are assigned to it by the President and Chancellor, by the Board, or by the Senate.”

The Administrative Management Council

University Bylaw 69(a) provides: “The Administrative Management Council of the Senate will be the liaison in the Senate for the Administrative Management Council of the University, which is composed of elected representatives from the professional and administrative staffs of each school and division of the University. The Administrative Management Council of the University functions as an initiative, deliberative and responsive body concerning policy issues, serves as a vehicle for promoting the continued professional growth and development of its constituents, and has a commitment to community service. The Administrative Management Council of the Senate will designate representatives on the standing committees of the Senate and, where appropriate, on any ad hoc committees of the Senate. The Administrative Management Council of the Senate may bring to the attention of the various committees of the Senate matters of concern to the University’s professional and administrative staffs that it believes should be presented to the entire Senate.”
Graduate Program Committee [Bylaw 70]

University Bylaw 70(a) provides: “There will be a Graduate Program Committee having the power to review and recommend to the Provost the approval of proposals from colleges, schools, and portal campuses with respect to new graduate programs granting master’s and doctoral degrees. The Committee will evaluate all master’s and doctoral program proposals to ensure that the University’s colleges, schools, and portal campuses with graduate components maintain comparable standards of work for the degrees; that there has been consultation with the relevant colleges, schools, and/or portal campuses; and that there is minimal curricular overlap between or among the units. The Committee also may formulate recommendations to the Provost on other matters that relate to graduate education in the University.

University Bylaw 70(b) provides: “The voting members of the Committee will include one elected faculty representative who is a full-time member of the Tenured/Tenure Track or Non-Tenure Track/Contract Faculty, elected by the faculty from each college, school, and portal campus that delivers graduate education; four graduate deans, selected by the Deans Council; the dean of the NYU Libraries (or his/her designee); a member of the Tenured/Tenure Track Faculty Senators Council, selected by the Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Non-Tenure Track/Contract Faculty Senators Council, selected by the Full-Time Non-Tenure Track/Contract Faculty Senators Council; three graduate student members of the Student Senators Council, selected by the Student Senators Council. The term of service for Committee members is three years, unless filling a vacancy; except that the term of service for representatives from the Student Senators Council is two years, unless filling a vacancy. Terms are staggered, such that approximately one-third of the membership changes every year. The following administrators (or their designees) serve ex officio as non-voting members: the dean of each college, school, and portal campus that delivers graduate education; the most senior representative of the Provost’s Office tasked with academic program review; and the most senior representative of the Provost’s Office tasked with graduate academic affairs. The co-chairs of the Committee will be the most senior representative of the Provost’s Office tasked with graduate academic affairs and the dean of the Graduate School of Arts and Science.”

Undergraduate Program Committee [Bylaw 71]

University Bylaw 71(a) provides: “There will be an Undergraduate Program Committee whose chief responsibility is to advise the Provost on proposals from colleges, schools, and portal campuses for new undergraduate majors and degree programs, as well as for cross-school minors. The Committee will review all such program proposals to ensure that the University’s colleges, schools, and portal campuses with undergraduate components maintain comparable standards of work for the degrees; that units proposing new programs have consulted appropriate colleges, schools, and/or portal campuses; and that there is minimal curricular overlap between or among the units. At the request of the President and Chancellor and/or the Provost, or at its own discretion, the Committee also may formulate recommendations on other matters that relate to undergraduate education in the University.”

University Bylaw 71(b) provides: “The voting members of the Committee will include at least: one elected faculty representative from each college, school, and portal campus involved in undergraduate education, elected by the applicable college, school, or portal campus; two undergraduate deans selected by the Deans Council; a faculty representative from the NYU Libraries, elected by the faculty from the NYU Libraries; a member of the Tenured/Tenure Track Faculty Senators Council, selected by the Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Non-Tenure Track/Contract Faculty Senators Council, selected by the Full-Time Non-Tenure Track/Contract Faculty Senators Council; and three members of the Student Senators Council, selected by the Student Senators Council. The term of service for Committee members is three years, unless filling a vacancy; except that the term of service for representatives from the Student Senators Council typically is one year. Terms are staggered, such that approximately one-third of the membership changes every year. The following
administrators (or their designees) serve on the Committee *ex officio* as non-voting members: the senior representatives of the Provost’s Office tasked with each of global programs, academic program review, and undergraduate academic affairs. The chair of the Committee will be the most senior representative of the Provost’s Office tasked with undergraduate academic affairs.”

**Other University and Interschool Committees and Committees**

University Bylaw 72 provides: “The Senate or the President and Chancellor may from time to time appoint other University and interschool committees and commissions, which will have such powers and duties as are delegated to them at the time of their organization until modified or annulled by action of the appointing authority.”

**Organization of Colleges, Schools, and Academic Departments**

**Schools, Faculties, and Divisions of the University [Bylaw 73]**

(a) **Colleges and Schools.** The University comprises the following integral colleges and schools, listed in order of their establishment:

<table>
<thead>
<tr>
<th>Year</th>
<th>Institute</th>
</tr>
</thead>
<tbody>
<tr>
<td>1832</td>
<td>College of Arts and Science</td>
</tr>
<tr>
<td>1835</td>
<td>School of Law</td>
</tr>
<tr>
<td>1841</td>
<td>School of Medicine</td>
</tr>
<tr>
<td>1865</td>
<td>College of Dentistry</td>
</tr>
<tr>
<td>1886</td>
<td>Graduate School of Arts and Science</td>
</tr>
<tr>
<td>1890</td>
<td>The Steinhardt School of Culture, Education, and Human Development</td>
</tr>
<tr>
<td>1900</td>
<td>Leonard N. Stern School of Business, Undergraduate College</td>
</tr>
<tr>
<td>1916</td>
<td>Leonard N. Stern School of Business, Graduate Division</td>
</tr>
<tr>
<td>1934</td>
<td>School of Professional Studies</td>
</tr>
<tr>
<td>1938</td>
<td>Robert F. Wagner Graduate School of Public Service</td>
</tr>
<tr>
<td>1948</td>
<td>Post-Graduate Medical School</td>
</tr>
<tr>
<td>1960</td>
<td>The Silver School of Social Work</td>
</tr>
<tr>
<td>1965</td>
<td>Tisch School of the Arts</td>
</tr>
<tr>
<td>1972</td>
<td>Gallatin School of Individualized Study</td>
</tr>
<tr>
<td>2014</td>
<td>Polytechnic School of Engineering</td>
</tr>
</tbody>
</table>

(b) **Separate Faculties.** The colleges and schools of the University are governed by their separate faculties, except that the Faculty of Medicine is responsible for the School of Medicine and for the Post-Graduate Medical School, that the Faculty of Arts and Science is responsible for the College of Arts and Science and for the Graduate School of Arts and Science, and that the Faculty of Business Administration is responsible for the Leonard N. Stern School of Business, Undergraduate College and for the Leonard N. Stern School of Business, Graduate Division.

(c) **Division of Libraries.** The University also comprises the Division of the Libraries, which performs academic functions across school lines and is governed by its faculty and officers in accordance with procedures defined and approved by the President and Chancellor.

**Deans**

The dean of each school [see Bylaw 74(a) and (b)] is appointed by the Board of Trustees on the recommendation of the President and Chancellor and serves as the administrative head of his or her respective faculty. The dean is “responsible for carrying out the policies of the University” and for
executing “such rules as his or her faculty may from time to time adopt.” The dean presides at faculty meetings, supervises the work of faculty members, and makes recommendations to the President and Chancellor for the appointment, promotion, tenure as appropriate, dismissal, and retirement of officers of instruction and administration in the school. The dean is responsible for the preparation and submission of the budget for the school and for its implementation when approved. Offices such as that of Executive Dean or Dean of the Faculty of Arts and Science have from time to time been created to supervise or coordinate the activities of two or more schools or of their faculty members.

**Administration of Academic Departments**

The President and Chancellor, subject to the approval of the Board of Trustees, is authorized to divide courses of instruction into departments (see Bylaw 75). The chief executive officer of a department other than a University department will bear the title “chair” and will be responsible to the dean of that school; and the chief executive officer of a University academic department that is an academic department incorporating more than one college or school, will bear the title of “head” and will be responsible through the appropriate deans to the Provost and President and Chancellor (see Bylaw 76).

**Responsibilities of the Faculties [Bylaw 79]**

(a) **Educational Conduct and Functions.** The educational conduct of each of the several colleges and schools, within the limits prescribed by these bylaws or by the Board, is committed to the faculty of each of the colleges and schools, and to such officers of the colleges and schools as the Board may appoint. The educational functions of the libraries of the University, as defined and structured by the President and Chancellor, are similarly committed to the faculty and officers of the Division of the Libraries.

(b) **Entrance Requirements, Courses of Study and Degrees and Certificates.** Subject to the approval of the Board and to general University policy as defined by the President and Chancellor and the Senate, it is the duty of each faculty to determine entrance requirements of the college or school under its care, to determine courses of study to be pursued and the standards of academic achievement to be attained for each degree offered, to prepare a schedule of lectures, to make and enforce rules for the guidance and conduct of the students, and to certify to the President and Chancellor, for recommendation to the Board, qualified candidates for degrees and certificates.

(c) **Athletics and Other Extracurricular Activities.** Each faculty will make and enforce rules of eligibility for the participation of its own students in athletics and other extracurricular activities. However, the University requirements for student participation in intercollegiate athletics will be determined by the Senate on the recommendation of an appropriate committee of the several faculties and will be uniformly applied in the college and schools concerned therewith.

(d) **Libraries.** It is the duty of the faculty of the Division of the Libraries to implement the resources and services of its various libraries in accordance with the instructional and research needs of the University and in collaboration with the academic units which the libraries serve and support; to promote and develop the use of the libraries and their resources through interaction with the University community and through research and publication; and to make and enforce policies as desirable to ensure that the libraries’ resources and services advance learning, research, and scholarly inquiry in an environment dedicated to open, equitable, and productive exchange of scholarly information.

(See also “**The University Senate**” and “**Faculty Membership and Meetings**”)
The Faculty

This part of the Faculty Handbook, The Faculty, begins under the heading Faculty Membership, Faculty Meetings, and Faculty Titles. It is followed by: (1) a section on Policies that are applicable to all or most faculty; (2) a section on Policies that are applicable to the Tenured/Tenure Track Faculty; and (3) a section on Policies that are applicable to the Full-Time Non-Tenure Track/Contract Faculty. These sections include policies, procedures and conventions in the form of Bylaws, rules adopted by the Senate, and policy summaries. Individual schools may have additional, but not substitute, bylaws, policies and procedures relevant to faculty positions. Other important policies can be found in Selected University Policies.

FACULTY MEMBERSHIP, FACULTY MEETINGS, AND FACULTY TITLES

The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, delineated three categories of faculty – the Tenured/Tenure Track Faculty, the Full-Time Non-Tenure Track/Contract Faculty, and Other Faculty; and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school’s faculty. The Bylaws of the University are explicit on the matter of who is a faculty member and on how voting rights are allotted; the relevant texts are reproduced here.

Faculty Membership [Bylaw 82]

(a) Categories of Faculty. The faculty in a college or school is comprised of three categories: (i) Tenured/Tenure-Track Faculty; (ii) Full-Time Non-Tenure Track/Contract Faculty; and (iii) Other Faculty, as more fully described in Section 87 of the Bylaws.

(b) Voting Members of Each Category of Faculty. The President and Chancellor, the Provost, and the dean of the faculty will be considered voting members of each category of faculty, as well as of any subset of a category of faculty. In addition, the Executive Vice President for Health will be an ex officio voting member of each category of faculty, as well as of any subset of a category of faculty, of the School of Medicine, the Post-Graduate Medical School, and the College of Dentistry; and a deputy, senior, or vice provost liaison who has pertinent academic responsibilities will be selected by the Provost to serve as an ex officio voting member of each category of faculty, as well as of any subset of a category of faculty, of each of the colleges, schools, and portal campuses other than the School of Medicine, the Post-Graduate Medical School, and the College of Dentistry. Only the Tenured/Tenure Track Faculty may elect members of the Tenured/Tenure Track Faculty Senators Council and only the Full-Time Non-Tenure Track/Contract Faculty may elect members of the Full-Time Non-Tenure Track/Contract Faculty Senators Council. Only tenured faculty may vote on the awarding of tenure; only full Professors with tenure may vote on promotion to full Professor within the Tenured/Tenure Track Faculty and on the awarding of tenure to a faculty member hired as a full Professor. No faculty member may vote on a matter directly or indirectly affecting the individual’s candidacy for a degree or his or her status on the faculty at the University.

(c) College and School Governance - Attendance at Faculty Meetings and Voting. Each of the Tenured/Tenure-Track Faculty and the Full-Time Non-Tenure Track/Contract Faculty of a college or school may hold its own faculty meetings and determine the voting privileges at such meetings of its members, and also may grant rights of attendance and voting privileges to other categories of faculty of the college or school at such meetings as it determines, in all cases subject to the provisions of subsection (b) of Bylaw 82. The dean of a college or school may hold faculty
meetings and invite the Tenured/Tenure-Track Faculty and/or the Full-Time Non-Tenure Track/Contract Faculty, as well as of any subset of a category of faculty, of that college or school, subject to the provisions of subsection (b) of Bylaw 82.

(d) Appointments in More than One College or School. A faculty member serving on a full-time basis in the University will be a full-time member of the faculty of each college and school in which he or she gives instruction regularly, but will have voting rights in the election of members of the Tenured/Tenure Track Faculty Senators Council or the Full-Time Non-Tenure Track/Contract Faculty Senators Council, as applicable, only in the college or school of his or her principal assignment as determined for this purpose by the President and Chancellor.

(e) Roster. The roster of Tenured/Tenure Track Faculty and of Full-Time Non-Tenure Track/Contract Faculty will be prepared and maintained on a current basis by the dean of the faculty, will be submitted to the Secretary and General Counsel for verification and filing in the official records, and will be available for reference at each faculty meeting.

Faculty Meetings [Bylaw 83]

The Tenured/Tenure Track Faculty and the Full-Time Non-Tenure Track/Contract Faculty in each college or school should hold at least four meetings each year, at such times and places and under such rules of procedure, as are consistent with these Bylaws. Such meetings may be joint meetings. Copies of the minutes of such meetings will be sent to the President and Chancellor and the Provost.

Faculty Titles

In 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in a section headed “Statement in Regard to Academic Freedom and Tenure.” The Bylaws in effect at that time gave only brief descriptions of faculty titles; new Bylaws adopted since then give more ample descriptions. The text of Bylaws 85, 86, 87, and 88, approved May 27, 1968, as amended through September 1, 2014, is found below. In the event of conflict between earlier and later statements by the Board of Trustees, the most recent statement governs.

Since 1974, by action of the Board of Trustees, certain professional librarians of New York University also have had full faculty status. Their titles of rank are equated with those of the teaching ranks.

Tenured Faculty [Bylaw 85]

a) Tenured Appointments. The Tenured Faculty consists of the Professors and Associate Professors who have full-time appointments at the University and who have been awarded permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that he or she has received the requisite approvals and has been awarded tenure. Only full-time Professors and Associate Professors may achieve permanent or continuous tenure at the University. Unless otherwise specified, Professors and Associate Professors are appointed for one year only, but they may be appointed for a longer period or without limit of time, subject to such rules respecting tenure as the Board may adopt.

b) Libraries. Curators and Associate Curators in the Division of the Libraries and in the School of Law and certain, but not all, Curators and Associate Curators in the School of Medicine are granted tenure rights under conditions similar to those applicable to tenured Professors
and Associate Professors. Only full-time Curators and Associate Curators may achieve permanent or continuous tenure at the University.

Tenure Track Faculty [Bylaw 86]

a) Tenure Track Appointments. The Tenure Track Faculty consists of Associate Professors and Assistant Professors who have full-time faculty appointments at the University and currently are not tenured but who may be eligible to be considered for permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that his or her appointment is a tenure track appointment. Associate Professors and Assistant Professors are usually appointed for one year only, but full-time service in these ranks may be counted, to the extent permitted under the rules of the Board of Trustees, toward the attainment of tenure.

b) Maximum Duration. A full-time Associate Professor or Assistant Professor on the tenure track in any college, school, division, or department except the School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, and the College of Dentistry and its departments and its College of Nursing, who is not awarded tenure at the expiration of seven years will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor on the tenure track in the School of Medicine, or any of its departments, or in the College of Dentistry, or any of its departments or its College of Nursing, who is not awarded tenure at the expiration of ten years will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor in the Leonard N. Stern School of Business, or any of its departments, who is not awarded tenure at the expiration of nine years will be ineligible for further full-time appointment in the University. Service as a Full-Time Non-Tenure Track/Contract Faculty member or as an Other Faculty member may not be counted toward the attainment of tenure by persons who may become tenure track Faculty members.

c) Notice. The appropriate dean or departmental Chairperson will as a matter of academic courtesy give notice of these rules to Associate Professors and Assistant Professors on the tenure track in any school, college, division, or department except the School of Medicine, and its departments, the College of Dentistry, and its departments and its College of Nursing, and the Leonard N. Stern School of Business, and its departments, in the sixth year of service, or, in the School of Medicine, or any of its departments, and the College of Dentistry, or any of its departments or its College of Nursing, in the ninth year of service, or, in the Leonard N. Stern School of Business, or any of its departments, in the eighth year of service, but no untenured Associate Professor or Assistant Professor will acquire tenure rights on the ground that he or she did not receive a notice or reminder of this section of these Bylaws.

d) Libraries. Associate Curators and Assistant Curators who may be eligible to acquire tenure in the Division of the Libraries and in the School of Law and certain Associate Curators and Assistant Curators in the School of Medicine are appointed on the same terms and conditions as Associate Professors and Assistant Professors on the tenure track at the University, without extension of probationary period as provided for Associate Professors and Assistant Professors in the School of Medicine, and are subject to the same prohibition on further full-time appointment if not promoted at the end of the specified periods.
Full-Time Non-Tenure Track/Contract Faculty [Bylaw 87]

(a) **Full-Time Non-Tenure Track/Contract Faculty Appointments.** The Full-Time Non-Tenure Track/Contract Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from assistant to associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or a company). A Full-Time Non-Tenure Track/Contract Faculty member does not lose that status during the duration of his or her full-time faculty employment because the person has been advised that his or her contract will not be renewed. Full-Time Non-Tenure Track/Contract Faculty are not eligible for tenure.

(b) **Contracts and Titles.** Full-Time Non-Tenure Track/Contract Faculty are appointed for a definite period of time and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Unless otherwise specified, Full-Time Non-Tenure Track/Contract Faculty are appointed for one year only, but they may be appointed for a longer period, subject to such rules respecting Full-Time Non-Tenure Track/Contract Faculty as the Board may adopt. Full-Time Non-Tenure Track/Contract Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Other Faculty titles. On rare occasions, the title of professor, associate professor, or assistant professor are utilized for Full-Time Non-Tenure Track/Contract Faculty, most commonly in the case of senior faculty who come to the University after a distinguished career at another institution and at the Abu Dhabi and Shanghai portal campuses. Titles also may include, among others, certain of the nontenure position titles set forth in Section 88 of these Bylaws.

(c) **Libraries.** Associate Librarians of Practice and Assistant Librarians of Practice and certain Curators, Associate Curators, and Assistant Curators in the School of Medicine who are appointed on the terms and conditions required for Full-Time Non-Tenure Track/Contract Faculty at the University are considered Full-Time Non-Tenure Track/Contract Faculty for purposes of these Bylaws.

Other Faculty [Bylaw 88]

(a) **Other Faculty Appointments.** Other Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who are not Full-Time Non-Tenure Track/Contract Faculty. They may include: (i) emeritus faculty; (ii) adjunct and other part-time faculty; (iii) faculty whose titles or appointments prohibit indefinite contract renewals; (iv) temporary faculty; (v) visiting faculty; (vi) instructors and (vii) full-time researchers while they maintain a secondary faculty title. Other Faculty are not eligible for tenure.

(b) **Contracts and Titles.** Other Faculty are appointed for a definite period of time, not exceeding one academic year unless otherwise specified, and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Other Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Full-Time Non-Tenure Track/Contract Faculty titles. Titles may include, among others, certain of the nontenure position titles set forth in Section 88 of these Bylaws.

Non-Tenure Positions [Bylaws 87, 88, 89]

Instruction or research service shall be without tenure implications of any kind, regardless of rank or title, if rendered in a part-time capacity, or in a temporary position, or in a program having a subsidy of limited
duration. Bylaw 87(a) and Bylaw 88(a) provide that Full-time Non-Tenure Track/Contract Faculty and Other Faculty are not eligible for tenure. Bylaws 87(b) and Bylaw 88(b) provide that appointment to a non-tenure position shall be for a definite period of time, not exceeding one academic year unless otherwise specified, and shall automatically terminate at the close of that period unless there is an official notice of renewal. Non-tenure positions, which may be faculty or non-faculty positions, include the following:

- instructor titles (e.g., instructor, clinical instructor, research instructor, assistant professor/instructor);
- research and scientist titles (e.g., research professor, research associate professor, research assistant professor, research scholar, associate research scholar, assistant research scholar, senior research scientist, research scientist, associate research scientist, assistant research scientist, professor (research), associate professor (research), assistant professor (research))\(^2\), except when the title that includes research professor is conferred as a distinction upon a faculty member with tenure or on the tenure track;
- global titles (e.g., global distinguished professor, global professor, global visiting professor, global instructor, global professor, except when a title that includes global professor is conferred as a distinction upon a faculty member with tenure);
- adjunct titles (e.g., adjunct professor, adjunct associate professor, adjunct assistant professor);
- clinical titles (e.g., clinical professor, clinical associate professor, clinical assistant professor, professor (clinical), associate professor (clinical), assistant professor (clinical))\(^2\), master clinician);
- visiting titles (e.g., visiting professor, visiting associate professor, visiting assistant professor);
- arts and music titles (e.g., arts professor, associate arts professor, assistant arts professor, visiting arts professor, visiting associate arts professor, visiting assistant arts professor, music professor, music associate professor, music assistant professor, master artist, artist-in-residence);
- lecturer titles;
- titles related to the teaching of languages (e.g., senior language lecturer and language lecturer);
- teacher titles (e.g. master teacher, teacher, associate teacher, teaching fellow, teaching associate, teaching assistant);
- assistant and associate titles (e.g., library associate, research associate, assistant, clinical assistant, graduate assistant, research assistant);
- in residence titles (e.g., distinguished scientists in residence, writer in residence);
- industry titles (e.g., industry professor, industry associate professor, industry assistant professor, distinguished industry professor);
- scholar titles (e.g., scholar in residence, distinguished scholar, visiting scholar);
- practice titles (e.g., librarian of practice, professor of/from practice, associate professor of/from practice, assistant professor of/from practice); and
- fellow titles (e.g., assistant professor/faculty fellow).

Any position designated by a title not specified in this chapter shall be a non-tenure position unless the Board of Trustees determines otherwise. Additional detail about non-tenure positions can be found at the website of the Office of Academic Appointments.

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\(^2\) In the School of Medicine, research professor, research associate professor, and research assistant professor denote part-time status; professor (research), associate professor (research), and assistant professor (research) denote full-time status.

\(^3\) In the School of Medicine, clinical professor, clinical associate professor, and clinical assistant professor denote part-time status; professor (clinical), associate professor (clinical), and assistant professor (clinical) denote full-time status.
FACULTY POLICIES APPLICABLE TO ALL OR MOST MEMBERS OF THE FACULTY INCLUDING TENURED/TENURE TRACK FACULTY, FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY, AND OTHER FACULTY

The following faculty policies are applicable to all categories of faculty unless otherwise indicated.

Academic Freedom

This section on academic freedom is taken from Academic Freedom and Tenure, Title I: Statement in Regard to Academic Freedom and Tenure.

Section II. The Case for Academic Freedom

“Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.”

Section IV. Academic Freedom

“Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements should be based upon an understanding with the administration of the University.

Teachers are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.”

Tenured/tenure track faculty members also are entitled to other protections related to tenure and academic freedom, discussed in more detail in “Faculty Policies Applicable to Tenured/Tenure Track Faculty” below.

Responsibilities of the Faculty Member

Members of the faculty are expected to meet their professional and institutional commitments at the University on a regular basis throughout the academic year. These commitments include time spent on teaching, research, student advising, clinical activities and various kinds of University or outside professional service on committees and in administrative or advisory roles.

Members of the faculty are expected to handle their teaching assignments with professional skill. They should familiarize themselves with the overall organization of the University, and especially with the operations of the school or college in which they serve, and with its requirements and regulations, with
which they will scrupulously comply. They should strive to be good citizens of the academic community, cooperative and efficient in meeting deadlines, submitting grades, and returning students’ work with appropriate comments. They should be active participants as committee members, student advisers, or in whatever other capacity they can render the best service in the affairs of the department and the school. Ideally, they should also maintain interest in the current activities and problems of the larger community and in how the community and the University can benefit each other.

Tenure and tenure-track faculty should aim at the steady enlargement of knowledge in their fields—by enlarging their own knowledge through continuing study and by enlarging the knowledge of others through scholarly contributions. Faculty should keep abreast of publications about new developments in their subject area, and attend and actively participate in the meetings of appropriate learned societies. (Financial assistance in attending professional meetings may be available, according to the rules of the several schools and colleges.)

General criteria for promotion and tenure for tenure and tenure-track faculty are cited in Title I, Section V of the Statement in Regard to Academic Freedom and Tenure. Some schools and colleges also have written statements on faculty appointment policies and procedures, particularly those concerned with promotion and tenure.

Section XI of the Tenure Statement cites important information regarding yearly notification of nontenured faculty concerning tenure prospects, including a formalized early review for certain junior faculty during their third year of service and, in the School of Medicine and the Stern School, also in their sixth year of service.

Teaching and Research Assignments for Full-Time Faculty

As regards full-time faculty members, long-standing University policy normally limits regular teaching assignments to the usual fall and spring terms (approximately early September to mid-May) or equivalent. In the School of Medicine and the College of Dentistry, including the College of Nursing, regular teaching and research assignments are September through August.

Full-time faculty may accept teaching, research or other employment during the summer month(s) when they do not have regular teaching assignments, either at NYU or at another academic institution, or from another employer, or in NYU’s January Term Session, provided such additional undertakings do not unduly interfere with the teacher’s efficiency and serviceability to the department. In addition, with permission of the Dean or Chair, full-time faculty may be released from some teaching responsibilities during the academic year in order to conduct research. Assignments at NYU outside of the regular teaching obligations normally are made only as the result of a specific agreement with an individual faculty member.

Full-time teaching loads are determined administratively under guidelines approved by the Office of the Provost for a particular school or department. No additional compensation by reason of teaching overload may be paid to a full-time faculty member during the period of a regular teaching assignment, except in emergency circumstances duly approved in advance by the Office of the Provost. As an exception, teaching in the School of Professional Studies by a faculty member based outside of that school for additional compensation to the extent of one course per semester (in addition to a faculty member’s regular assignment) will be permitted with the approval of the dean of the school in which the teacher’s principal services are rendered, but such arrangements are subject to review and renewed approval from year to year. Exceptions for additional compensation by reason of teaching overload also may be made for teaching in the Gallatin School of Individualized Study by a faculty member based outside of that school and in experimental programs. Exceptions for additional compensation also may be made for teaching at
Meeting Classes

The regulations of the University require all members of the faculty to be present for teaching duty and ancillary activities (e.g., committee work and student advisement) during the academic sessions to which they have been assigned. In addition, unless special arrangements have been made through the department or school, all members of the faculty are duty-bound to meet all their assigned classes at the place and hour scheduled. The length of the various academic sessions and the number of class meetings per session are set conformably to the requirements of the regulatory agencies for the different programs offered by the University, and may not be varied arbitrarily by individual teachers.

In case of illness necessitating absence from class, the teacher should communicate with the proper departmental officer or, if the latter is not available, with the dean. The department head or dean will determine what arrangements, if any, should be made to provide a substitute instructor or to make up the work of the class at a later date.

Calendar

The fiscal years for the University extend from September 1 through August 31. In most divisions (except certain professional schools, where slightly different schedules obtain) the regular teaching year consists of two terms, beginning in early September and mid-January, respectively. The summer sessions conducted by the various divisions occur for the most part during the period from May to August. The University also offers a January Term Session. The calendars published in the University-wide and individual school bulletins will cite specific dates for each academic year conforming to local variations. This information is also available online (http://www.nyu.edu). The annual Commencement exercises are normally held in May.

Bulletins and Published (including on-line) Materials

Each school and college of the University, under the direction of its dean, issues its own bulletin or bulletins or other published (including on-line) materials describing entrance and degree requirements, programs of study, and the like. All official publications of a school’s or college’s requirements and programs must be as accurate and up-to-date as possible.

It is incumbent upon the individual faculty member whose particular courses are described therein to inform the departmental executive officer of all essential changes that may necessitate a revision of the course description in the published materials.

Restriction on Outside Employment

All faculty members compensated on a full-time basis are expected to devote their major energies to teaching, research, service, student counseling, and related activities at the University. This implies a limit on outside activities, particularly those that involve the rendering of service for extra compensation.

No one appointed to a tenure or tenure-track faculty position at NYU may simultaneously hold a tenure or tenure-track position elsewhere. Teaching service by Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty at other institutions during the academic year must be approved in advance by the dean. For Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty, extramural activities that are consistent with the individual’s overriding obligation to the
University, including consulting and other gainful employment, must be consistent with the principles outlined above and may not require on the average more than one day per week in any academic semester or in any summer month in which the faculty member is receiving compensation for full-time employment at the University. For additional information, please refer to the University’s Policy on Academic Conflict of Interest and Conflict of Commitment.

Circumstances thought to merit exceptional treatment should be referred in writing to the appropriate dean and the Office of the Provost.

All full-time faculty and other faculty if requested by a school dean or the Office of the Provost must complete annually and submit to their school dean the faculty disclosure form then in effect, certifying their compliance with applicable University and school conflict of interest and conflict of commitment policies and disclosing the information requested about the faculty member’s (and immediate family member’s) outside activities and other interests related to the policies. Faculty members also may be required to complete disclosure forms at other times, such as when planning to participate in certain research projects. All faculty have an obligation to assure that they do not engage in activities that are prohibited by applicable University and school conflict of interest and conflict of commitment policies and to seek guidance in advance from their department chair, school dean, or the Office of the Provost (the Executive Vice President for Health in the case of the Schools of Medicine, Dentistry and Nursing) if there is any reasonable doubt as to whether an activity may constitute a conflict of interest or a conflict of commitment.

It is the responsibility of departmental chairpersons and heads and of the deans of the various schools to protect the interest of the University in the full-time service of its full-time faculty, professional research and library staffs, and administration.

Limitation on Degree Candidacy

Bylaw 81(c) provides: “No Tenured/Tenure Track Faculty member or Full-Time Non-Tenure Track/Contract Faculty member, other than librarians, will be permitted to enroll as a candidate for a degree or be recommended for a degree in course, unless specifically excepted by the Board. A degree candidate, other than a librarian, who accepts appointment as a Tenured/Tenure Track Faculty member or a Full-Time Non-Tenure Track/Contract Faculty member must thereupon relinquish such candidacy, unless specifically excepted by the Board.”

While the rule does not prohibit a Tenured/Tenure Track Faculty member, Full-Time Non-Tenure Track/Contract Faculty member, or Other Faculty member from taking courses at this institution for credit to be applied elsewhere toward a degree, it does prohibit such an appointee from pursuing a course to be credited toward a degree at New York University. In applying the rule, the prohibition has been extended to administrators of policy-making rank.

New York State Oath Requirement

Section 3002 of the Education Law of the State of New York, as amended, requires in part that any United States citizen employed within the state as a teacher in a tax-supported or tax-exempt institution sign an oath or affirmation to support the Constitutions of the United States and of the State of New York.

This oath or affirmation must be executed by every newly appointed teacher before the first class session and returned for filing with the records of the institution.
The requisite form for complying with the law is available from the Office of Academic Appointments and in the offices of the deans of the schools and colleges (see the NYU Public Directory for contact information). Foreign nationals, of course, are not subject to this requirement.

**Compensation**

The salary of a full-time member of the faculty who teaches in a school’s regular fall and spring terms (i.e., a nine-month appointment), or a full-time faculty member in the School of Medicine, College of Dentistry, and College of Nursing who serves the entire academic year, normally is paid monthly in equal installments over twelve months.

In addition to the academic year salary, faculty members appointed on a nine-month basis may receive up to three additional months of summer compensation from NYU-administered sources (e.g., from federal on non-federal research grants). The maximum monthly salary from such sources is one-ninth of the academic year salary. Payment for teaching in the summer intersession, whether paid as additional compensation to regular full-time officers of instruction or to visiting or part-time personnel, is normally made on one or more of the following dates, depending on the duration of the assignment: July 1, August 1, September 1. In compliance with New York State Labor Law 195, at the time of hire NYU provides all new employees (including faculty) with written confirmation of their salary, as well as pay schedules and pay frequency. The law requires that the employee sign the notice as acknowledgment of receipt.

**Deductions from Salary**

Deductions from the salary check are made for applicable income and other taxes (e.g., retirement taxes) as specified by law; and for applicable annuity, group insurance, disability income protection plan, dental plan, hospitalization and surgical-medical insurance premiums, and other benefits in accordance with individual requirements. Eligibility for benefits varies based on a variety of factors, including whether the faculty member is employed on a full-time versus part-time basis, whether the employee’s benefits are dictated by a collective bargaining agreement, whether the employee is a temporary appointee, the country in which the faculty member is payrolled and/or performing services, and other factors.

**Leave of Absence (Paid and Unpaid)**

Applications for leave of absence of not more than seven days should be made to the applicable dean; applications for leave of absence for more than seven days require the approval of the Office of the Provost.

A leave of absence may not be granted to a faculty member who has accepted a tenured appointment elsewhere. Leaves of absence for faculty performing services and/or payrolled outside of the United States may vary.

**Illness/Disability Leave and Maternity Leave**

The salary of a Tenured/Tenure Track Faculty or a Full-Time Non-Tenure Track/Contract Faculty member may be continued for up to six months at the discretion of the dean, for absence caused by illness or disability, subject to approval by the Office of the Provost.

Legally, an absence caused by inability to work because of pregnancy, childbirth, or related medical conditions must be treated at least as favorably as an absence caused by illness or disability for all employment-related purposes. At the time a faculty member gives birth, she is entitled to an aggregate of six consecutive weeks of paid maternity leave preceding and following the date of birth.
A physician’s statement certifying that the faculty member is unable to work because of illness or disability and the date on which it is anticipated that he or she can return to work may be required. The University, in addition, may require that the faculty member be examined by a physician designated by the University at no cost to the faculty member. In cases of childbirth, no certification will be required unless the request for leave extends beyond six weeks.

A Tenured/Tenure Track Faculty or a Full-Time Non-Tenure Track/Contract Faculty member who is totally disabled for more than six consecutive calendar months may claim benefits under New York University’s long-term disability insurance.

**Personal Leave**

Personal leave without pay may be granted at the discretion of the dean for a variety of reasons, including those cited below. Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty may be granted one or more full semesters of leave without pay for compelling personal reasons, such as care of a seriously ill child, parent, spouse, or registered same-sex domestic partner. Leave by either parent for the purpose of taking care of a child or related activities, as distinguished from inability to work because of pregnancy or childbirth, is treated as personal leave.

Faculty members are entitled to all provisions of the federal Family and Medical Leave Act of 1993 that are not specifically provided for herein. (A copy of “Your Rights under the Family and Medical Leave Act of 1993” is available at the Benefits Office; a set of new rules and updates to the regulations are effective January 2010.)

**Workload Relief Policy (Approved by the University Senate March 1, 2007)**

In order to provide relief to eligible full-time faculty members faced with the additional demands of being the primary care-giver to a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, New York University’s workload relief policy grants one semester of workload relief from classroom teaching and administrative committee work or two semesters of half relief from such duties, based on the individual’s normal yearly workload, at full salary. Workload relief is not considered a leave as faculty members are expected to make themselves available to the extent reasonable and practicable for their customary responsibilities of research, student consultation, and advising.

The faculty member’s school remains financially responsible for the faculty member’s salary during the workload relief period. Financial support for workload relief of classroom teaching, necessitated by having to hire appropriate replacements, is to be borne by a University workload relief fund. Please see the Workload Relief Form for details.

Individuals eligible for workload relief benefits include all Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty. To qualify for workload relief, the faculty member must be the parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care. In all circumstances, only one parent may be considered primarily responsible for the care of the child. If both parents could be eligible under this policy because they are both eligible full-time faculty, each such eligible faculty member could qualify sequentially for a half semester if the designation of primary responsible parent changed, but the total amount of workload relief would not increase.
Normally the first semester of workload relief will be the semester in which the temporary disability leave for childbirth is completed, the semester in which the adoption, foster care or guardianship takes place, or, in the case of the birth parent, the semester in which the birth takes place. If these events occur between semesters when classes are not in session, the first semester of the workload relief typically will be the following semester.

In the case of childbirth, at least five months before the start of the first semester of relief, a faculty member wishing to utilize workload relief for parenting under this plan should inform his or her Department Chair by filling out a Workload Relief Form, certifying that she/he is the primary caregiver and stating her/his intentions to take one (1) full semester or two (2) half semesters of relief. The form should be submitted to the person responsible at his/her School for processing the request as listed on the Workload Relief contact sheet. Details of the workload relief arrangement must be decided in consultation with the department chair or, in Schools without departmental organization, with the dean. In the case of adoption, foster care or guardianship, the faculty member should alert the department chair or dean as early as possible. Tenure clock stoppage will be granted for a cumulative maximum of two semesters during the probationary period to a faculty member who is the primary caregiver of a child whether or not the faculty member avails herself or himself of workload relief. The one full semester of relief or two half semesters of relief will count as credit toward a faculty member’s sabbatical leave. (See below, Tenure Clock Stoppage for Personal Reasons.)

This policy is not intended to replace leave available to faculty members who are eligible for leave for the birth a child, an adoption, or foster care placement under the Family and Medical Leave Act of 1993 ("FMLA"). A set of new rules and updates to the regulations are effective January 2010. FMLA will run concurrently with workload relief as either intermittent or reduced workload leave. An FMLA certification must be completed and submitted with the Workload Relief Form to determine FMLA eligibility. Eligible faculty members may still elect to take unpaid FMLA leave if they wish to provide no service while providing care for their newborn child, newly adopted child, or foster care or guardianship placement.

Benefits During Leave of Absence

During a leave of absence, benefits may be affected. The Benefits Office should be contacted for details regarding how to continue benefit coverage and the length of time for which benefits may be continued. It is a faculty member’s responsibility to contact the Benefits Office to arrange for continuation of benefits.

Retirement

In order to foster an ongoing relationship with the University’s retirees, a number of perquisites are available through the University and the individual schools. Faculty members may contact their Dean’s Office for details. To determine eligibility for benefits after retirement, the Benefits Office or the Dean’s Office should be consulted.

Term of Administrative Appointments [Bylaw 77]

“Appointment to an administrative office, including but not limited to the office of executive dean, dean, vice dean, associate dean, assistant dean, director, secretary, department head, and department chair, will be without limit of time, unless otherwise specified, but may be terminated at any time without prejudice to any rights of the officer as holder of a professorship (a) by the President and Chancellor, or the Board; (b) in the case of an appointment other than an executive dean or dean or head, by the executive dean or dean, or by their respective designees; and (c) in the case of an appointment of a head, by the appropriate
deans jointly or by the Provost.” A faculty member’s contracted rights are not affected solely by removal from an administrative position.

**University Benefits**

*Benefit Plans and Services*

The [Benefits Office](#) of the Human Resources Division provides information about the benefit plans and services available to faculty members, members of the professional research staffs, and administrative and professional staff members.

**Housing for Faculty**

At NYU, faculty housing is a critical strategic resource that has supported NYU’s development into a national research university. Nearby housing helps to create a feeling of campus by bringing faculty, staff, and students together. It supports the academic mission of the University by increasing accessibility of faculty members to their students, their colleagues, and their research tools. Although NYU’s rental resources are substantial, they are not sufficient to address all our housing needs. University housing is allocated to faculty and staff in a manner designed to support, recruit and retain the full-time faculty of the University according to University priorities informed by the Deans of the Schools. University policies on Faculty Housing govern the allocation of housing: The highest priority is to house tenured and tenure track faculty, and among them, new faculty who will be joining NYU and who do not have housing in the metropolitan area. Almost equal priority is given to existing faculty who are of high retention importance as determined by the deans of each school. Any questions should be addressed through the individual school Dean’s Offices.

**Service Recognition Awards**

Faculty will receive service recognition gifts upon completion of 10 years of service to the University, and every five-year milestone thereafter through 50+ years. The University also will present a certificate to every member of the faculty who has given 25 years of full- and/or part-time service to the University.

**Travel Policies**

Information about University policies and guidelines concerning travel and reimbursement rates can be obtained from the [Office of the Controller](#). All faculty are encouraged to use [NYUTravele](#r), which was created to provide the NYU community with tools and services for their travel needs and to help keep them safer.

**Releasing Employment Information**

Faculty members wishing to have information about their status at the University officially transmitted to persons or institutions outside the University should apply to the [Office of Academic Appointments](#), in order to execute the required consent form.

**Legal Matters**

*Legal Assistance Related to University Matters; Signing of Contracts; Service of Legal Papers*

The handling of all legal matters arising from or pertaining to the operations of the University is the responsibility of the General Counsel of the University and only the Office of General Counsel is
authorized to retain outside counsel on behalf of the University. All legal inquiries should be directed to
the Office of the General Counsel.

Administrators and faculty members should not sign contracts, leases, or other agreements without proper
written authorization, as well as required legal and financial reviews, and should not reply to
communications received from attorneys concerning University business, whether telephone messages,
faxes, e-mails or letters. Responses to such communications must be prepared in consultation between the
Office of the General Counsel and the faculty member or administrator concerned. Similarly, under no
circumstances should anyone not an officer of the University accept service of legal papers, such as
subpoenas, citations, court summonses, or violation notices. Anyone who wishes to serve such papers on
the University should be referred to the Office of the General Counsel, which will accept them officially
on behalf of the University.

Refusal by a faculty member or administrator to accept service is not illegal; it is in fact the proper
procedure and in the best interests of the University. If a process server refuses to be cooperative and
insists upon leaving the papers, immediately call the Office of the General Counsel, and ask for
instructions.

The Office of the General Counsel is responsible only for official University business and is not staffed to
provide personal legal assistance except in the special instances described in “Selected Policies
Concerning the Protection of Rights and Other Matters” under the heading of “Legal Protection for
Faculty Members.” In exceptional cases, however, the office will, upon request, suggest legal
organizations or other counsel to University personnel in need of such assistance.
FACULTY POLICIES APPLICABLE TO TENURED/TENURE TRACK FACULTY

This part of the Faculty Handbook begins under the heading Academic Freedom and Tenure with Titles I-IV of the University’s formal rules of tenure and related provisions. As noted in the preceding section, Faculty Titles, in 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in a section headed “Statement in Regard to Academic Freedom and Tenure.” This provision has been amended, from time to time, by the Board of Trustees. The current provision is set forth below.

General criteria for promotion and tenure for tenured and tenure-track faculty are cited in Title I, Section V. The core principles and procedures for tenure and promotion at the University appear in the New York University Promotion and Tenure Guidelines. In addition, colleges and schools have their own internal rules, procedures, and policies, such as School statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President and Chancellor.

Academic Freedom and Tenure

(Titles I and II were adopted by the University Board of Trustees on October 24, 1960, and have been amended through December 2, 1996).

Title I: Statement in Regard to Academic Freedom and Tenure

I. Authorization by the Board of Trustees

The Board of Trustees of New York University has authorized the following statement in regard to academic freedom and tenure at New York University. It reserves the right to amend this statement at its discretion, but no amendment shall take away a status of permanent or continuous tenure acquired before such amendment.

II. The Case for Academic Freedom

Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.

III. The Case for Academic Tenure

Academic tenure is a means to certain ends, specifically: (1) freedom of teaching and research; and (2) a sufficient degree of economic security to make the profession of teaching attractive to men and women of ability.

IV. Academic Freedom

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements, should be based upon an understanding with the administration of the University.
Teachers are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.

V. Academic Tenure

1. Part-time positions and other positions] A distinction is made between part-time and full-time members of the teaching staff. Unless their notices of appointment explicitly state that they are appointed for full-time teaching service, officers of instruction, of whatever rank, are considered part-time members of the teaching staff. The full-time members of the teaching staff are those teachers who give full-time service to the University and whose notices of appointment explicitly so indicate.

All part-time appointees to the University staff, irrespective of title, rank, or cumulative length of service, are entitled to no right of tenure, and their appointments are limited strictly to the periods stipulated in the official notices thereof. Likewise, all instructors, and all those receiving appointment in such temporary capacities as fellow, assistant, associate, lecturer, or as acting, adjunct, clinical, and visiting officers of instruction in the several ranks, whether rendering full- or part-time service, are ineligible for tenure on the basis of such service and are restricted in the duration of their connection with the University to the period stipulated in the official notices of appointment. The same stipulation applies to personnel appointed with professorial or other titles, whether on full- or part-time service, on subsidized assignments such as sponsored research, or in teaching programs where expense of the program is dependent upon a subsidy of limited duration.

2. [Tenure described] The general policy of the University with respect to probation and tenure for full-time assistant professors, associate professors, and professors is given below. After expiration of the stipulated probationary periods, full-time associate professors and professors are considered to have permanent or continuous tenure, and their services are to be terminated only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division. It is understood that the University has the right to reduce the length of the probationary period in specific cases.

3. [Assistant Professor] The rank of Assistant Professor should be granted only to those who have proved their worth as teachers and have given evidence of character and productive scholarship. The assistant professor should possess the maturity and attainment in the field of scholarship or professional practice of which the doctor’s degree is usually the testimonial. Appointment to an assistant professorship carries with it the possibility but no presumption of reappointment and includes no right to permanent or continuous tenure or to further reappointment, or to promotion to any higher rank.
A full-time assistant professor in any school, college, division, or department except the
School of Medicine and its departments, the Leonard N. Stern School of Business and its
departments, and the College of Dentistry and its departments and its College of Nursing,
who is not promoted at the expiration of seven years as full-time assistant professor shall be
ineligible for further full-time appointment in the University. A full-time assistant professor
in the School of Medicine or any of its departments and the College of Dentistry or any of its
departments or its College of Nursing, who is not promoted at the expiration of ten years as a
full-time assistant professor shall be ineligible for further full-time appointment in the
University. A full-time assistant professor in the Leonard N. Stern School of Business or any
of its departments, who is not promoted at the expiration of nine years as a full-time assistant
professor shall be ineligible for further full-time appointment in the University.

4. [Associate Professor] The rank of Associate Professor should be granted only to those who, in
addition to all the qualifications for an assistant professorship, have an unusual contribution
to make to the University through the excellence of their character, teaching, productive
scholarship, or other educational service. There is no presumption in appointing an associate
professor that he or she will later be promoted. Reappointment as an associate professor does
not imply any subsequent appointment at higher rank. Under any of the following conditions
the appointment or reappointment of an associate professor carries with it the right of
continuous or permanent tenure if it is for: (1) the sixth year as a full-time associate professor
at New York University; or (2) (a) in any school, college, division, or department except the
School of Medicine and its departments, the College of Dentistry and its departments and its
College of Nursing, and the Leonard N. Stern School of Business and its departments, the
eighth year as a full-time teacher at New York University in the rank or ranks of assistant
professor or associate professor; or (b) in the School of Medicine or any of its departments
and the College of Dentistry or any of its departments or its College of Nursing, the eleventh
year, as full-time teacher at New York University in the rank or ranks of assistant professor or
associate professor; or (c) in the Leonard N. Stern School of Business or any of its
departments, the tenth year as a full-time teacher at New York University in the rank or
ranks of assistant professor or associate professor, or (3) (a) in any school, college, division, or
department except the School of Medicine and its departments, the College of Dentistry and
its departments and its College of Nursing, and the Leonard N. Stern School of Business and
its departments, the fifth year as a full-time teacher at New York University in the rank or
ranks of assistant professor or associate professor and follows a term of more than three
years, i.e., not less than seven semesters of full-time teaching in one or more institutions of
higher education other than New York University in the rank or ranks of assistant professor,
associate professor, or professor, except as provided in paragraph six of this section; (b) in
the School of Medicine or any of its departments and the College of Dentistry or any of its
departments or its College of Nursing, the eighth year as a full-time teacher at New York
University in the rank or ranks of assistant professor or associate professor and follows a term
of more than three years, i.e., not less than seven semesters of full-time teaching in one or
more institutions of higher education other than New York University in the rank or ranks of
assistant professor, associate professor, or professor, except as provided in paragraph six of
this section; (c) in the Leonard N. Stern School of Business or any of its departments, the
seventh year as a full-time teacher at New York University in the rank or ranks of assistant
professor or associate professor and follows a term at more than three years, i.e., not less than
seven semesters of full-time teaching in one or more institutions of higher education other
than New York University in the rank or ranks of assistant professor, associate professor, or
professor, except as provided in paragraph six of this section.

If a full-time teacher at the time of his or her first appointment at New York University has
formally disclosed to the appropriate dean or officer of central administration the fact that he
or she has gained permanent or continuous tenure in another institution of higher education in
the United States having tenure regulations similar to those in effect at New York University
and leaves that institution to accept appointment as a full-time associate professor at New
York University, it is assumed that he or she has permanent or continuous tenure at New
York University unless it is agreed in writing that his or her appointment is for a probationary
period of not more than four years. It shall be the responsibility of the University official
hiring the teacher to raise the question of tenure possibly achieved elsewhere.

5. [Professor] The rank of Professor should be granted only after careful consideration of the
individual’s character, scholarship, productivity, teaching ability, and reputation among peers
in his or her own field, as well as his or her capacity for inclining students toward noteworthy
attainments. It should be granted only to men and women who have been so tested that there
is reasonable certainty of their continuing usefulness throughout the remainder of their
working years. It should never be granted as the reward of seniority and should be reserved as
a mark of distinction in the field of scholarship and instruction. It should never be granted as
a recognition of usefulness in administration.

Under any of the following conditions the reappointment of a professor carries with it the
right of continuous or permanent tenure: (1) if the reappointment is for the fourth year as a
full-time professor at New York University; or (2) if the reappointment is for the sixth year as
a full-time professor or associate professor at New York University; or (3) (a) in any school,
college, division, or department except the School of Medicine and its departments, the
College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern
School of Business and its departments, if the reappointment is for the eighth year as a full
time teacher at New York University in the rank or ranks of assistant professor, associate
professor, or professor; (b) in the School of Medicine or any of its departments and the
College of Dentistry or any of its departments or its College of Nursing, if the reappointment
is for the eleventh year as a full-time teacher at New York University in the rank or ranks of
assistant professor, associate professor, or professor; (c) in the Leonard N. Stern School of
Business or any of its departments, if the reappointment is for the tenth year as a full-time
teacher at New York University in the rank or ranks of assistant professor, associate
professor, or professor, or (4) (a) in any school, college, division, or department except the
School of Medicine and its departments, the College of Dentistry and its departments and its
College of Nursing, and the Leonard N. Stern School of Business and its departments, if the
reappointment is for the fifth year as a full-time teacher at New York University in the rank
or ranks of assistant professor, associate professor, or professor and follows a term of more
than three years of full-time teaching in the rank or ranks of assistant professor, associate
professor, or professor in one or more institutions of higher education other than New York
University except as provided in paragraph six of this section; (b) in the School of Medicine
or any of its departments and the College of Dentistry or any of its departments and its
College of Nursing, if the reappointment is for the eighth year as a full-time teacher at New
York University in the rank or ranks of assistant professor, associate professor, or professor
and follows a term of more than three years of full-time teaching in the rank or ranks of
assistant professor, associate professor, or professor in one or more institutions of higher
education other than New York University except as provided in paragraph six of this
section; (c) in the Leonard N. Stern School of Business or any of its departments, if the
reappointment is for the seventh year as a full-time teacher at New York University in the
rank or ranks of assistant professor, associate professor, or professor and follows a term of
more than three years of full-time teaching in the ranks of assistant professor, associate
professor, or professor in one or more institutions of higher education other than New York
University except as provided in paragraph six of this section.
If a full-time teacher at the time of first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he or she has gained permanent or continuous tenure in another institution of higher education in the United States having tenure regulations similar to those in effect at New York University and leaves that institution to accept appointment as a full-time professor at New York University, it is assumed that he or she has permanent or continuous tenure at New York University unless it is agreed in writing that his or her appointment is for a probationary period of not more than three years. It shall be the responsibility of the University official hiring the teacher to raise the question of tenure possibly achieved elsewhere.

6. [Exclusion of prior full-time teaching service at another institution] When full-time teaching service at another institution of higher education does not meet the criteria recognized for service at New York University, that service may be excluded from the probationary period under paragraph 4, clause (3), or paragraph 5, clause (4), of this section. In determining whether prior service at another educational institution should not be included, consideration shall be given to whether or not the prior service: (a) was in an Association of American Universities institution or equivalent; (b) followed the attainment of the terminal degree; (c) was in a tenure earning position; and (d) related factors. Recommendations that service at another institution of higher education not be included within the probationary period should be predicated on a written agreement between the prospective faculty member and the dean, and should be submitted by the dean to the Provost for approval before the initial appointment is effective. The faculty member will be notified in writing by the Office of the Provost whether or not prior service will be included within the probationary period at New York University.

7. [Administrative posts; promotions] Appointment to administrative posts may be terminated or modified by the University Board of Trustees without prejudice to the teaching rights of officers holding such positions. If a teacher gains permanent or continuous tenure at New York University in one rank, his or her tenure will not be invalidated by subsequent promotions in rank.

VI. Termination of a Tenure Appointment

1. When a member of the teaching staff has permanent or continuous tenure or is serving an appointment for a term of years which has not expired, his or her services may be terminated by the University only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division.4

2. Termination for cause:

(a) [Adequate cause] Adequate cause includes (but is not limited to) one or more of the following: incompetent or inefficient service; neglect of duty; repeated and willful disregard of the rules of academic freedom as set forth in this statement; physical or mental incapacity; or any other conduct of a character seriously prejudicial to his or her teaching or research or to the welfare of the University. [Cf. Bylaw 92, Removal of Tenured Faculty and Tenured Librarians.]

4 The Board of Trustees has approved resolutions concerning “Procedures for Termination and Reorganization of Programs”, dated December 10, 1979 and December 1, 1997.
Proceedings for termination of service for cause shall be conducted in accordance with such rules as may from time to time be adopted by the Board of Trustees, and shall be initiated by service upon the person involved of a written notice setting forth clearly and directly all charges preferred against him or her and informing him or her of his or her rights under this section and under relevant University bylaws and rules regulating proceedings on such charges. The person charged shall be entitled to a hearing before a hearing panel of the Faculty Tenure Committee of the University in accordance with the regulations pertaining thereto. A full stenographic record of the hearing shall be given to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers or other scholars, whether from this University or from other institutions.

Upon the request of either the faculty member charged or the charging party, the record, findings, conclusions, and proposed sanctions of the hearing panel of the Faculty Tenure Committee shall be forwarded to the Tenure Appeal Committee for review and final determination. In the absence of such request, the findings, conclusions, and proposed sanctions of the hearing panel shall be final.

The rules regulating proceedings to terminate service for cause shall be binding upon all parties.

Summary suspension pending termination proceedings is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor the dean of the college, school, or division involved with the assent of the President and Chancellor whenever, in his or her judgment, continuance of the person in service threatens substantial harm to himself or herself, to others, or to the welfare of the University. Unless legal considerations forbid, any such suspension shall be with full base pay. At any time during the pendency of termination proceedings, the President and Chancellor may lift or modify any suspension in the interest of substantial justice.

In the event of summary suspension, the propriety and effect of such suspension shall be reviewed by the hearing panel of the Faculty Tenure Committee when it commences its proceedings on the merits of the charges made, and the panel may recommend to the President and Chancellor that the suspension be revoked or limited in its effects pending the outcome of the proceeding.

A person having permanent or continuous tenure who is dismissed for cause may, upon the recommendation of the hearing panel of the Faculty Tenure Committee and, in the event of an appeal, upon the approval of the Tenure Appeal Committee, receive his or her salary for up to one year from the date of mailing to him or her, by registered mail, of a notice of such dismissal.

This statement, while applicable generally to all members of the teaching staff of New York University at the time of its adoption, is not intended to modify existing commitments, as in the case of assistant professors previously appointed without reference to non-tenure restrictions.

The following provisions shall apply to notifications of resignation:
1. [Early notice] Notification of resignation ought, in general, to be early enough to obviate serious embarrassment to the University, the length of time necessarily varying with the circumstances of the particular case.

2. [Minimum notice] Subject to this general principle it would seem appropriate that a professor or an associate professor should ordinarily give not less than four months’ notice and an assistant professor or instructor not less than three months’ notice.

3. [Notification before transferring] It is assumed that a teacher may answer an informal inquiry about whether he or she would be willing to consider transfer to another institution under specified conditions without previous consultation with University officials, with the understanding, however, that if a definite offer follows he or she will not accept it without giving such notice as is indicated in the preceding provisions. A teacher is at liberty to ask his or her superior officers to reduce, or waive, the notification requirements there specified, but he or she is expected to conform to their decision on these points.

IX. Whom Tenure Cannot Protect

Nothing in this statement is to be interpreted as giving the protection of tenure to anyone who advocates the overthrow of the government of the United States by force, violence, or any unlawful means.

Title II: Appointment and Notification of Appointment

X. General Appointment Procedures Affecting the Full-Time Tenure-Earning Ranks

1. [Recommendation by department] Recommendations of appointment or reappointment of full-time assistant professors, associate professors, and professors, who have not achieved permanent or continuous tenure, shall be made by the chief executive officer of each department to the appropriate dean. The chief executive officer is the head of an all-University department or the chairperson of a school or college department that is not part of an all-University department.

2. [Advisory body] In the preparation of his or her recommendation the chief executive officer of each department shall have the counsel of an advisory body of tenured faculty members of the department. In case he or she is not the chief executive officer of the department, the chairperson of a school or college department in which a recommendation for appointment is under consideration shall be a member of the advisory body of tenured faculty members.

3. [Establishing advisory body] Each academic department shall, in accordance with its own procedures, establish an advisory committee on appointments.

4. [Transmitting recommendations] The department head or chairperson shall transmit to the appropriate dean, along with his or her recommendation and reasoning, the recommendation and reasoning of the advisory body, together with their names, the method of their selection, and a report of the numerical vote.

5. [Recommendations by dean] In schools without a departmental organization, the dean, in the preparation of his or her recommendations of appointment, shall have the counsel of an advisory body of tenured faculty members of the school. The dean shall notify the faculty members of his or her school of the composition of the advisory body, and the method of their selection.
6. [Approval by dean] The dean shall approve or disapprove the recommendation, and shall notify the department head or chairperson if there is a departmental organization, and the advisory body, of the ultimate decision along with reasons therefor if the recommendation is disapproved.

7. [Other advisory bodies] Nothing in the appointment procedures described above shall be construed to preclude the possibility that other advisors or advisory bodies or student groups may be consulted to meet the needs of individual schools or specific situations.

XI. Notification of Non-Tenured Faculty Members

1. [Notification; prospects] During his or her probationary period, each full-time assistant professor, associate professor, and professor shall be notified annually by the departmental head or chairperson, or by the dean in schools without departmental organization, of his or her prospect of being recommended by the department on the evidence then available for an appointment resulting in tenure. Where it is unlikely that tenure will be achieved, such notification shall be in writing.5

2. [Notification; no reappointment] Notice of intention not to reappoint a full-time assistant professor, associate professor, or professor 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 December 15 of the second year of academic service, if the appointment is to be terminated on August 31.

(c) In all other cases, not later than August 31, if the appointment is to be terminated on the following August 31, or not later than one year before the termination of the appointment.

However, a faculty member whose period of appointment is due to terminate on a date other than August 31, after receipt of the notice required by this paragraph 2, shall have the right, upon written notification to his or her dean at least 120 days prior to the termination date of the period of appointment, to an extension of his or her appointment until the following August 31. That right shall be communicated to the faculty member in the notice required by this paragraph 2. Under no circumstances shall such extension of appointment, however described, be considered to create any right to further appointment nor shall it, or any other faculty appointment, carry with it a right of continuous or permanent tenure in the absence of written notice awarding such tenure after the carrying out of the procedures described above in Section X.

XII. Tenure Appointments

5 In addition to the current requirement of yearly notice to each faculty member, set forth in Title II, Section XI.1, a formalized early review on tenure prospects is to be completed in the third year of service in the probationary period for assistant professors whose probationary timetable is not shortened due to qualifying previous service. In the School of Medicine and any of its departments, the Leonard N. Stern School of Business and any of its departments, and the College of Dentistry and any of its departments including its College of Nursing, a formalized early review on tenure prospects is to be completed in the third year of service for all assistant professors and in the third and sixth year of service for assistant professors whose probationary timetable is not shortened due to qualifying previous service.
1. [Procedure] In addition to the general appointment procedures, the process of recommending an appointment that would result in tenure shall be as follows:

   (a) The dean shall forward his or her recommendation by June 1 to the Provost, with a copy to the department head or chairperson and to the advisory body or, in schools without departmental organization, to the dean’s advisory body. The dean’s recommendation shall be accompanied by the recommendations he or she has received from the department head or chairperson and the advisory body.

   (b) The Provost shall support or oppose the dean’s recommendation in his or her recommendation to the President and Chancellor, and shall notify the dean of the final decision, along with reasons therefor, if the recommendation is disapproved. The dean in turn shall communicate the decision to the department head or chairperson, if there is a departmental organization, and to the advisory body. The dean shall notify the affected faculty member of the decision.

2. [Negative recommendations] In the case of an appointment that would, if made, complete the stipulated probationary period and result in tenure, negative recommendations as well as positive ones shall be transmitted by the department head or chairperson to the dean, and by the dean to the Provost.

Title III: Rules Regulating Proceedings to Terminate for Cause the Service of a Tenured Member of the Teaching Staff, Pursuant to Title I, Section VI, of the Statement in Regard to Academic Freedom and Tenure

(Titles III and IV were adopted by the University Board of Trustees on October 24, 1960 and have been amended through December 8, 1986)

I. Initiation of Dismissal Proceedings

1. Whenever the President and Chancellor or the Provost, or the dean of a college, school, or division of the University with the assent of the President and Chancellor or the Provost shall deem such action is warranted, that person shall initiate proceedings to terminate for cause the service of a tenured member of the teaching staff. He or she shall formulate, or cause to be formulated, the charges in writing. A copy of such charges, together with notice of proceedings for termination of his or her service for cause, shall be mailed by registered mail to the person involved (“the respondent”).

2. The respondent shall serve a written answer upon his or her dean and the President and Chancellor of the University within twenty days after service of the charges and notice upon him or her admitting or denying each of the allegations contained in the charges and setting forth any defenses to the charges. The time for service of the answer may be extended by the President and Chancellor or the Provost in the interests of substantial justice.

3. Upon receipt of the answer of the respondent, the dean shall forward to the chairperson of the Faculty Tenure Committee copies of the written charges and of the answer to such charges.

4. If the respondent fails to serve a written answer within twenty days, or any extension of such time, the dean shall nevertheless forward the charges to the chairperson of the Faculty Tenure Committee with a statement showing that no answer has been served by the respondent.
5. Within fifteen days after submission of the charges and answer, or of the charges alone, as the case may be, to the Faculty Tenure Committee, the chairperson of such committee shall set a time for the commencement of a hearing, which shall not be more than thirty days thereafter unless further time is granted by the chairperson upon request of either party.

II. The Faculty Tenure Committee and Its Hearing Panels

1. The Faculty Tenure Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to establish a hearing panel to hear the charges against a tenured faculty member in proceedings for termination of his or her service for cause. Its powers are confined to such cases and do not extend to grievances concerning the terms of special contracts of employment, promotion, salary, conditions of work, or similar questions.

2. The Faculty Tenure Committee shall consist of a faculty representative from each school or college in the University. The representative shall be a former elected senator who is still a full-time teacher in the University and is not a dean or the incumbent of a comparable administrative position. The former senator whose term has most recently concluded shall be named first, and in his or her absence by reason of leave, illness, or other inability to serve, the next most recent former senator, and if he or she be unable to serve, then the next most recent former senator, and so on until the list of former senators has been exhausted. If two or more senators had their term of office expire on the same date, lots shall be cast to determine the former senator who shall first be eligible to serve. If there be no available and properly qualified member of the faculty of any unit, then a representative who is eligible to be an elected member of the Senate shall be elected by the faculty of the unit in the manner in which a member of the Senate is elected. The Faculty Tenure Committee shall, when the Committee is called upon to consider a case, elect a Committee chairperson who shall serve until a hearing panel has been selected and has elected its own chairperson.

3. Whenever a case has been referred to the Faculty Tenure Committee, the Committee shall designate from its membership a hearing panel of five members to hear and decide the case. One member of the panel shall be the faculty representative from the same school or college as the respondent. The remaining four members shall be selected by the Faculty Tenure Committee, and such selection shall proceed notwithstanding the unavailability to serve of any former senator from one or more schools or colleges. The hearing panel shall select its own chairperson. Once identified to serve in a particular case, the members of the hearing panel shall continue to serve until the completion of all proceedings, except as otherwise provided by these rules.

III. Conduct of Hearings before the Hearing Panel of the Faculty Tenure Committee

1. An arbitrator who is an attorney shall be the presiding officer at the hearing on the charges. The arbitrator shall be chosen from a list of 12 qualified attorney-arbitrators compiled by the American Arbitration Association. The charging party and the respondent each may strike up to four names from the list and each shall rank, in order of preference, the names of those whom they have not stricken. The Association shall then designate as the arbitrator the available person with the highest degree of joint preference of the parties. Should more than one available person have an equally high joint preference, the Association shall select the arbitrator by lot from those with the highest joint preference.

2. A calendar of hearing dates in a proceeding for dismissal shall be fixed by the chairperson of the hearing panel after consultation with the parties to the proceeding and the arbitrator; the
calendar shall be read into the record on the opening day of the hearing; it shall be adhered to unless the hearing panel orders exceptions for due cause. Whenever the interests of substantial justice appear to so require, the hearing panel may direct either or both parties to submit a summary of the evidence, a first list of witnesses to be called, or both. If the statement of the charges, or the answer thereto, appears to the hearing panel to be indefinite or obscure, the hearing panel may require a more definite statement. Where the respondent has failed to serve an answer to the charges and where it further appears that the respondent is unable to understand the charges and to participate meaningfully in the proceeding, the panel shall obtain the services of a qualified person to represent the respondent. In the absence of such circumstances or other good cause, upon the failure of the respondent to serve an answer prior to the commencement of a hearing or to appear at the hearing, the panel may, in its discretion, preclude the subsequent assertion of any defense or the introduction of evidence on behalf of the respondent.

3. The arbitrator shall conduct the hearing and rule on all procedural matters, including the admissibility of evidence, subject to the right of each party to appeal to the panel. Upon such appeal, the decision of a majority of the panel members shall control. The panel shall have the power to enlarge the time appointed in these procedures for doing any act or taking any proceedings, where the interests of substantial justice appear to so require.

4. The hearings shall not be restricted by the rules of procedure or of the admissibility of evidence which prevail in the courts of law. Subject to the provisions of section 3 of this article III, each member of the panel, at the hearing, may inquire into whatever is believed relevant to the inquiry. Whenever the proceedings originate from a finding of scientific misconduct in accordance with the separate rules governing such proceedings, the hearing panel shall deem the report of the earlier committee to constitute the facts as to the existence of such misconduct.

5. The respondent may be assisted by counsel of his or her choice, as may be the charging party. Counsel for both sides shall cooperate at all times with the panel and the arbitrator.

6. A request by either party to present witnesses shall be made to the panel, which may limit the hearing of witnesses at its discretion. If witnesses are called, each party shall have the right of cross-examination.

7. Each party may introduce exhibits, which shall constitute part of the record of the case. They shall be retained in the custody of a suitable person designated by the chairperson unless, after appropriate precautions to preserve a record of their purport, the chairperson shall order otherwise.

8. A stenographic record shall be made of all proceedings at the hearing. However, on order of the chairperson, procedural matters may be discussed in executive session, the minutes of which need not be included in the transcript of the record of the hearing. This transcript shall be available to all parties to the hearing.

9. Each party shall have equal opportunity at the final session of the hearing for the summation of the case, either in person or by counsel, but no new evidence or testimony may be introduced during such summation.

10. All five members of the hearing panel shall be present at the hearing. If, after the commencement of the hearing, a member of the panel becomes unable to continue to serve, he or she shall be excused from further service. Should a member of the panel repeatedly fail
to carry out his or her obligations as a member of the panel, he or she may be discharged from further service upon the vote of a majority of the remaining members of the panel. In no event, however, may the hearing panel proceed with fewer than three members, and should the number of panel members be reduced to fewer than three, the Faculty Tenure Committee shall designate a new hearing panel which shall commence a de novo proceeding. The members of the original panel who remained on the panel at the time that it ceased to function shall be eligible to serve on the successor panel. The affirmative vote of a majority of the panel shall constitute any action by the panel. Subject to the foregoing, the panel may adopt rules not inconsistent with the provisions herein set forth.

11. Upon completion of the hearing, the panel shall deliberate and make its report. The deliberations shall be conducted in executive session and shall be attended only by the members of the hearing panel. The decision of the panel must be supported by a majority of its members and no recommendation of dismissal shall be made based solely upon the failure of the person involved to answer the charges or appear at the hearing.

IV. Report of the Hearing Panel of the Faculty Tenure Committee

1. The report of the hearing panel of the Faculty Tenure Committee shall be in writing and shall consist of (a) a transcript of the record of the hearing and the exhibits offered or introduced into evidence by the parties; (b) such findings, conclusions, and proposed sanctions as the panel shall make, including a statement of the facts deemed essential to the findings; (c) a memorandum setting forth the reasons for any recommendations, including any recommendation for severance pay where dismissal for cause is recommended; and (d) any memorandum submitted by any member of the panel, at his or her own discretion, with reference to his or her opinion as to the matters in controversy.

2. Each finding, conclusion, and recommendation shall be reported with the numerical vote of the members of the panel but not with the names of the members who voted for or against the same.

3. Complete copies of items (b), (c), and (d) described in section 1 of this Article IV shall be transmitted to the President of the University and to the parties to the hearing. Either party may take an appeal from the findings, conclusions, and recommendations of the hearing panel by filing a written notice of appeal with the President of the University within ten days of the receipt of the aforesaid items. In the event of an appeal, the full report as described in section 1 of this article IV shall be submitted to the Tenure Appeal Committee as described below.

V. The Tenure Appeal Committee of the University

1. The Tenure Appeal Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to hear an appeal from the findings, conclusions, and recommendations of a hearing panel of the Faculty Tenure Committee in a proceeding for the termination for cause of a tenured faculty member. Its powers are confined to such cases and do not extend to any other matter concerning the award or the termination of tenure.

2. The Tenure Appeal Committee shall consist of three persons, none of whom hold a full time appointment in the same school as the respondent, as follows: the chairperson of the Faculty Council; the chairperson of the Academic Affairs Committee of the Board of Trustees; and a person designated by the President of the University, ordinarily a dean, having the status of a tenured faculty member. In the event that either of the first two persons is unable to serve in a
given case, a substitute person shall be designated, respectively, by the Faculty Council and the Board of Trustees. Any substitute for the chairperson of the Faculty Council shall be a member of the Faculty Council and any substitute for the chairperson of the Academic Affairs Committee of the Board of Trustees shall be a trustee of the University.

VI. Action by the Tenure Appeal Committee

1. Upon the request of either the respondent or the charging party, the Tenure Appeal Committee of the University shall consider the findings, conclusions, and recommendations of the hearing panel of the Faculty Tenure Committee on the record made at the hearing before the panel. If the Tenure Appeal Committee deems the record not complete, it may refer the matter back to the panel for further data, findings, and recommendations.

2. An opportunity for argument before the Tenure Appeal Committee shall be afforded to each of the parties or their representatives before the final vote on the merits of the controversy.

3. Upon appeal a tenured member of the teaching staff shall be removed for cause only by a vote of a majority of the Tenure Appeal Committee to affirm the findings of the hearing panel in support of one or more of the charges. A recommendation for dismissal for cause made by the hearing panel shall be upheld only if the Tenure Appeal Committee determines: (i) that the findings against the respondent on one or more of the charges are supported by substantial evidence in the record as a whole; (ii) that the hearing was conducted fairly and in substantial compliance with the rules set forth above for the conduct of such hearings; and (iii) that the sanction of dismissal is appropriate. If the Tenure Appeal Committee does not determine that the findings in support of one or more of the charges are supported by substantial evidence in the record as a whole, or determines that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules, or that the sanction of dismissal is not appropriate it shall, as the interests of substantial justice shall require: (i) dismiss the charges; (ii) remand the case for a new hearing before the same or a new hearing panel; or (iii) reduce the sanction, provided however that any decision to reduce the sanction must be upon the unanimous vote of the Tenure Appeal Committee.

4. Where the hearing panel has sustained one or more of the charges but has not recommended dismissal for cause and has instead recommended a lesser sanction, the Tenure Appeal Committee shall, upon appeal, similarly review the findings, conclusions, and recommendations of the panel. The Tenure Appeal Committee is empowered to make the final determination with respect to the appropriate sanction to be imposed provided, however, that any decision to increase the sanction recommended by the hearing panel must be upon the unanimous vote of the Tenure Appeal Committee. Where the hearing panel has not sustained any of the charges, the Tenure Appeal Committee shall, upon appeal, again review the findings, conclusions, and recommendations of the panel, and where it determines that the findings are not supported by substantial evidence in the record as a whole or that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules to the detriment of the charging party, it may, in its discretion, remand the case for a new hearing before a new panel of the Faculty Tenure Committee.

5. After the conclusion of its deliberations, the Tenure Appeal Committee shall prepare a report setting forth its findings and conclusions, stating the reasons therefor, including the dissenting views of any member of the Committee.

6. The secretary of the University shall provide a copy of the report of the Tenure Appeal Committee to the parties and to the President of the University.
7. The final disposition of the case shall be made public only after the parties to the hearing have been officially informed of the decision of the Tenure Appeal Committee. Until that time no information concerning the hearings shall be disclosed to the public.

VII. General Provisions

1. The members of the Board of Trustees, the President and Chancellor of the University and other officers of administration, the members of the Tenure Appeal Committee, the members of the Faculty Tenure Committee, the dean and members of the faculty, and all witnesses and other participants in any hearing shall be absolutely privileged as to statements or publications made in connection with the hearings, and shall have complete immunity for any decision, statement of fact, or comment relating thereto.

Title IV: General Disciplinary Regulations Applicable to Both Tenured and Non-Tenured Faculty Members on the Tenure Track

1. [General obligations] Quite apart from any question of tenure or the termination for cause of the service of a faculty member with tenure, all faculty members have an obligation to comply with the rules and regulations of the University and its schools, colleges, and departments. These rules protect the rights and freedoms of all members of the academic community.

2. [Particular obligation] In particular, the faculty member is obligated to live up to the standards of academic freedom as outlined in this statement. Disciplinary action may also follow when the faculty member engages in other conduct unbecoming a member of the faculty, such as violation of the New York University Rules for the Maintenance of Public Order, any action which interferes with the regular operations of the University or the rights of others, any serious violation of the law, or any other conduct prejudicial to the teaching, research, or welfare of the University, and so forth.

Disciplinary Procedures

A. The following procedure is applicable where a question arises concerning an alleged violation by any member of the faculty of a rule or regulation of the University, with the exception of the proceedings brought by the appropriate official to terminate the services of a faculty member with tenure.

B. Initiation of Disciplinary Proceedings

1. [Who may file a complaint] Any officer of the University, any member of the faculty or staff, or any student may file a complaint against a member of the faculty for conduct prohibited by the rules and regulations of the University, or its schools, colleges, and departments.

2. [Summary suspension] Summary suspension pending investigation and hearing is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor or the Provost or the dean of the college, school, or division involved with the assent of the President and Chancellor or Provost, whenever, in the judgment of either, suspension is necessary in the interest of the University community.
3. [Where to file a complaint] The complaint shall be filed with the dean of the faculty member’s school, except that a complaint against a dean shall be filed with the Provost. Complaints must be filed within a reasonable time after an alleged violation.

4. [Informal resolution at school level] When a complaint is filed against a member of the faculty, an effort shall be made to resolve the matter informally under the direction of the dean of the member’s school at the departmental level or with a committee of the faculty of that school. Where the charge is against the dean as a faculty member, the informal effort shall be under the direction of the Provost. Where the matter cannot be resolved in this manner, disciplinary proceedings shall proceed.

5. [Hearing committee for the non-tenured] Where the faculty member does not have continuous or permanent tenure, the matter shall be referred, with all pertinent information, to the Chairperson of the Faculty Council, who shall appoint a special committee of the faculty, either members of the Council or not, to hear the matter. The majority of the committee members shall be from the school in which the faculty member holds primary appointment. The Chairperson of the Faculty Council shall appoint the chairperson of the committee.

6. [Procedures and authority under Item 5] The special hearing committee shall adopt its own rules of procedure and shall have authority to impose any of the penalties, other than dismissal, listed in paragraph B.9 and to recommend dismissal. Decisions shall be by majority vote. A recommendation for dismissal must be approved by the dean (except where he or she is the subject of the charge) and the Provost.

7. [Hearing committee for the tenured] Where the faculty member has continuous or permanent tenure, and the proceeding or charge was not brought by the President, and Chancellor, the Provost, or the dean of the member’s school or college, specifically in order to terminate service (Title III), the matter shall be referred to the chairperson of the Faculty Tenure Committee, who shall appoint a special hearing committee and chairperson from the membership of the Faculty Tenure Committee. One member of the hearing committee shall be from the college or school in which the faculty member holds primary appointment.

8. [Procedures and authority under Item 7] The special hearing committee of the Faculty Tenure Committee shall adopt its own rules of procedure and shall have authority by majority vote to impose any of the penalties, other than dismissal, listed in paragraph B.9. If the possibility of dismissal should be at any time involved, the procedure must follow that in Title III.

9. [List of penalties] Penalties for violations of the rules and regulations of the University, or its schools, colleges, and departments shall include, but are not limited to, the following:

   a) Reprimand
   b) Censure
   c) Removal of privileges
   d) Suspension
   e) Dismissal

10. [Appeal] A faculty member may appeal the decision by the hearing committee to impose a penalty. Appeal shall be to Provost. Grounds for an appeal shall be that the decision was not supported by substantial evidence in the record taken as a whole or that the proceedings were not conducted in substantial compliance with the principles enumerated herein. In cases involving scientific misconduct, substantial deviance from procedures set out for fact-finding within the affected school shall also be grounds for appeal. Any such appeal must be made to
the Provost within fifteen calendar days after receipt of notice of the decision of the hearing committee. The Provost may seek the advice of such individuals or groups as he or she deems appropriate.

In deciding the appeal the Provost may affirm or reverse the decision of the hearing committee, may remand the case for a new or further investigation by the same or a different committee, or may increase or decrease the sanction imposed as the interests of substantial justice appear to him or her to require. Where scientific misconduct is at issue, the Provost may also remand the case to the dean of the appropriate school with a request for a new or further fact-finding by the same or a new committee, appointed in accordance with the provisions of the rules governing such cases.
Additional Faculty Policies Applicable to Tenured/Tenure Track Faculty

Sabbatical Leave

Purpose

A sabbatical leave, as distinguished from a terminal leave, a leave without compensation, or a leave for reasons of health, is defined as a leave for the purpose of encouraging faculty members (including administrative officers who hold faculty rank) to engage in scholarly research or other activities that will increase their scholarly achievement or their capacity for service to the University. A sabbatical leave will not be granted for the purpose of taking regular academic or other employment of pecuniary advantage elsewhere. (A partial exception to this policy, applicable to certain kinds of research grants, is explained below.)

Eligibility

Except as provided by school policies that permit sabbatical leaves for Full-Time Non-Tenure Track/Contract Faculty, eligibility for a sabbatical leave is limited to full-time members of the faculty who have achieved tenure rights and who have completed six years of full-time service as members of the faculty at New York University. In general, at least six years must elapse between consecutive sabbaticals.

It is stipulated that at the conclusion of a sabbatical leave the faculty member will forward to the department chairperson and the dean copies of a report on activities undertaken during the period of the leave.

Term and Compensation of the Sabbatical

In general, a sabbatical leave is granted to the eligible faculty member, starting September 1, for the usual teaching terms (i.e., September to June inclusive) of one academic year, at three-quarters of annual base salary. However, as an alternative, a faculty member who has qualified for a full year of sabbatical leave at three-quarters salary may apply for such sabbatical to be divided into two terms falling within a seven-year period, each such term representing a seventh semester at three-quarters of the base salary applicable thereto. As another alternative, a faculty member who is qualified for a full year’s sabbatical leave at three-quarters salary may elect, in lieu thereof, to apply for only one semester of sabbatical leave during the sabbatical year, at the full base salary for that semester. Appropriate variations apply in units, such as the College of Dentistry, the School of Medicine and the Libraries, in which active service is rendered on a 12-month basis rather than a 9-month basis.

The cost of replacing a faculty member during sabbatical leave will be kept as low as possible by arrangements such as rotating (“bracketing”) courses, employing part-time faculty members, and making internal adjustments in the departments concerned.

Procedure for Granting a Sabbatical Leave

Application for a sabbatical leave should be made in writing by the faculty member and submitted to the department chairperson no later than December 1 preceding the academic year for which the leave is sought. Because of the impact of a leave on departmental planning, early application is recommended.
The department chairperson must forward the application with an accompanying recommendation to the appropriate dean on or before the following December 15. The recommendation shall include a statement of the proposed method of handling the normal duties of the faculty member while on leave.

The dean must forward each application and the accompanying recommendation of the department chairperson, together with the dean’s own recommendation, to the Office of the Provost on or before January 15. The Office of the Provost, after such additional consultation with the dean as may be desirable, will announce the determination.

**Sabbatical Leave and Sponsored Research and Related Activities**

All sabbatical leave arrangements approved by the University carry the restriction that the faculty member is not permitted to engage in any form of regular academic or other employment to supplement the sabbatical salary. However, a member of the faculty is entitled to supplement the salary provided by the University during the period of leave with funding provided by an external sponsor for research and related activities, in an amount approved by the sponsor, so long as the total compensation is no more than the full base salary and the leave otherwise comports with the terms and conditions of the award. The faculty member must take the initiative to report plans for sabbatical leave to the sponsor and identify the salary supplementation explicitly in the proposal whenever possible, and must make known to the department chairpersons and dean at the time of request for sabbatical leave that such funding is being, or will be, sought from the sponsor.

**Benefits During Sabbatical Leave of Absence**

During a leave of absence, benefits may be affected. The Benefits Office should be contacted for details regarding how to continue benefit coverage and the length of time for which benefits may be continued.

It is a faculty member’s responsibility to contact the Benefits Office to arrange for continuation of benefits. More information is available in the benefits booklets or at the Benefits Office.

**Tenure Clock Stoppage for Personal Reasons (Approved by the University Senate March 1, 2007)**

Tenure clock stoppage may be granted automatically for a maximum of two semesters during the probationary period for any one of, or combination of, the following personal reasons:

1. Tenure clock stoppage may be authorized during a period of full service to faculty members who are primary caregivers of a child; and to primary caregivers of a parent, a spouse, or a domestic partner in a health crisis of extended duration. A domestic partner qualifies if he or she is registered with the University for benefits purposes. “Primary care” means day-to-day responsibility for the care of a child, parent, spouse, or registered domestic partner for a substantial portion of the period.

2. Tenure clock stoppage may be authorized to a faculty member who is granted one or more full semesters of leave for any one of, or combination of, illness/disability leave, maternity leave, or personal leave.

Tenure clock stoppage for up to two semesters will be granted automatically in the case of a parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, upon notification to the Chair of the Department or, in the case of Schools without departmental organization, the Dean.
In other cases, a request for tenure clock stoppage normally will require advance approval by the Dean and the Office of the Provost. Requests should be made as early as possible, and when feasible, approvals should be in place no later than the onset of the semester preceding the period of tenure clock stoppage.

Note: The granting of tenure clock stoppage does not influence granting of tenure in the future.

Faculty Grievance Procedures

(Adopted by the University Senate May 10, 1973, approved by the Board of Trustees May 21, 1973)

The purpose of these regulations is to establish University procedures by means of which Tenured/Tenure Track faculty members can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under B, infra.

A. Faculty Grievances, General

Faculty grievances are classified into two main types:

1. Those connected with appointment, reappointment, promotion, or tenure.
2. Those concerned with other matters, such as duties, salaries, perquisites, and working conditions.

Although it may be preferable to treat all grievances as uniformly as possible, whatever the issue, those stemming from appointment decisions must be dealt with in a manner that conforms to the general appointment procedures. The initial protection for the faculty member is in the “Statement in Regard to Academic Freedom and Tenure” and the regulations and procedures on “Appointment and Notification of Appointment”. It is expected that most grievance cases, particularly those concerned with matters such as duties, salaries, perquisites, and working conditions, will be settled within each school or faculty. The schools and faculties have wide latitude in establishing procedures to meet their needs.

3. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

4. Each school or faculty shall establish a faculty committee to hear grievance cases in order to advise the dean. This grievance committee shall be elected by the voting members of the faculty and shall be a standing committee of the school or faculty. A majority of the committee shall be tenured members of the faculty. It shall not include departmental chairpersons or departmental heads or any faculty member whose primary assignment is administrative.

5. If a faculty member’s grievance is not settled informally at a level below the dean, or by the dean himself or herself, the faculty member may appeal to the dean to convocate the grievance committee of the school or faculty. The dean shall do so within 15 working days. 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 therefor, and information on the procedure for appeal.

6 Explanatory note: In any instance in which the dean has not convened the school’s grievance committee within the mandated 15 working days, the faculty member has the right to bring it to the attention of the Office of the Chancellor.
6. If a faculty member has no grievance at a level below the dean but the dean makes a decision against the faculty member, the latter may request the dean for a hearing before the grievance committee of the school or faculty. The dean shall convoke the grievance committee within 15 working days. After receiving the recommendation of the committee, the dean shall then make his or her final decision and shall notify as in A-5.

**B. Appeal from a Dean’s Decision on Appointment, Reappointment, Promotion, or Tenure**

1. Appeals from such decisions can be made only on the following grounds:

   a) That the procedures used to reach the decision were 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.

2. A faculty member intending to make an appeal shall indicate such intention in writing to the Provost within 15 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.

3. Where such an appeal is made, the dean shall transmit to the Provost a report of the proceedings in the case at its earlier stages. The Provost shall in each case obtain the advice of a standing committee of no less than three tenured faculty members selected by the Tenured/Tenure Track Faculty Senators Council but not necessarily members of that body. This committee shall be called the Tenured/Tenure Track Faculty Senators Council Grievance Committee.

4. The Tenured/Tenure Track Faculty Senators Council Grievance Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations, preferably within 30 days of the close of the hearing, but in any case within 60 days.

5. The Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. Evidence that a decision appealed from is so arbitrary that it has no rational foundation may be considered on the issue of “inadequate consideration” (B-1-a above)

6. The Committee shall at all times follow the requisites of a fair and equitable hearing, but it is not to be restricted by the technical rules of evidence or the formality of the adversary proceeding as in a court trial. In each case the Committee shall determine its own procedure, adapting the requirements of the particular case to the equity of the situation. This shall include, for example, the question of a record of the hearing, the examination of witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine whether he or she shall have the aid of an advisor or counsel.

7. After receiving the advice of the Tenured/Tenure Track Faculty Senators Council Grievance Committee, the President and the Chancellor of the University and Executive Vice President for Academic Affairs shall decide the case and notify the grievant, the dean, and the

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7 See previous footnote.
Chairperson of the Tenured/Tenure Track Faculty Senators Council Grievance Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision.

8. If the dean’s decision is favorable to the faculty member and hence is not appealed and the Office of the Chancellor of the University and Executive Vice President for Academic Affairs reverses that decision without seeking the advice of the Tenured/Tenure Track Faculty Senators Council Grievance Committee as described in B-1 through 7, the faculty member may then invoke the appeal procedure.

C. Appeal from a Dean’s Decision on Matters Such as Duties, Salaries, Perquisites, and Working Conditions (A-2 above)

Where such an appeal is desired by a faculty member and the Chancellor of the University and Executive Vice President for Academic Affairs is so informed within 15 days after the member is notified of the decision, the Central Administration shall make informal procedures available.

Appeal from the dean’s decision can be made only on the same grounds as in B-1 above.

D. Copies of the Grievance Procedures

A copy of the school’s grievance procedure and of this appellate procedure should be given to each full-time faculty member.

Retirement

Retirement of Tenured Faculty and Tenured Librarians [Bylaw 91]

“The tenure rights of Tenured Faculty and librarians who have attained tenure will cease August 31 of the academic year, September 1 to August 31, in which they give notice of their intention to retire from active service, unless an alternative effective date is agreed upon, and there shall be no presumption of reappointment thereafter.”

Professor Emerita; Professor Emeritus

The titles of Professor Emerita and Professor Emeritus are given only to full professors who have served New York University with academic distinction for a long enough time prior to retirement to have become identified historically in the profession as New York University professors. This title is given only upon formal retirement from active service, or at least from full-time active service. It is not automatic; it must be recommended by a department and approved through the normal procedures applicable to other academic titles. Comparable principles apply to the use of the designation Emerita and Emeritus for administrative personnel.
FACULTY POLICIES APPLICABLE TO FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY

Appointment, Reappointment, Promotion and Performance Assessment

The core principles and procedures for hiring, reappointment, promotion and performance assessment are found in the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty Appointments. In addition, Schools and units have their own internal rules, procedures, and policies, which may supplement the University Guidelines – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

Grievances Related To Reappointment and Promotion

The basic processes related to grievances related to reappointment and promotion are found in the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty Appointments. In addition, Schools and units have their own internal rules, procedures, and policies, which may he University Guidelines – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.
SELECTED UNIVERSITY RESOURCES FOR FACULTY

Libraries

NYU Libraries is an 11-library, 5.9 million volume system whose flagship is the Elmer Holmes Bobst Library on Washington Square. To learn more about the extensive resources and services available to faculty and students throughout NYU's global network, please visit the Libraries.

New York University Press

New York University Press publishes over 110 new books each year with nearly 3,000 titles in print. NYU faculty members are highly encouraged to submit book manuscripts in those disciplines where the Press is actively publishing: anthropology, criminology, cultural and American studies, environmental studies, law, media studies and communication, politics, religion, and sociology. While the Press considers manuscripts from scholars everywhere, it gives particular attention to the work of NYU faculty members.

Office of University Relations and Public Affairs

The Office of University Relations and Public Affairs (URPA) is responsible for ensuring that the University’s message, agenda, and image are effectively and creatively projected to external and internal audiences. URPA provides assistance to NYU academic and operating units in dealing with the media; publications needs, both online and print; interaction with government at all levels; planning major events; and outreach to the community, including student volunteer efforts.

Office for University Development and Alumni Relations

The Office of Development and Alumni Relations (UDAR) is dedicated to soliciting the private funds necessary to support the strategic goals of the University in teaching, learning and research. UDAR raises funds for immediate University use and also for the University's endowment for such critical operations as student aid, faculty support, academic and research program development, and facilities and infrastructure. Alumni may access the Alumni site for alumni news and information about benefits and events.

Office of Faculty Resources

The Office of Faculty Resources (OFR) helps faculty navigate various programs and services that NYU has to offer them. Faculty can find information on programs and departments that assist in the pursuit of teaching, research, funding, or simply living and working in New York City. Resources and Support

Offices for Research

A number of University offices are dedicated to directing and supporting faculty research, including externally sponsored research. These include the Office of Sponsored Programs (OSP), Contract Office, Environmental Health and Safety, Entrepreneurial Institute, Government Affairs and Civic Engagement, Office of Postdoctoral Affairs, Office of Veterinary Resources, Sponsored Programs Administration (SPA), University Animal Welfare Committee, and University Committee on Activities Involving Human Subjects. NYU provides a large number of institutional funding opportunities, research residencies through the Provost's Global Research Initiatives program, and international research programs at the portal campuses and research institutes of NYU Shanghai and NYU Abu Dhabi.

Faculty Resource Network
NYU’s Faculty Resource Network (FRN), established in 1984, is an award-winning professional development initiative that sponsors programs for faculty members from a consortium of over 50 colleges and universities, which are designed to improve the quality of teaching and learning at its member and affiliate institutions.

**Center for the Advancement of Teaching**

Established in 2001, and renamed in 2013, the Center for the Advancement of Teaching supports and nurtures effective teaching and learning at New York University, providing practical resources to members of the NYU community to enhance their effectiveness in the classroom.

**Visiting Scholars Program**

The program for visiting scholars, visiting research professors, and visiting exchange professors extends specified courtesy titles and privileges to scholars of distinction who visit New York University in order to engage in research and scholarship, and in general scholarly and cultural interaction with New York University’s faculty and students. The courtesy titles may not be granted for the purpose of providing free courses or other privileges to graduate or post-graduate students, or for the sole purpose of providing library privileges.

Visiting scholars, visiting research professors, and visiting exchange professors are considered guests of the University who may visit for a temporary period of up to one year (renewable). As non-employees, they have no teaching or other responsibilities and are not entitled to salary or housing. Visiting scholars, visiting research professors, and visiting exchange professors covered by this program may not in any way perform in the role of an employee at New York University. For further information, faculty members may contact their Dean’s Office and can view the Visiting Scholar application form.
The Students

THE ADMINISTRATION OF STUDENT AFFAIRS

Each school makes provisions for the organization, conduct, and supervision of intraschool student affairs including its own student government and student service groups. The Student Senators Council, acting with the University Committee on Student Life, has special responsibilities for studying and making recommendations in areas of student concern.

The University also offers a wide range of extracurricular activities, programs, and support services for students under the jurisdiction of the Senior Vice President for Student Affairs. When relevant issues or problems arise in working with students, faculty members may find useful resources and expertise in the areas listed below:

To help a student in trouble, faculty can contact Helping Someone in Trouble at https://www.nyu.edu/life/safety-health-wellness/wellness-exchange/helping-someone-in-trouble.html

The New York Division of Student Affairs encompasses the following offices and services:

Athletics, Intramurals and Recreation at http://www.gonyuathletics.com/

Center for Multicultural Education and Programs at https://www.nyu.edu/life/student-life/student-diversity/multicultural-educationandprograms.html


Student Resource Center at https://www.nyu.edu/life/resources-and-services/student-resourcecenter.html

Wasserman Center for Career Development at https://www.nyu.edu/life/resources-and-services/career-development.html

Student Health, including


Health Promotion at [https://www.nyu.edu/life/safety-health-wellness/student-health-center/services/health-promotion.html](https://www.nyu.edu/life/safety-health-wellness/student-health-center/services/health-promotion.html)


**Student Services at NYU Abu Dhabi and NYU Shanghai**


Information is available for NYU Shanghai at [http://shanghai.nyu.edu/campus-life/ss](http://shanghai.nyu.edu/campus-life/ss).

**Academic Discipline**

University Bylaw 80 provides that “the power of suspending or dismissing a student in any college or school is lodged with the voting faculty of that school, but the President and Chancellor or the dean of a college or school, or their respective representatives, may suspend a student pending the consideration of his or her case by his or her faculty. The Senate shall have power to act in situations involving more than one college or school.” In general, each school handles breaches of academic discipline, such as plagiarism or cheating on examinations. Matters involving breaches of the peace or disruptive disturbances may come within the jurisdiction of the Faculty or the Senate, depending on the nature of the circumstances. The Senate has approved a “Statement of Policy on Student Conduct at New York University” and the “Student Disciplinary Procedures”, as well as a general set of “New York University Rules for the Maintenance of Public Order”. For further information, contact the Dean’s Office in the appropriate school or the Office of the Vice President for Student Affairs.

**Student Press**

The general undergraduate newspaper is the Washington Square News, published daily and available online at [http://www.nyunews.com](http://www.nyunews.com) and through a smartphone app.

**Privacy of a Student’s Educational Records**

Among its several purposes, the federal Family Educational Rights and Privacy Act of 1974 (FERPA) was enacted to protect the privacy of a student’s education records, by limiting access to student records and the disclosure of information contained in them, to establish the rights of students to inspect and review their education records, and to provide students with an opportunity to have inaccurate or misleading information on their education records corrected. See “Guidelines for Compliance with the Family Educational Rights and Privacy Act of 1974”.
Selected University Policies

SELECTED POLICIES CONCERNING THE PROTECTION OF RIGHTS AND OTHER MATTERS

NYU Code of Ethical Conduct
NYU Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees
Affirmative Action Policy/Equal Opportunity Policy
Preventing Threatening or Violent Behavior in the Workplace
Legal Protection for Faculty Members
Procedures for Termination or Reorganization of Academic Programs
Policy on the Employment of Members of the Same Family
University Practice with Respect to Memberships and Subscriptions
Guidelines for Compliance with the Family Educational Rights and Privacy Act (FERPA)
Guidelines for Sponsored Research
Principles and Procedures for Dealing with Allegations of Research Misconduct
Policy on Academic Conflict of Interest and Conflict of Commitment
Statement of Policy on Intellectual Property
Educational and Research Uses of Copyrighted Materials Policy Statement
Statement of Policy on Honorary Degrees
University Calendar Policy on Religious Holidays

SELECTED POLICIES CONCERNING GOOD ORDER IN THE CONDUCT OF UNIVERSITY AFFAIRS

Guidelines for the Use of University Facilities
New York University Rules for the Maintenance of Public Order
Statement of Policy on Student Conduct at New York University
Student Disciplinary Procedures
Policy on Solicitation
Speakers and Other Campus Visitors
Guidelines Regarding Protest and Dissent
New York University Policies on Substance Abuse and Alcoholic Beverages
University Smoke Free Campus Policy
February 9, 2015

Memo to: Ann Marie Mauro  
Chairperson, N/C Faculty Senators Council

From: David W. McLaughlin

Subject: N/C Faculty Senators Council Recommendations for the Faculty Handbook

Thank you for the review and recommendations of the Task Force on Review of the Faculty Handbook and Guidelines with respect to the proposed September amendments to the current April 2014 edition of the Faculty Handbook. As you know the September amendments were developed by the Office of the Provost and the Office of General Counsel working with the T-FSC. I reviewed the comments that the N/C-FSC as well as the T-FSC submitted in November, and was also advised of the discussion at the December 9 joint meeting of T-FSC and N/C-FSC representatives with the administration. 1 In December, I also consulted the Deans about proposed amendments to the Handbook.

Based on this iterative process, my office finalized the new edition of the Faculty Handbook, which will be transmitted to the Trustees for review at its February 19, 2015 meeting. Subject to Trustee approval, the Handbook will be effective as of March 1.

I am attaching a clean copy as well as a redlined copy that tracks changes to the April 2014 edition. The new Handbook will be posted and the redlined document will be archived at http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook.html.

The Faculty Handbook incorporates the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty. After an iterative process in fall 2014 that considered the recommendations of the two faculty senators councils and the deans, my office in consultation with the Office of General Counsel amended the Guidelines that were first posted on an interim basis in June 2014. I address these amendments in a separate memo.

Again, I appreciate the Council’s careful review of the Handbook, and your suggestions for improving this important document. In the following pages I respond to each issue that the Council raised in its November memo.

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1 Meeting participants were Warren Jelinek, Jim Uleman, and Mitchell Kane representing the T-FSC Governance Committee; John Halpin and Fred Carl, Co-chairs of the N/C-FSC Task Force on Review of Faculty Handbook and Guidelines; General Counsel Terry Nolan, Senior Associate Provost Carol Morrow, and Assistant Provost Peter Gonzalez.
RESPONSE TO N/C FSC NOVEMBER 2014 RECOMMENDATIONS
ABOUT SEPTEMBER 2014 DRAFT HANDBOOK
(N/C-FSC page references cite the September 2014 draft)

Recommendations 1-3:
1. Foreword: Amending the Faculty Handbook, final sentence of Paragraph 1:
   “Nothing in this Handbook constrains the Board of Trustees from making changes to this Handbook with
   respect to any matter, and in the manner, it finds appropriate in carrying out its duties; and
   administration will notify the Executive Committee of the Faculty Senators Council if the Board of
   Trustees makes any change to the Faculty Handbook.” Recommendation: Add “and the Steering
   Committee of the Full-Time Non-Tenure Track/Contract Faculty Senators Council” after “Faculty
   Senators Council.”

2. Foreword, Amending the Faculty Handbook,
   Paragraph 3: Recommendation: Similarly to the above Recommendation, add “and the Full-Time Non-
   Tenure Track/Contract Faculty Senators Council” after every mention of the “Faculty Senators Council”
   (lines 1, 6, 7, 9, 12); and add “and the Steering Committee of the Full-Time Non-Tenure Track/Contract
   Faculty Senators Council” after “Faculty Senators Council” (line 11). Or, simply add an “s” to every
   mention of Faculty Senators Council, as in “Faculty Senators Councils.”

3. Foreword, Footnote 2:
   Recommendation: Similar to the above Recommendation, add “and the Full-Time Non-Tenure
   Track/Contract Faculty Senators Council” after every mention of the “Faculty Senators Council”
   (lines 9, 11, 13); and add “and the Steering Committee of the Full-Time Non-Tenure Track/Contract
   Faculty Senators Council” after “Faculty Senators Council” (line 10).

   The consultative and notification processes for amending the Handbook that apply to the T-FSC
   shall also apply to the N/C-FSC; this was the intent of the September amendments and is agreed by the T-
   FSC as well. The Handbook incorporates Recommendation 1, 2, and 3.

4. Foreword, Important Additional Information: The first sentence states “schools and colleges will
   supplement this text with information on local procedures and day-to-day operations.” Recommendation:
   In first sentence, clarify that “schools and colleges will supplement this text with information on local
   procedures and day-to-day operations,” and add “but they cannot contradict policies in the Faculty
   Handbook.”

   The Handbook reads, “schools and colleges will supplement this text with information on local
   procedures and day-to-day operations, consistent with University Bylaws, this Handbook, and University
   Policies.”

5. Principles of Shared Governance, Page 16, Items 1-5. Recommendation: Clarify that these Five
   Principles of Joint Shared Governance apply at present to both the T-FSC and the FTNTT/CF FSC,
   either by repeating them, with the appropriate Council name change, in the section on this page for the
   FTNTT/CF Senate Council, or create a new section clearly stating that the Principles apply to both
   faculty senate councils.

   Extending the Principles of Joint Shared Governance to the N/C-FSC was anticipated in the
   September draft. The T-FSC also requested that this be further clarified. Accordingly, the Handbook
   creates a new section entitled “Principles of Joint Shared Governance” that appears after the sections on
   the two Faculty Senators Councils.
6. Faculty Policies Applicable To All or Most Members of The Faculty Including... Recommendation: Delete the words “OR MOST” since the heading specifies the three defined categories of faculty.

The heading accurately communicates that not everything in this section applies to every faculty member. For example, “Restriction on Outside Employment” does not apply to part-time faculty. Accordingly, the existing language is retained.

7. Teaching and Research Assignments for Full-Time Faculty, Page 29 line 4, final full sentence: Recommendation: Clarify explicitly that some school policies do not require all full-time faculty to be engaged during the summer in “scholarly activity for professional growth.”

The Handbook deletes the sentence, “The summer months are generally expected to be spent partly in scholarly activity for professional growth and partly in rest and recreation.”

8. Term of Administrative Appointments [Bylaw 77], Page 35: Appointment to an administrative office, including but not limited to the office of executive dean, dean, vice dean, associate dean, assistant dean, director, secretary, department head, and department chair, will be without limit of time, unless otherwise specified, but may be terminated at any time without prejudice to any rights of the officer as holder of a professorship...” Recommendation: Clarify that the word “professorship” is a general term, and therefore applies to both tenured/tenure track faculty and full-time non-tenure-track/contract faculty.

The Handbook adds a sentence after the full citation of Bylaw 77: “A faculty member's otherwise contractual rights are not affected solely by removal from an administrative position.”

9. Policies Applicable To Tenured And Tenure Track Faculty, Title I, Section I, II and IV, page 37. Recommendation: For clarity, since the references to academic freedom stated here apply to both tenured/tenure track faculty (hereinafter referred to as “TTF”) and non-tenure track/contract faculty (hereinafter referred to as “NTT/CF”), begin this section with those policies (see Page 28, paragraph 6: “Tenured faculty members are also entitled to other protections related to tenure and academic freedom, discussed in more detail...”) that refer only to TTF, e.g., Title I, Section III, V-IX. 3.

The statement on Academic Freedom and Tenure is a coherent self-contained document that appropriately resides in full in the section on Policies Applicable to Tenured and Tenure Track Faculty. This important document was formulated as a whole and its integrity is not served by splitting the document or presenting it out of sequence. Accordingly, the existing language is retained.

10. Title IV, General Disciplinary Regulations Applicable to Both Tenured and Non-Tenured Faculty Members on the Tenure Track, page 51. Recommendation: As there is no set of general disciplinary regulations applicable explicitly to FTNTT/CF in the Faculty Handbook or the Guidelines (see below), a set of regulations and policies that mirror those set forth here in Disciplinary Procedures, Sections B. 5 through B. 10 for TTF must be developed that explicitly apply to FTNTT/CF. There should be a sense of urgency to the development of those regulations, but, most importantly, they should be guided by parallelism when compared to those set forth here for TTF. Those regulations should reiterate explicitly that language such as that stated in Title IV, #1 [General obligations]), #2. [Particular obligation], Disciplinary Procedures, Section A, Section B.1, B. 2, B. 3, B. 4 apply to all faculty, regardless of tenure or contract status. In the interim, it should note in the Handbook that the immediately above-mentioned sections do, in fact, apply to all faculty.

Title IV Disciplinary Procedures are part of the University’s “Statement in Regard to Academic Freedom and Tenure,” tenure regulation and derive from the AAUP 1940 statement on Academic Freedom and Tenure. Title IV procedures apply to Tenured/Tenure Track Faculty, and reflect the special
circumstances of disciplining faculty who have the (potential) protection of life-time employment. Issues related to disciplinary procedures for FTNTT/CF will be discussed more fully later this spring. Pending this review, disciplinary procedures that apply to all University employees (other than the tenured/tenure track faculty) will apply to FTNTT/CF.

11. Sabbatical Leave, Eligibility, Page 54, paragraph 1. **Recommendation:** Add clarifying language, such as: Except where permitted by school policies that permit FTNTT/CF sabbatical leaves, eligibility for a sabbatical leave is limited to full-time members of the faculty who have achieved tenure rights....” Or “Eligibility for a sabbatical leave is limited... full-time service as members of the faculty at New York University and, when permitted by specific school policies, to FTNTT/CF, according to those policies.”

The Handbook adds the phrase, “Except as provided by school policies that permit sabbatical leaves for Full-Time Non-Tenure Track Contract Faculty.”

12. Faculty Policies Applicable To Full-Time Non-Tenure Track/Contract Faculty, Page 60. **Recommendation:** Following the suggestion in the Memorandum to Provost David W. McLaughlin, dated October 13, 2013, “University Guidelines for Full-Time Contract Faculty Appointments,” from Jules Coleman and Carol Morrow, we recommend that the grievance procedures for FTNTT/CF (see below for our specific recommendations related to the Guidelines) be incorporated into the Faculty Handbook.

Pending further amendments to the Guidelines, as described in my separate memo on this subject, and ultimately Trustee approval of them, my preference is for the Handbook to continue to incorporate the Guidelines as a hyperlink (as it does for Selected University Policies).

**Attachment**
Faculty Handbook, February 2015 (clean and redlined)

Cc: N/C-FSC Steering Committee Members: Randy Mowry, Vice Chairperson, Fred Carl, David Elcott, Mary Killilea, Susan Stehlik, Patrick Ying
    Peter Gonzalez, Assistant Provost, Academic Appointments
    John Halpin, N/C-FSC Task Force Co-Chair
    Carol Morrow, Senior Associate Provost and Chief of Staff to the Provost
    Terry Nolan, General Counsel and Secretary of the University
    Karyn Ridder, Manager, Office of Faculty Governance
    Raghu Sundaram, T-FSC Chairperson
In accordance with the Foreword, Procedures for Amending the Faculty Handbook, this edition of the Faculty Handbook was reviewed by the Tenured/Tenure Track Faculty Senators Council and the Full-Time Non-Tenure Track/Contract Faculty Senators Council, each of which provided input.
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Introduction

LETTER FROM THE PRESIDENT

I have the great privilege of greeting you as president and professor of New York University. In both capacities, I salute you for intellectual endeavor of the highest order—in the classroom, laboratory and beyond—mentoring and advising graduate and undergraduate students. In all this and more, you internalize our collective interest as part of your own interests and thereby embrace the notion of a common enterprise university. For the inescapable challenge of stating, debating, and renewing the purpose of such a university demands that all faculty act as true partners, each contributing to the university's self definition as it emerges over time.

At the core of every great institution of learning is its faculty. And you join us at an exciting time in the University’s long and distinguished history. We are at a threshold moment, for we have chosen to transform our institution from one of the leading research universities in the world into an institution that will establish a new level of educational excellence. You are at the core of that effort, and we will not compromise in our ability to secure the best possible talent to join you as we build an institution of unique stature.

President John Sexton
ETHICAL COMMITMENT

New York University has a strong institutional commitment to lawful and ethical behavior, and a fine reputation, which its faculty members have earned over the years. This is one of the University’s most valuable assets. In an increasingly complex world, the University can maintain its leadership in education and research only if it continues to merit the trust of its entire constituency.

All New York University faculty and employees are expected to carry out their institutional responsibilities in accordance with applicable legal and ethical principles. If any questions arise about how the University’s principles, standards, or policies apply, they should be brought to the attention of the appropriate dean or University administrator.

Please refer also to the “NYU Code of Ethical Conduct”.

FOREWORD

(Approved by the University Board of Trustees on March 14, 2014 and February 19, 2015)

Purpose of Handbook

The Faculty Handbook is a guide to the Faculty and is designed to present general information about New York University, and some of the more important University policies and practices as they apply to the Faculty of the University. It also is meant to inform and serve other members of the University Community. The Handbook is maintained by the Office of the Provost. It has been compiled from a number of sources. Significant portions of the Handbook have been adopted by, or reflect actions of, the University’s Board of Trustees, including, among others: the excerpted portions of the University’s Charter and Bylaws; matters involving the Faculty organization, such as with respect to academic freedom, and tenure, appointment of Faculty, Faculty and grievance procedures, and organization of the Faculty; the establishment of University Councils and Committees; and key policies, including the NYU Code of Ethical Conduct, Policy on Academic Conflict of Interest and Conflict of Commitment, and Statement of Policy on Intellectual Property. Certain Portions of the Handbook provide an overview of the University and its administrative offices, libraries, and student affairs. The Handbook also provides hyperlinks to Selected University Policies, which represent a broad array of policies, including policies that principally affect Faculty and policies that may be of interest to Faculty but that apply broadly throughout the University Community.

The policies outlined in the Faculty Handbook as in effect from time to time form part of the essential employment understandings between a member of the Faculty and the University. Policies beyond those referenced in the Handbook are available here. In addition, Schools and units have their own internal rules, procedures, and policies, such as School statements on Faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement—but do not supersede or replace—policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

Amending the Faculty Handbook

Whenever the University Senate, a University Council, a Dean, or Faculty of a School (which includes a College or equivalent institute for purposes of this Handbook) seeks to propose changes to the Faculty Handbook, the body or person should first contact the Office of the Provost. The Provost (or his or her designee) will ascertain, based on the nature of the proposed change, whether the matter may be handled solely within the Office of the Provost, or whether the matter falls within the purview of the Office of the President of the University (which includes for this purpose all departments reporting directly or indirectly to the President other than those that report up through the Office of the Provost) and/or the Board of Trustees. In the event that the matter is within the purview of the Office of the President, the Provost (or his or her designee) will submit a recommendation to the President (or his or her designee) with respect to the proposed change. If the matter is within the purview of the Board of Trustees, the Provost (or his or her designee) will submit a recommendation to the President as to whether the President should present the matter to the Board for its consideration. Nothing in this Handbook constrains the Board of Trustees from making changes to this Handbook with respect to any matter, and in the manner, it finds appropriate in carrying out its duties; and administration will notify the Executive Committee--leadership of the Tenured/Tenure Track Faculty Senators Council and the Full-Time Non-Tenure Track/Contract Faculty Senators Council if the Board of Trustees makes any change to the Faculty Handbook.
To clarify the history of the Faculty Handbook or a policy included in the Faculty Handbook, the Provost’s Office will maintain an on-line resource available to the Senate, the University Councils, the Deans, and Faculty of the Schools with the following information: state whether the provision or policy ultimately was promulgated by the Board of Trustees, the Office of the President, or the Office of the Provost; specify when a Senate or a Council comprising the Senate had the opportunity to review and comment on the provision or policy; and set forth the effective date of the provision or policy.

The administration of the University consults with the two Faculty Senators Councils with respect to additions and changes that it seeks to make to the Faculty Handbook, including changes to policies provided only by hyperlinks, before inclusion in the Faculty Handbook other than in exceptional circumstances.1 Consistent with the five Principles of Joint Shared Governance, this includes the administration providing a reasonable length of time for consultation and input by the Faculty Senators Councils; and, where the administration does not agree with written advice it receives from either or both the Faculty Senators Councils, the administration providing in writing, and in a timely manner, its reasoned justification for not accepting the advice. If an addition or change to the Faculty Handbook is made before either or both the Faculty Senators Councils reviews the addition or change, the addition or change is considered effective; however, the administration will provide an explanation to either or both the Executive leadership Committee of the Faculty Senators Councils, and the table of contents and text will indicate that the matter is still being reviewed by either or both the Faculty Senators Councils.

**Important Additional Information**

The separate schools and colleges will supplement this text with information on local procedures and day-to-day operations, consistent with University Bylaws, this Handbook, and University Policies. Some schools have written statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, supplementing policies outlined in this Faculty Handbook. It is important to become familiar with these policies and procedures. Department chairs or deans should be contacted for more information.

Contact information Names, addresses, and telephone numbers have not been cited, because of the expected long life of this Handbook. Such information is available on-line through the NYU Public Directory and the directories of the individual schools, which provide contact information for particular offices and services, as well as for individual faculty members. It should be noted that many administrative departments have policies, consistent with the rules of the Handbook, which affect the

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1 The Faculty Handbook includes a substantial amount of descriptive material (e.g., the history of the University, excerpted portions of the University Charter and Bylaws, information about the University’s officers, information about the University Senate and its Councils and Commission Committees, information about the Libraries and the University Press, information about administrative departments of the University such as University Relations and Public Affairs, the Office for University Development and Alumni Relations, and the Office of General Counsel, information about benefits, selected University resources available to faculty, and information about student affairs). It also includes hyperlinked policies. There will be changes from time to time to these materials that have little or no effect on faculty with respect to educational and administrative policy and often are quite minor. In such cases, changes may be made to these materials without prior consultation with the Faculty Senators Councils. The administration will promptly notify the Executive leadership Committee of the either or both Faculty Senators Councils of any such changes; and if, after receiving such notification, the either or both Faculty Senators Councils believe(s) that it they should have an opportunity to review and comment on the changes, it they should so notify the Office of the Provost and also may ask that the table of contents and text indicate that the matter is still being reviewed by the Faculty Senators Council(s). The addition or change is considered effective unless subsequently changed.
operations of those departments, as well as the privileges and responsibilities of faculty members. These are available through the individual schools and departments and may be posted on their websites. Faculty should become familiar with this array of policies as necessary and appropriate. It is expected that the number of policies available on the web will continue to increase over time.

It is expected that this Handbook will be brought up to date periodically and that a version will be created for and kept up to date on the NYU web site. A faculty member may verify information cited in this Handbook with the Dean’s Office.
APPLICATION OUTSIDE OF THE UNITED STATES

The University Policy on Policies provides: "University policies articulate the values and principles the University upholds and the obligations imposed on members of the University Community. Thus, University policies apply in connection with the operations and activities of the University regardless of location. As a Global Network University that operates in an expanding international environment, the University will encounter varying laws and business practices as it conducts its affairs outside the United States. To the extent that a University policy or a provision of a policy conflicts with the laws in another country, the University seeks to comply with the laws of the jurisdiction in connection with its operations and activities in that jurisdiction. However, differences between University policy and foreign laws may not be self-evident and can be complex. Therefore, whenever there is a question regarding the University’s legal responsibilities at locations outside the United States, the University’s Office of General Counsel must be consulted to evaluate the University policy in the context of foreign laws and to advise on the appropriate course of action. Affiliates are encouraged to use the standard policy format to help ensure uniformity of form and appearance for policies and procedures throughout the University. Their policies or procedures may not be contrary to University policies in language, purpose, intent or application. Any such policy that is contrary to University policies is void and will not be enforced unless approved in advance by the University President or his/her designee."

Draft
The University

HISTORY AND TRADITIONS OF NEW YORK UNIVERSITY

A Brief History of New York University

Founded in 1831 by a farsighted group of prominent New Yorkers, the “University of the City of New-York” (as NYU was originally known) was envisioned from the start as something new: an academic institution metropolitan in character, democratic in spirit, and responsive to the demands of a bustling commercial culture.

The group of founders—which included former Secretary of the Treasury Albert Gallatin—envisioned a non-denominational institution that would be “a social investment and a direct response to the needs of the rising mercantile classes in New York,” intended both for those students “who devote themselves to scientific or literary pursuits,” and for those preparing for “the learned professions, commerce, or the mechanical and useful arts.”

In October 1832, the first classes began in rented quarters located downtown near City Hall, in contemporary subjects such as architecture, civil engineering, astronomy, chemistry, sculpture, painting, English and modern languages, as well as classical Greek and Latin.

After a search for a permanent home, the University Council purchased the northeast block of Washington Square East for $40,000, and a handsome Gothic building was built there in 1835. The University Building, as it was known, offered an urbane mix of academic spaces on its lower floors and rental apartments above—rooms and studios whose extraordinary roster of tenants included the artist Winslow Homer, the inventors Samuel F.B. Morse and Samuel Colt (who perfected the electric telegraph and revolver there, respectively), and the architects A.J. Davis and Richard Morris Hunt.

Throughout the 19th century, the University suffered from financial problems and an undergraduate enrollment that never exceeded 150 students. However, though the undergraduate program struggled to fulfill the vision of its founders, NYU’s professional and graduate programs—in law (1835), medicine (1841), dentistry (1865), arts and sciences (1886), and education (1890)—were a success from the start, contributing to New York’s stunning commercial rise and serving as an engine of upward mobility for thousands of native-born and immigrant New Yorkers.

In the late 19th century, under the leadership of Chancellor Henry Mitchell MacCracken, the university advanced significantly, drawing together its far-flung schools under central control and attracting a more business-like Board of Trustees and donors. In what he called a “second founding,” MacCracken moved the undergraduate schools of arts and science and engineering to an entirely new campus in the Bronx, on a bluff overlooking Manhattan—a stunning second home for what was now known by a new name: New York University.

Having moved nearly all of its undergraduates to the new Bronx campus, NYU turned Washington Square into a bustling center for graduate and professional training—including one of the country’s first university-affiliated business schools (1900)—to serve what had become the undisputed commercial capital of America and the second-largest city in the world.

Then, in 1914, NYU made the decision to establish an additional undergraduate program downtown that would serve commuter students. Called Washington Square College, it offered an education to nearly all qualified students, regardless of background. With students who were “famished...for knowledge, any
kind of knowledge,” and a young and creative faculty, Washington Square College was, in one professor’s later words, “the most exciting venture in American education that I had ever heard of.”

As enrollments exploded—from 500 students in 1919 to more than 7,000 by 1929—NYU scrambled to hire instructors. Among them was a young writer named Thomas Wolfe, who, while working on his first novel, Look Homeward, Angel, taught English from 1924 to 1930. There is “no other way in which a man coming to this terrific city,” he wrote, “could have had a more…stimulating introduction to its swarming life, than through the corridors and classrooms of Washington Square.”

A number of new graduate schools complemented NYU’s undergraduate growth: the College of Nursing (1932), the Institute of Fine Arts (1933), the Courant Institute of Mathematical Sciences (1934), and new colleges in continuing education (1934; now the School of Professional Studies) and public service (1938), the latter founded with the encouragement of Mayor La Guardia, himself an NYU alumnus.

NYU had taken on a role like no other private university in American history: a vast educational machine, by which tens of thousands of upwardly mobile New Yorkers—most of them Jewish and Catholic students, from working and middle-class families—could receive college-level training and move into the professions or business. With the largest private enrollment in the country—an astonishing 47,000 students by 1939—NYU had in many ways become the great urban university its founders dreamed of.

The postwar decades were a period of continued growth for NYU, as returning GIs swelled the student body even further; schools of social work (1960), the arts (1965), and individualized study (1972) were added; and plans were made under the leadership of President James Hester to construct the university’s first central library.

By 1973, however, as New York City reeled from years of rising crime and financial troubles and enrollments declined, NYU—which had been running annual deficits since 1964—reluctantly sold its Bronx campus in order to regain solvency.

These difficulties had one very positive result: they provided the opportunity to make a sweeping assessment of NYU’s future. The university had been founded on the two ideals of democratic promise and academic excellence. Since the 1920s, NYU had been fulfilling its democratic promise as no other private university in America; now, emerging from the crises of the ‘70s, it daringly sought to fulfill its founders’ other dream—to transform itself from a respected metropolitan institution to a global seat of learning, in the top tier of world universities.

Throughout the 1970s, NYU gradually regained firm financial footing and began to improve the quality of its faculty, strengthen the curriculum, and establish more stringent admissions requirements. By the early 1980s, with the university’s financial health restored and New York itself emerging at last from decades of social and economic troubles, NYU was poised for a new era of growth.

In 1984, seeking to achieve what its recently appointed president, John Brademas, called “a new position of eminence in American higher education,” NYU undertook one of the first billion-dollar capital campaigns in academic history. Raising two million dollars a week for five hundred weeks, the university reached its goal in only ten years—five years ahead of schedule. President Brademas’s tenure also saw the transformation of Washington Square from a largely commuter campus into a residential one, with extensive construction and renovation of residence halls.

In 1991, NYU’s chancellor, L. Jay Oliva, was tapped as the university’s new president. Under President Oliva—a historian who had spent his entire academic career at NYU—the pace of advancement continued without stop. One of his primary goals was to ensure that the fast-rising stature of the
professional schools and arts divisions were matched by an equivalent commitment to the humanities and social science departments—many of which are now ranked among the best in the world.

President Oliva also oversaw a major growth in international studies, drawing record numbers of international students and scholars to NYU and establishing more study-away sites abroad. In 1994, NYU’s global presence gained a powerful centerpiece when Sir Harold Acton bequeathed Villa La Pietra, a 57-acre estate in Florence—at the time the largest single gift made to an American university.

By the end of the millennium, the university had accomplished the near-impossible, dramatically raising the academic rankings, professional stature, and student selectivity of nearly every one of its divisions and departments. As one scholar wrote in 2003, NYU was “the success story in contemporary American higher education.”

Under John Sexton, who became president in 2002 after coming to NYU as a faculty member and then serving as dean of the Law School, NYU’s reach and stature have grown still further, securing its position as one of the world’s premier research universities and a global leader in higher education in the 21st century.

Early in President Sexton’s tenure, the university identified a key strategic priority: the need to expand, strengthen, and energize the arts and sciences, the academic core of the university. From 2004 to 2009, the Partners program—led by a gift of $60 million from six trustees and matched by another $150 million in university funds—resulted in the most rapid expansion of NYU’s faculty in its history. With 125 positions added to the arts and science faculty—an increase of some 20 percent—and significant renovations made to academic facilities, the Partners program had a transformative effect on scores of academic departments.

Another recent academic milestone has been the re-establishment of engineering at NYU for the first time since the sale of the Bronx campus in the 1970s. After beginning a successful affiliation with Brooklyn’s Polytechnic University in 2008, a full merger between the two schools resulted in the creation of the NYU Polytechnic School of Engineering in 2014.

The past decade has seen the founding of several prominent institutes and centers as well, including the Institute for the Study of the Ancient World (2006), the Center for Urban Science and Progress (2012), and the Global Institute of Public Health (2012).

A signature of President Sexton’s tenure has been the creation of a new model of university: the global network university. Building on the international presence it established in the 20th century, NYU in the 21st century added more global academic centers, with a particular focus on expanding outside of Europe to locations such as Accra and Buenos Aires. Then, in 2010, in what President Sexton termed “an audacious step in higher education,” the university opened NYU Abu Dhabi, the first comprehensive liberal arts campus in the Middle East to be operated by an American research university. A second campus, NYU Shanghai, followed in 2013. Today, with its three campuses in New York, Abu Dhabi, and Shanghai and 11 academic centers on six continents, no university has a greater global presence.

In 1831, NYU’s founders chose to create an institution of learning that would be “in and of the city.” In the ensuing years, New York City has become the world’s first truly international city, and NYU has evolved with it. NYU’s more than 44,000 students and 4,500 faculty members are uniquely positioned to shape the 21st century as creative, thoughtful, engaged citizens. They learn and teach at what has become one of the world’s premier institutions of higher learning. They draw from and contribute to the inexhaustibly rich complexity of New York City. And, as they circulate throughout the global network, they build cultural bridges and perspectives that are critical in an ever-more global society. Still vitally “in and of the city,” NYU is now, too, “in and of the world.”
In the early part of the 19th century, a group of prominent New Yorkers, among whom were several individuals who would become founders of New York University, formed the New York Athenaeum, a society devoted to the discussion and advancement of science, art, and literature. The concept of higher education, grounded in practical and utilitarian concerns rather than solely on scientific or professional considerations, was a considered topic.

In December 1829, a group of nine men, including representatives of the clergy, the commercial occupations, law, and medicine met at the home of Reverend James Mathews to explore the possibility of establishing an institution of higher education that would operate according to their collective vision. This gathering and several subsequent others resulted in the call for a public meeting to lay the groundwork for the establishment of the University of the City of New-York.

During the public meeting, which took place at the New-York Historical Society in January 1830, Jonathan Wainwright of Grace Episcopal Church echoed the general thinking of the group, now appropriately called the University’s founders. Complementing the Jacksonian politics of the era, he proposed a curriculum based on “useful instruction” for the mercantile class. Albert Gallatin, resident of New York City and former Secretary of the Treasury, shared the vision of the formulation of a non-denominational college, which would “enlarge the opportunities of education for those qualified and inclined.” He described his motivation in a letter to a friend: “It appeared to me impossible to preserve our democratic institutions and the right of universal suffrage unless we could raise the standard of general education and the mind of the laboring classes nearer to a level with those born under more favorable circumstances.”

Not only would traditional courses in law, medicine, and theology be offered, but also courses, which taught the skills that would enable students to become “merchants, mechanics, farmers, manufacturers, architects, and civil engineers.” The curriculum would include modern languages in addition to Latin and Greek, history, natural science, philosophy, and economics. Financing was arranged through the sale of stock at $25 per share. Shareholders, with one vote for each $100 subscribed, chose the 32 members of the first Council. Albert Gallatin was elected President of the Council and Reverend James Mathews became the first Chancellor. Shortly thereafter, during a convention of national leaders in the chamber of the Common Council at City Hall, Gallatin outlined his educational philosophy and suggested establishing an English college, in addition to the classical curriculum, where the study of ancient languages would not be required.

In 1830, the New York State Legislature received a petition to charter the University of the City of New-York which included a plan for two departments of instruction: “one for elementary and practical education in the classics, in English and American literature, and the sciences, and one partaking of the character of a university as on the continent of Europe,” as in the German universities and the newly-founded University of London. Medicine, law, and teacher instruction were to follow. On April 18, 1831 the New York State Legislature accordingly chartered the University of the City of New-York.

The University Council rented lecture rooms in Clinton Hall, a new four-story building located downtown near the City Hall, and instruction began in the fall of 1832. Since Clinton Hall was situated in the heart of the bustling, noisy commercial district, the University Council looked uptown for a permanent and more suitably academic environment. For $40,000, the Council purchased the northeast block of Washington Square East and issued a report calling for a “commodious but plain” building to be erected.

Through the influence of Chancellor Mathews, the architectural firm of Town, Davis, and Dakin was chosen to design the building. In spite of resistance within the University, Mathews chose an elaborate gothic design from among the alternatives offered by the designers, ignoring the earlier directive for
simplicity. In the summer of 1833, workmen laid the cornerstone of what came to be known as the old
University Building. The interior contained a great gothic chapel, as well as several classrooms, lecture
spaces, and living quarters. In 1835, with the upper two stories yet unfinished, the University
community eagerly took possession of its new and permanent home, which was formally dedicated on
May 20, 1837.

Undergraduate enrollment hovered at 150 students for most of the 19th century; however, the Schools
of Law (1835), Medicine (1841) and College of Dentistry (1865) grew rapidly. Development of New
York University into a modern university system dates from the late 19th century, at which time it acquired an educational scholar as Chancellor, Henry Mitchell MacCracken. The Washington Square
campus added the Graduate School of Arts and Science (1886), the School of Pedagogy (1890), now the Steinhardt School of Culture, Education, and Human Development, and the School of Commerce
(1900), now the Leonard N. Stern School of Business. MacCracken brought the independent
proprietary schools of law, medicine, and dentistry under central administrative control. In 1894, after
discarding a plan for merging with Columbia College, he moved the undergraduate schools of arts
and science and engineering further north from the urban crowding of Bohemian-bordered Greenwich
Village to University Heights in the Bronx. The stimulus of Columbia University’s growing fame and
prosperity, and of scholarly innovations in graduate study at Johns Hopkins, helped the University at
this juncture to experience real growth.

The Council amended its charter in 1893, distancing the University from close political and clerical
ties, and began to expand the educational mission, to seek gifts of funds, and to foster competition in
intercollegiate athletics. A research-focused undergraduate and engineering curriculum was centered at
the Bronx campus. The old University Building was replaced by the larger, more space-efficient Main
Building in 1895 to accommodate growth at Washington Square. The medical school merged with
Bellevue Medical College in the 1890s and thus became allied to New York City’s great public
hospital, lineal descendent of the 1736 colonial almshouse hospital. Bellevue and the University
Medical Center then developed into a unified teaching hospital and research center.

In the late 19th century, the University began to attract a more business-like Board of Trustees and
interested donors such as industrialist/financier Jay Gould and his family, and began in 1887 to admit
women and African Americans into what formerly comprised a mainly white male student body. The
small, classical University of the City of New York became New York University in 1896, and began
to fulfill its mission of educative partnership with New York City. The University’s urban milieu
fostered a dynamic tension between competing claims of liberal and professional education, a dominant
theme in the development of higher education in the United States. New York City’s population grew
by 1.3 million between 1900 and 1910, with Eastern European Jews accounting for about half that
number. Households of mixed German-Irish immigrants in the five boroughs of New York soon out
numbered those of third-generation Americans.

By the end of World War I, the University had established an additional arts and science division in
Greenwich Village in the form of Washington Square College (1914) and had established the Graduate
School of Business (1916), now the Leonard N. Stern School of Business, Graduate Division in the
financial district. High professional enrollments of commuting students at Washington Square
e xoist with the smaller University Heights residential colleges for decades. The past 65 years have
seen the founding or expansion of the Institute of Fine Arts (1933), the School of Continuing and
Professional Studies, formerly the School of Continuing Education (1934), the Courant Institute of
Mathematical Sciences (1934), the Robert F. Wagner Graduate School of Public Service, formerly the
Graduate School of Public Administration (1938), the Post-Graduate Medical School (1948), the Silver
School of Social Work, formerly the School of Social Work (1960), the Tisch School of the Arts,
formerly the School of the Arts (1965), the Gallatin School of Individualized Study, formerly the
University Without Walls (1972), the College of Nursing (2005), formerly a division within the Steinhardt School. A grant-funded self-study in 1956 laid out the proposed restructuring of post-war educational goals and policies, including the addition of the post of president to the administrative chain to better facilitate external relations such as fundraising and government relations.

The University underwent financial difficulties in the late 1960s, from which ensued the sale of the University Heights campus in 1972. At the same time, University College (1832) and Washington Square College (1914)—now the College of Arts and Science—merged at the Square, and the School of Engineering and Science moved to Brooklyn Polytechnic Institute in downtown Brooklyn. These difficulties had one major, very positive result: they provided then-President James Hester and University officials with the opportunity to make a sweeping assessment of the future of NYU. During Hester's tenure (1962-1975), NYU began to improve the quality of its faculty, strengthened curriculum, and established more stringent admissions requirements. It was at this juncture that NYU came to conceive itself as a specifically urban university.

In the late 1970s, President John Sawhill, who succeeded James Hester, put the University on a firm financial footing and positioned NYU for the next stage in its development. The movement to advance the level of scholarship at NYU gained momentum with the appointment of John Brademas in 1981. Dr. Brademas had come to NYU after a distinguished 22-year career in the U.S. Congress. Under his leadership, the University began to undergo a renaissance at every level, and nowhere is this more clearly reflected than in the construction and renovation programs of the 1980s, among the most extensive ever undertaken by an urban university. The building of residence halls, which continued under President Oliva, resulted in the transformation of Washington Square into a residential campus; at the same time, the building and renovating in the 1980s of facilities that support academic programs has been integral to the continued high caliber of those programs. NYU emerged during Dr. Brademas' tenure as an institution of national reputation.

The University's stature as a research institution of the first order was achieved under the leadership of President L. Jay Oliva, who served from 1991 to 2002. Dr. Oliva held a succession of high academic and administrative posts, including that of Chancellor, before becoming the first member of the faculty to be elected president. His leadership was crucial to the long-term growth and development of New York University, and his administration was marked by a series of important advances. These included the successful effort to build a “campus in the city”; major growth in international studies, drawing record numbers of international students and scholars to NYU and establishing more study centers abroad; and strong support for the research work of the faculty while maintaining a high level of classroom instruction. Under President Oliva the University also saw the continuing consolidation of its programs at Washington Square, represented by the relocation of the Graduate Division of the Stern School of Business to the Square in 1992.

NYU's current president, John Sexton, also is the Benjamin Butler Professor of Law and NYU Law School’s Dean Emeritus, having served as dean for 14 years. He joined the Law School’s faculty in 1981, was named the School’s dean in 1988, and was designated the University’s president in 2001.

President Sexton, at his installation on September 26, 2002, issued what he saw as the principal challenge of his presidency: “to dare to use the gifts we have to create the category change we need: a transformation in the years ahead from a leading university to one that will be among a handful of ‘leadership universities,’ those few that execute their core mission with such manifest excellence that they become the models others emulate. Our purpose, in short, is to create at NYU one of the first exemplars of what universities will be in this new century.”
Toward that end, the president is leading an intensive effort over the next five years, through the Partners program, to expand, strengthen and further energize the arts and sciences, the academic core of the University. The cornerstone of a larger $2.5 billion capital campaign, the Partners program is led by a gift of $60 million from six trustees, and matched by another $150 million in University funds. Between the start of the 2004-2005 academic year and the end of the 2009-10 academic year, the University will expand arts and science faculty by some 20 percent, or 125 positions, the most rapid expansion of its faculty in NYU’s history.

The Story of New York University is intertwined with the growth and development of New York City, and faculty and graduates have provided the city notable leadership in law, medicine, science, politics, the arts, and in the American imagination. Members of the faculty have achieved notable success with fellowships and prizes, including Guggenheim and MacArthur fellowships, Pulitzer and Nobel prizes, and membership in the National Academy of Sciences. In 2006-07, the University enrolled 38,735 students for degrees [19,582 undergraduate and 15,355 graduate plus 3,798 in professional and global programs], and full-time faculty members at Washington Square, mid-Manhattan, and the Schools of Medicine and Dentistry numbered approximately 3,500.

New York University has emerged as a nationally and internationally recognized research university, yet it has never strayed from its original mission. Indeed, the complexity of being such a university in an increasingly global city has given the institution a texture and depth unique in America. The University has sought and continues to seek to merge tasks that elsewhere in this country are seen as requiring different institutions—research university, liberal arts college, urban comprehensive institution, center for professional education—and to make sure that New York City’s cosmopolitan nature is reflected throughout.

The opportunities and challenges facing New York University at the beginning of the 21st century are ones it has confronted throughout its history. The purpose of the founders (some of whom were in the world of business—not unlike the Trustees of the contemporary University) was explicitly an urban one. In the spirit of its original mission of providing talented students with an agency for social mobility, and in its expanded role as an internationally important center of research and teaching, the University today offers an excellent academic program; it retains and attracts outstanding faculty; it maintains and constantly enlarges its special relationship to the surrounding city. Clearly New York University was planned from the beginning to be exactly what it has become: “A Private University in the Public Service.”

(Portions of the above brief history adapted from New York University and the City; an illustrated history by Thomas J. Frusciano and Marilyn H. Pettit, New Brunswick, 1997)

University Traditions

Although the name under which the University was originally chartered was the “University of the City of New York,” the institution from the beginning was commonly known as New York University, and the name was officially so changed in 1896. Despite the seemingly public nature of the name, New York University has always been an independent and autonomous institution of higher education—financed primarily by private endowments, current gifts, and fees. It is not to be confused with other institutions having similar names, the oldest of which is the University of the State of New York, created originally in 1784 as a corporation authorized to charter and control institutions of higher and secondary education in the state; it is now the corporate name of the State Education Department headed by the Board of Regents.
Another, and more recent, such foundation is the State University of New York (SUNY), established in 1948 to coordinate and develop under a board of trustees the state-financed institutions of higher education; still another is the City University of New York (CUNY), established in 1961 to coordinate the municipally supported colleges governed by the Board of Higher Education of the City of New York.

The official seal of New York University combines a silver ceremonial “torch of learning,” which is carried in formal academic processions, with a group of four running figures symbolizing effort or striving in the pursuit of learning. The seal carries the Latin motto “Perstare et Praestare,” which is generally translated as “to persevere and to excel,” together with the name of the University and the Roman numerals for 1831, the year of the founding of the institution. When reproduced, the darker portions of the seal are usually printed in violet, the official color of the University.

In recent years a simplified version of the torch alone has been abstracted from the official seal and has gained wide acceptance when used as a symbol of New York University to identify publications, letterheads, buildings, etc. It appears on the cover of this Handbook.

The origin of the University color, violet, is obscure. It may have been chosen because in years gone by violets are said to have grown abundantly in Washington Square and around the buttresses of the original university old Gothic building. On the other hand, it may have been adopted because the violet was the flower associated with Athens, that center of learning in the ancient world, and was thus regarded as an appropriate symbol of education and knowledge. Both considerations may have entered into the selection, of course. Over the years various shades of violet have been used as the University color. In 1964, however, the University Senate decided that the official standard for University use would be a particular bluish shade of violet, registered with the Color Association of the United States as “Mayfair Violet, 17575.” The Senate also decided at that time that the academic robes for the University would be produced in Mayfair Violet.

For more than a century, NYU athletes have worn violet and white colors in competition, and have carried the resulting nickname – the Violets – with pride. While a student dressed as a violet served as the school mascot for a brief time in the 1980s, it was decided that the flower did not instill great awe or foreboding in NYU’s opponents. A new mascot was conceived from the name of the Bobst Library card catalog, or Bobst Catalog. Today, the Bobcat mascot symbolizes both NYU’s academic and athletic traditions.
ORGANIZATION AND ADMINISTRATION

The University Charter

New York University, as an educational corporation of the State of New York, derives its powers from a charter granted by act of the State Legislature in 1831. The original charter has been amended from time to time.

The line of authority in the administration of the University may be viewed as proceeding from the Board of Trustees to the President and then to the Chancellor of the University. When the position of the Chancellor is vacant, the functions of the Chancellor are performed by the Provost of the University. The Provost of the University is the senior assistant to the President and Chancellor in all academic matters.

The academic administration of the University is shared by general and regional University officers and administrators, school and departmental officers, the faculties of the several schools, the University Senate, and various University and inter-school councils and commissions.

The Board of Trustees

The University is governed by a Board of Trustees consisting of up to seventy men and women individuals, about 80% of whom are former students of the University. Six Certain Trustees are specifically designated as Alumni Trustees and others are designated as Young Alumni Trustees. One such Alumni Trustee is elected each year. All Trustees serve six-year terms. Other than Young Alumni Trustees who serve three-year terms, Trustees and, except for the Alumni Trustees who may not succeed themselves in that capacity, are eligible for reelection at the end of a term in office except that Alumni Trustees are limited to one term in that category and Young Alumni Trustees are limited to two terms in that category. Terms are staggered so that approximately one-sixth of the Board is elected each year. The Trustees have enacted Bylaws that outline the basic structure of the University and determine the principal officers and agencies that will deal with its affairs, and the ways in which those affairs are to be conducted.

The Board of Trustees holds an annual meeting each October and meets at least three other times during the year. At the annual meeting in October, the Trustees elect their own officers, who serve until the next annual meeting and are eligible for reelection at the end of a term except that the Chair of the Board serves a four-year term and is eligible to be reelected for only one additional term.

Between meetings, the Executive Committee has broad authority to act for the Board. Other standing committees are the Academic Affairs Committee, Alumni Affairs and University Life Committee, Audit Committee, Audit and Compliance Committee, Committee on Trustees, Committee on Online Education and Technology, Compensation Committee, Development Committee, Facilities and Real Estate Committee, Financial Affairs Committee, Global Initiatives Committee, and Investment and Alumni Affairs Committee.

The conduct of educational matters throughout the University is entrusted, under the leadership of the President and Chancellor and the Provost, to the faculties of the individual schools and to the University Senate.

University Officers

As is necessary in any large institution, the precise structure of the corporation, while controlled by the Bylaws of the University, may change from time to time. The relevant text of the Bylaws is reproduced here.
President and Chancellor [Bylaw 32]

The President and Chancellor is appointed by and serves at the pleasure of the Board; the President and Chancellor serves as an Ex Officio Trustee so long as he or she holds the office on a non-acting basis. The President and Chancellor will serve as the chief executive officer and chief academic officer of the University; will be delegated authority and responsibility for the administration and management of the University consistent with its mission and the direction of the Board; will have all powers and perform all duties incident to the office and such other powers and duties as the Board may prescribe from time to time; will exercise supervision and direction of all University activities; will be responsible to the Board for the supervision of the University’s educational programs in the University’s schools, colleges, institutes, departments, divisions, and units; will serve as head of each faculty of the University and have the power to call a meeting of any faculty or a joint faculty meeting of two or more faculties, provided that any such meeting has the power to take action only upon such subjects as specified in the call for the meeting; will be concerned with the welfare of students of the University and their moral and intellectual development; will be the Board’s representative and the official medium of communication between each faculty of the University and the Board, between University students and the Board, and between University administration and the Board; will prepare or cause to be prepared an annual proposed capital and operating budget in advance of each fiscal year for the Board’s consideration; will recommend to the Board the appointment of the deans of schools and colleges and directors of institutes, after consulting with the faculty of the applicable school, college, or institute or a representative committee of the faculty thereof, each of whom will serve at the pleasure of the President and Chancellor; will consult or cause his or her representative to consult with the University Senate, which may be through the pertinent Senate committee, before making a recommendation to the Board with respect to changes or innovations that affect the University in matters within the jurisdiction of the Senate; may call upon the University’s senior management and academic leaders for assistance in the performance of his or her duties and may appoint advisory councils of senior management and academic leaders and others as he or she deems appropriate; subject to Board policies regarding conflicts of interest and executive sessions, may attend meetings of any standing committee of the Board; and will determine the senior management and academic leaders who will serve in the President and Chancellor’s stead during a temporary absence or incapacity, or until the Board replaces the President and Chancellor or determines a temporary succession plan during a permanent or more extensive absence or incapacity.

Provost [Bylaw 33]

The Provost is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Provost will be the senior assistant to the President and Chancellor in all academic matters; will be a member of each faculty of the University; will work with the deans of the colleges and schools and the directors of the institutes in strategic academic planning, recruiting faculty, overseeing academic appointments and promotions, conducting program reviews, guiding academic aspects of enrollment planning and ensuring the highest academic standards throughout the University for faculty and students; and will have such other powers and duties as the President and Chancellor may prescribe from time to time.

The Executive Vice President [Bylaw 34]

The Executive Vice President, if there is one, is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Executive Vice President will be the senior assistant to the President and Chancellor in all non-academic matters; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.
Executive Vice President for Health [Bylaw 35]

The Executive Vice President for Health is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Executive Vice President for Health will be the senior assistant to the President and Chancellor in all matters involving the schools of Medicine, Dentistry and Nursing and other health-related areas within the University; will work with the deans and other University officials on long-term academic, financial and operational strategies for health and health-related activities at the University; will be the principal liaison between the University and NYU Hospitals Center and its subsidiaries; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.

Secretary and General Counsel [Bylaw 36]

The Secretary and General Counsel is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. As Secretary, the officer will have custody of the seal, Charter, Bylaws and records of the Board; will act as secretary at all meetings of the Board of Trustees and the members (in the absence or incapacity of the Secretary, the Chair will appoint a Secretary of the meeting); will be responsible for the maintenance of fair and accurate records of the proceedings of the Board and its Executive Committee and other standing committees of the Board, and the members, and distribute them to Trustees and members, as applicable, in accordance with these Bylaws; will cause notice to be given to Trustees and officers of the Board, members, and members of meetings and acts of the Board, and Board committees, and affect them; will be responsible for the issuance of diplomas and certificates; and will have all powers and duties incident to the office of secretary and such other powers and duties as the President and Chancellor, Chair, or Board may prescribe from time to time. As General Counsel, the officer will represent the University and its affiliates in its legal affairs; except for those matters where the General Counsel’s own performance of duties or status is being considered or evaluated, and subject to the right of the Board, the Audit and Compliance Committee and the Compensation Committee to engage independent counsel, all matters requiring legal advice or legal action will be referred to the General Counsel who will provide legal advice or take legal action directly or through counsel engaged for such purpose by the General Counsel; and will have such other powers and duties as the President and Chancellor, Chair, or Board may prescribe from time to time.

Chief Financial Officer [Bylaw 37]

The Chief Financial Officer is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Chief Financial Officer will be the chief accounting and financial officer of the University; will be responsible for assuring that the University is in compliance with applicable financial and accounting standards and has appropriate internal controls; will be responsible for assuring that payments made by the University are included in the approved budget for the fiscal year, unless approved by the Board, and that restricted funds are expended in accordance with applicable limitations and restrictions; will be responsible for collecting, recording, and safeguarding all funds and securities of the University, which will be deposited with such banks or trust companies as authorized by the Board; will be responsible for keeping proper books of account, preparing quarterly and annual financial reports, and providing financial reports to the members and the Board at least annually and as requested by the President and Chancellor, Chair, members, or Board or its committees; will make available during business hours, on request by a Trustee or member, the University’s books of account and records; will work with the University’s independent certified public accounting firm in its preparation of the annual audit; and will have such other powers
and duties as the President and Chancellor, the Executive Vice President, Chair, or Board may prescribe from time to time.

**The University Senate**

The first Bylaws to contain a description of the University Senate and an outline of its powers and duties appeared in 1899. Since that time the importance and the influence of the Senate have grown steadily. The Bylaws approved by the Board of Trustees on May 27, 1968, were the first to provide for multiple faculty representation according to the size of each school's faculty. The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, delineated three categories of faculty—the Tenured/Tenure Track Faculty, the Full-Time Non-Tenure Track/Contract Faculty, and Other Faculty—and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school's faculty. (Those interested in complete details are referred to the relevant Bylaws of the University—Chapters VII and VIII.) The Senate Rules of Procedure provide detail about membership, meetings, and committees.

In summary, the University Senate is empowered to act upon “educational matters and regulations of the academic community that affect more than one school.” (See Bylaw 60). Senate decisions in such matters are binding upon all faculties unless overruled by the Board of Trustees on an appeal lodged by a faculty. University-wide commissions report their findings and recommendations to the Senate. In addition, it is the deliberative body of the University for academic policies, structure, and procedures, including proposals for changes; it is concerned with the academic program and structure, personnel and budgetary policies, development of facilities, and community, professional, and educational relations of the University. It makes recommendations to the President and Chancellor, and, through the President and Chancellor to the Board of Trustees concerning the policies and practices of the University. The Senate may also make recommendations for consideration by each of the faculties concerning their internal educational programs and policies. The Senate is authorized to define the educational terms used in catalogs, bulletins, and other announcements, upon which it may also make advisory recommendations; it is responsible for fixing the academic calendar and determining the length of terms and vacations, for arranging the Commencement exercises, and for establishing regulations on academic costume.

Bylaw 610 reads as follows: “The Senate will consist of the President and Chancellor, and not more than eighty-four (one hundred and twenty-seven (one hundred and twenty-nine in the academic year ending in 2015 and one hundred and twenty-eight in the academic year ending in 2016) voting members as follows: (a) not more than thirty-six (thirty-eight in the academic year ending in 2015 and thirty-seven in the academic year ending in 2016) members of the Tenured/Tenure Track Faculty Senators Council, including one representative of the Division of the Libraries of the University; (b) not more than twenty-seven members of the Full-Time Non-Tenure Track/Contract Faculty, including one representative of the Division of the Libraries of the University; (c) not more than fifteen academic members of the Deans Council; (d) not more than twenty-three members of the Student Senators Council; (e) not more than five representatives of the Administrative Management Council; and (f) not more than five officers senior members of the administration of the University, including the President and Chancellor, the Provost, The Executive Vice President, if there is one, and the Executive Vice President for Health, the Secretary and General Counsel, or such other officers senior members of the administrators of the University as may from time to time be designated by the President and Chancellor.”

*Bylaw 60, cited in the Faculty Handbook, is amended by the uncodified “Interim Amendment to the Amended and Restated Bylaws With Respect to Senate Representation for the University's Polytechnic School of Engineering,” which was approved by the Board of Trustees on December 18, 2013 as recommended by the University Senate. The action, which amends the composition of the University Senate beginning on January 1, 2014 through August 31, 2014, in relevant part provides “that the
composition of the University Senate will be increased by four members beginning on the date of the Merger through August 31, 2014 as follows: (a) the faculty member of NYU-Poly who currently serves as an Observer on the Faculty Senators Council (“FSC”) will become an FSC representative in the University Senate; (b) the Dean of the School of Engineering will become a Deans Council representative in the University Senate; and (c) an undergraduate student and a graduate student in the School of Engineering, each selected as determined by the Student Senators Council (“SSC”), will become SSC representatives in the University Senate.

The faculty members are elected for each of the two faculty senators councils are elected — one or more per school, or college and Abu Dhabi and Shanghai portal campuses — from the faculties of the constituent schools of the University listed in Bylaw 730, and from the Abu Dhabi and Shanghai portal campuses, generally according to the number of full-time members in their respective faculties, professorial ranks. (For this and other purposes, the faculties of the School of Medicine and of the Post-Graduate Medical School are regarded as one medical faculty, the faculties of the College of Arts and Science and the Graduate School of Arts and Science are regarded as one faculty, and the faculties of the Leonard N. Stern School of Business, Undergraduate College and Graduate Division are regarded as one faculty.) Faculty Senators are divided into three classes with staggered three-year terms of office. The deans and the vice chancellors of the Abu Dhabi and Shanghai portal campuses hold their seats ex-officio, as do five of the administrative members. The other administrative Senators are designated at the discretion of the President and Chancellor. One student Senator is elected annually from each school, or college, and the Abu Dhabi and Shanghai portal campuses, except that for this purpose the School of Medicine and Post-Graduate Medical School are considered one school. In addition, up to fourteen two schools, which include both undergraduate and graduate divisions, elect one student Senator from each division. In addition, up to seven student Senators may be appointed at large by the Executive Committee of the Senate with the advice and consent of the regular student Senators. The Administrative Management Council is comprised of six representatives from the professional and administrative staffs of each college, school, and division of the University.

Some understanding of how the Senate functions may be gained by considering its Councils and the structure and interests of its committee system. The faculty Senators constitute the Tenured/Tenure Track Faculty Senators Council and the faculty Senators from the Full-Time Non-Tenure Track/Contract Faculty constitute the Full-Time Non-Tenure Track/Contract Faculty Senators Council; academic school deans and the vice chancellors of the Abu Dhabi and Shanghai campuses belong to the Deans Council; the students are organized as the Student Senators Council; and professional and administrative staff are organized as the Administrative Management Council. All these groups meet regularly, apart from the full Senate, to discuss matters of concern to their respective areas of interest, and their reports and recommendations are regularly brought to the attention of the full body.

The standing committees of the Senate, all of which include members drawn from the three Councils comprising the Senate, as well as appropriate central administrative members of the Senate (including representatives of the Administrative Management Council), are: the Executive Committee; the Academic Affairs Committee; the Executive Committee; the Committee on Organization and Governance; the Public Affairs Committee; the Faculty Affairs Committee; the Financial Affairs Committee; the Organization and Governance Committee; the Public Affairs Committee; and the University Judicial Board. The Executive Committee, composed of the President and Chancellor, and the chairpersons of the three Councils, and the Secretary of the Senate who is a non-voting member, appoints the members of the Standing Committees of the Senate, elects the officers of the Senate, is authorized to act on urgent matters that may arise at times when the full Senate cannot be convened, and is empowered to refer topics to Senate committees and to appropriate offices of the University. The Faculty Affairs Committee (formerly the Faculty Personnel Committee) is composed of all the members of the Faculty Senators Council as required by Bylaw 64(a). In addition, the Senate has certain special committees.
The Senate generally meets monthly during the months of October, November, December, February, March, and April, and May in accordance with a schedule adopted by the Senate during the academic year, and at other times, upon three days’ notice, at the special call of the President and Chancellor or when requested in writing by five members of the Senate, including at least one member from each of the five Councils, the Secretary is required to call a special meeting on 24 hours' notice, specifying the purpose of the meeting, by written request of five members.

University Councils and Committees

There are five University Councils that participate in the Senate: The Tenured/Tenure Track Faculty Senators Council, the Full-Time Non-Tenure Track/Contract Faculty Senators Council, the Deans Council, the Student Senators Council, and the Administrative Management Council.

The Tenured/Tenure Track Faculty Senators Council

Each of the faculties comprising the Tenured/Tenure Track faculty, generally according to its size, has one or more representatives on the Tenured/Tenure Track Faculty Senators Council, a University-wide body of elected professors. University Bylaw 654(a) provides that “The Tenured/Tenure Track Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate with respect to the Tenured/Tenure Track Faculty. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board.”

The Full-Time Non-Tenure Track/Contract Faculty Senators Council

Each of the faculties comprising the Full-Time Non-Tenure Track/Contract Faculty, generally according to its size, has one or more representatives on the Full-Time Non-Tenure Track/Contract Faculty Senators Council, a University-wide body of elected faculty. University Bylaw 66(a) provides: “The Full-Time Non-Tenure Track/Contract Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate with respect to the Full-Time Non-Tenure Tenure Track/Contract Faculty. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board.”

Principles of Joint Shared Governance

The University Board of Trustees approved the following Principles set forth below with respect to administration of New York University and the Tenured/Tenure Track Faculty Senators Council, formerly the Faculty Senators Council, have agreed to the following five Principles of Joint Shared Governance (Approved by the University Board of Trustees, December 12, 2012) and with respect to the Full-Time Non-Tenure Track/Contract Faculty Senators Council (February 19, 2015).
1. Representation

The Tenured/Tenure Track Faculty Senators Council (T-FSC) and the Full-Time Non-Tenure Track/Contract Faculty Senators Council (N/C-FSC) will each have a representative (from each FSC or its designee) on University committees, taskforces, or other University-wide bodies that are convened by the administration to advise on matters that affect faculty in educational and administrative policy.

2. Information

Transparency with respect to information regarding matters that affect faculty in educational and administrative policy is the norm. The use of “deliberative privilege” is the exception to this norm, requested only in circumstances wherein an individual(s) or the University’s interests would be harmed by public disclosure. In such instances, the University administration will provide appropriate reasons for invoking “deliberative privilege”.

3. Consultation

Except under rare, extraordinary circumstances, the University administration will provide a reasonable length of time for T-FSC and N/C-FSC consultation and input on all matters that affect faculty in educational and administrative policy. This means that the administration must plan in advance to allow enough time for at least one regularly-scheduled T-FSC and/or N/C-FSC meeting to occur before the consultation period comes to a close on any particular matter.

For urgent decisions, such as decisions that must be taken during the summer or winter holiday, when the T-FSC and N/C-FSC are not in session, the each FSC Council will establish a “provisional review committee” and a set of procedures for timely consultation and input regarding University administration decisions on matters that affect faculty in educational and administrative policy. All decisions reached by each Council FSC’s provisional review committee are subject to full Council review and approval. The Each FSC Council will promptly convey its final decision on the matter to the administration, which in turn will reconsider the provisional policy, based on new or additional advice provided by the Council FSC. The administration will then promptly convey its final decision to each the FSC Council.

4. Reasoned Justification

When the T-FSC and/or N/C-FSC submits advice in writing to the University administration and the administration does not agree with or accept the Council’s advice, the administration will provide its reasons for not accepting the Council’s advice to the FSC Council(s) in writing and in a timely matter.

5. Communication

Predicated on the understanding the communications will pertain to Senate-related matters relevant to faculty colleagues within the Senators’ schools, and that the communication systems will be used in a reasonable and responsible manner consistent with the norms of civility, the deans will enable Senators to send emails to faculty colleagues within their schools. Such communication will clearly convey whether its content is an official FSC Council communication or if it reflects the personal view(s) of the author(s).

The Deans Council
University Bylaw 6567(a) provides that “The Deans Council may consider any matters of educational and administrative policy, and will make appropriate recommendations to the President and Chancellor and other University officers. It will perform such other functions as are assigned to it by the President and Chancellor or by the Board.”

The Student Senators Council

University Bylaw 6668(a) provides: that “The Student Senators Council may consider any matters in which the interests, rights, or responsibilities of students are involved, and will take special responsibility for bringing to the attention of the Senate all matters concerning the students’ extracurricular life at the University. For this purpose, the Council will invite the presidents of student governments in the several schools, and such faculty members and administrative officers as may be specified in the rules of the Council, to function together as the University Committee on Student Life. The Committee may work through such local units as may be appropriate at the various geographical centers of the University, and will transmit to the Senate, through the Student Senators Council, its policy recommendations concerning student life. The Student Senators Council will designate representatives on the standing committees and, in appropriate instances, on the ad hoc committees of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other functions as are assigned to it by the President and Chancellor, by the Board, or by the Senate.”

The Administrative Management Council

University Bylaw 6769(a) provides: that “The Administrative Management Council of the Senate will be the liaison in the Senate for the Administrative Management Council of the University, which is composed of elected representatives from the professional and administrative staffs of each school and division of the University. The Administrative Management Council of the University functions as an initiative, deliberative and responsive body concerning policy issues, serves as a vehicle for promoting the continued professional growth and development of its constituents, and has a commitment to community service. The Administrative Management Council of the Senate will designate representatives on the standing committees of the Senate and, where appropriate, on any ad hoc committees of the Senate. The Administrative Management Council of the Senate may bring to the attention of the various committees of the Senate matters of concern to the University’s professional and administrative staffs that it believes should be presented to the entire Senate.”

Graduate Commission Program Committee [Bylaw 70]

University Bylaw 6870(a) provides: that “There will be a Graduate Commission Program Committee having the power, subject to the approval of the Senate, to review and recommend to the Provost, President and Chancellor and the Board the approval of proposals from colleges, schools, and portal campuses with respect to new general policies respecting graduate study in the University leading to programs granting master’s- and doctoral- degrees in course except first professional degrees. The Commission Committee will undertake evaluate all master’s and doctoral program studies and present proposals designed to ensure that the University’s colleges, schools, and portal campuses with graduate components strengthen the program of graduate instruction in the University. The Commission will review the work of the schools concerned with the preparation of candidates for the degrees under the purview of the Commission, will specify the means of maintaining comparable standards of work for the degrees, that there has been consultation with the relevant colleges, schools, and/or portal campuses; and that there is minimal curricular overlap between or among the units, and of assuring the complete availability of the general graduate offering of the University to every qualified student regardless of the school in which he or she is primarily enrolled, and will in appropriate instances promote the integration or coordination of
graduate study by accrediting total programs in the several schools. The recommendations of the
Committee Commission also may formulate recommendations to will be implemented through suitable
directives by the President and Chancellor, the Provost on other matters that relate to graduate education
in the University and the Executive Vice President for Health.

University Bylaw 70(b) provides: “The voting members of the Committee will include one elected faculty
representative who is a full-time member of the Tenured/Tenure Track or Non-Tenure Track/Contract
Faculty, elected by the faculty from each college, school, and portal campus that delivers graduate
education; four graduate deans, selected by the Deans Council; the dean of the NYU Libraries (or his/her
designee); a member of the Tenured/Tenure Track Faculty Senators Council, selected by the
Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Non-Tenure Track/Contract
Faculty Senators Council, selected by the Full-Time Non-Tenure Track/Contract Faculty Senators
Council; and three graduate student members of the Student Senators Council, selected by the Student
Senators Council. The term of service for Committee members is three years, unless filling a vacancy;
except that the term of service for representatives from the Student Senators Council is two years, unless
filling a vacancy. Terms are staggered, such that approximately one-third of the membership changes
every year. The following administrators (or their designees) serve ex officio as non-voting members: the
dean of each college, school, and portal campus that delivers graduate education; the most senior
representative of the Provost’s Office tasked with academic program review; and the most senior
representative of the Provost’s Office tasked with graduate academic affairs. The co-chairs of the
Committee will be the most senior representative of the Provost’s Office tasked with graduate academic
affairs and the dean of the Graduate School of Arts and Science.”

Undergraduate Program Committee [Bylaw 71]

University Bylaw 71(a) provides: “There will be an Undergraduate Program Committee whose chief
responsibility is to advise the Provost on proposals from colleges, schools, and portal campuses for new
undergraduate majors and degree programs, as well as for cross-school minors. The Committee will
review all such program proposals to ensure that the University’s colleges, schools, and portal campuses
with undergraduate components maintain comparable standards of work for the degrees; that units
proposing new programs have consulted appropriate colleges, schools, and/or portal campuses; and that
there is minimal curricular overlap between or among the units. At the request of the President and
Chancellor and/or the Provost, or at its own discretion, the Committee also may formulate
recommendations on other matters that relate to undergraduate education in the University.”

University Bylaw 71(b) provides: “The voting members of the Committee will include at least: one
elected faculty representative from each college, school, and portal campus involved in undergraduate
education, elected by the applicable college, school, or portal campus; two undergraduate deans selected
by the Deans Council; a faculty representative from the NYU Libraries, elected by the faculty from the
NYU Libraries; a member of the Tenured/Tenure Track Faculty Senators Council, selected by the
Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Non-Tenure Track/Contract
Faculty Senators Council, selected by the Full-Time Non-Tenure Track/Contract Faculty Senators
Council; and three members of the Student Senators Council, selected by the Student Senators Council.
The term of service for Committee members is three years, unless filling a vacancy; except that the term
of service for representatives from the Student Senators Council typically is one year. Terms are
staggered, such that approximately one-third of the membership changes every year. The following
administrators (or their designees) serve on the Committee ex officio as non-voting members: the senior
representatives of the Provost’s Office tasked with each of global programs, academic program review,
and undergraduate academic affairs. The chair of the Committee will be the most senior representative of
the Provost’s Office tasked with undergraduate academic affairs.”

Other University and Interschool Committees and Commissions

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University Bylaw 7269(a) provides: that “The Senate or the President and Chancellor may from time to time appoint other University and interschool committees and commissions, which will have such powers and duties as are delegated to them at the time of their organization until modified or annulled by action of the appointing authority.”

**Organization of Schools, Colleges, Schools, and Academic and Departments**

**Schools, Faculties, and Divisions of the University [Bylaw 2073]**

(a) **Colleges and Schools.** The University comprises the following integral colleges and schools, listed in order of their establishment:

- 1832 College of Arts and Science
- 1835 School of Law
- 1841 School of Medicine
- 1865 College of Dentistry
- 1886 Graduate School of Arts and Science
- 1890 The Steinhardt School of Culture, Education, and Human Development
- 1900 Leonard N. Stern School of Business, Undergraduate College
- 1916 Leonard N. Stern School of Business, Graduate Division
- 1934 School of Continuing and Professional Studies
- 1938 Robert F. Wagner Graduate School of Public Service
- 1948 Post-Graduate Medical School
- 1960 The Silver School of Social Work
- 1965 Tisch School of the Arts
- 1972 Gallatin School of Individualized Study
- 2014 Polytechnic School of Engineering

(b) **Separate Faculties.** The colleges and schools of the University are governed by their separate faculties, except that the Faculty of Medicine is responsible for the School of Medicine and for the Post-Graduate Medical School, that the Faculty of Arts and Science is responsible for the College of Arts and Science and for the Graduate School of Arts and Science, and that the Faculty of Business Administration is responsible for the Leonard N. Stern School of Business, Undergraduate College and for the Leonard N. Stern School of Business, Graduate Division.

(c) **Division of Libraries.** The University also comprises the Division of the Libraries, which performs academic functions across school lines and is governed by its faculty and officers in accordance with procedures defined and approved by the President and Chancellor.

**Deans**

The dean of each school [see Bylaw 74(a) and (b)] is appointed by the Board of Trustees on the recommendation of the President and Chancellor and serves as the administrative head of his or her respective faculty. The dean school is “responsible for carrying out the policies of the University” and for executing “such rules as his or her faculty may from time to time adopt.” The dean presides at faculty meetings, supervises the work of faculty members, and makes recommendations to the President and Chancellor of the University for the appointment, promotion, tenure as appropriate, dismissal, and retirement of officers of instruction and administration in the school. The dean is responsible for the preparation and submission of the budget for the school and for its implementation when approved. (See Bylaw 71.) Offices such as that of Executive Dean or Dean of the Faculty of Arts and Science have from
time to time been created to supervise or coordinate the activities of two or more schools or of their faculty members.

**Administration of Academic Departments and Organization**

The President and Chancellor, subject to the approval of the Board of Trustees, is authorized to divide courses of instruction into departments (see Bylaw 75). The chief executive officer of a department within one school other than a University department will bear the title of “chairperson” and will be responsible to the dean of that school; and the chief executive officer of a University academic department that is an academic department incorporating more than one college or school, will be responsible through the appropriate deans to the President and Chancellor (see Bylaws 71 and 7276). 

**Responsibilities of the Faculties [Bylaw 7679]**

(a) Educational Conduct and Functions. The educational conduct of each of the several schools and colleges and schools, within the limits prescribed by these bylaws or by the Board, is committed to the faculty of each of the colleges and schools, and to such officers of the colleges and schools as the Board may appoint. The educational functions of the libraries of the University, as defined and structured by the President and Chancellor, are similarly committed to the faculty and officers of the Division of the Libraries.

(b) Entrance Requirements, Courses of Study and Degrees and Certificates. Subject to the approval of the Board and to general University policy as defined by the President and Chancellor and the Senate, it is the duty of each faculty to determine entrance requirements of the college or school under its care, to determine courses of study to be pursued and the standards of academic achievement to be attained for each degree offered, to prepare a schedule of lectures, to make and enforce rules for the guidance and conduct of the students, and to certify to the President and Chancellor, for recommendation to the Board, qualified candidates for degrees and certificates.

(c) Athletics and Other Extracurricular Activities. Each faculty will make and enforce rules of eligibility for the participation of its own students in athletics and other extracurricular activities. However, the University requirements for student participation in intercollegiate athletics will be determined by the Senate on the recommendation of an appropriate committee of the several faculties and will be uniformly applied in the college and schools concerned therewith.

(d) Libraries. It is the duty of the faculty of the Division of the Libraries to develop and implement the acquisition policies, resources and services of its various libraries in accordance with the instructional and research needs of the University and in collaboration with the academic units which the libraries serve and support; to provide access to the content of the collections by organizing them, by developing bibliographic guides, and by providing bibliographic assistance and instruction; to promote and develop the use of the libraries and their resources through interaction with the University community and through research and publication; and to make and enforce policies as desirable to ensure that the libraries’ resources and services advance learning, research, and scholarly inquiry in an environment dedicated to open, equitable, and productive exchange of scholarly information, rules concerning the use of the libraries’ collections.

(See also “The University Senate” and “Faculty Membership and Meetings”)
LIBRARIES

A Brief History

During its early years, New York University, in the urban tradition, drew upon the library resources of the community to provide the best research tools for students and faculty alike. Close working relationships were established with the New York Society Library and many other specialized libraries throughout New York City, while the University’s own collection grew slowly, chiefly by donations of books, and was concentrated in the professional fields of law and medicine. The first official University library was assembled in 1835—281 volumes worth $620.75. Housed on the third floor of the University Building, the new gothic structure at Washington Square, it was by no means a central collection. With the movement of the University center to University Heights in 1894, the Gould Memorial Library was established to provide the University the level of library service necessary to support the curriculum. The Gould Library was designed by Stanford White as a tribute to Jeffersonian educational and architectural ideals. The schools at Washington Square continued at first to rely on the library resources available in the city, but in 1921 began assembling a library in the Main Building.

After World War II, the growth of public higher education and the overwhelming demands placed upon the traditional urban sources of academic library research within New York City led the University to embark on a bold new program to create research library resources to be devoted primarily to the University community. Attention was first turned to the professional schools, where the need for expanded facilities had become most pressing. The completion of Vanderbilt Hall in 1951 provided excellent facilities for the Law Library. In 1957 the Medical Library expanded into a new building to ensure its ability to meet the needs of the advanced programs of the School of Medicine. The Meyer Gold Library at Trinity Place (the business collection, now part of Bobst Library) and the Institute of Fine Arts Library, One East 78th Street, closely followed.

By the early 1960s, the University recognized that its future success required the establishment of a new central library building at the Square. Book collections and library personnel were scattered in 28 separate locations, many ill-suited for storage or study. With the aid of an $11 million gift from Elmer Holmes Bobst, pharmaceutical entrepreneur and philanthropist, the University’s new main library, the Elmer Holmes Bobst Library, opened in 1973. Designed by architects Philip Johnson and Richard Foster, the 12-story Longmeadow redstone building (with two more floors below ground level) covers a full city block at the southeast corner of Washington Square and houses a collection of over 3 million volumes.

The extraordinary growth of the University’s academic programs in recent years, along with the rapid expansion of electronic information resources, has provided an impetus for new development in NYU’s libraries, and they continue to enhance their services for NYU students and faculty and to strengthen research collections.

Library Facilities and Services

The striking, 12-story Elmer Holmes Bobst Library, is the flagship of an eight-library, 4.6 million-volume system that provides students and faculty members with access to the world’s scholarship and serves as a center for the University community’s intellectual life. The New York University system includes seven other specialized libraries: those of the Institute of Fine Arts, the Courant Institute of Mathematical Sciences, the Real Estate Institute, and the Law, Medical, and Dental Schools. Faculty have borrowing privileges to the libraries at Cooper Union, Mannes College of Music, the New School, and Parsons School of Design, through the Research Library Association of South Manhattan. Faculty also have reading privileges at Columbia, Yale and Princeton.
The Bobst Library houses more than 3.3 million volumes, 29 thousand journal subscriptions, and over 5 million microforms; and provides access to thousands of electronic resources both on site and to the NYU community around the world via the Internet. The Library is visited by more than 6,400 users per day, and circulates ca. 500,000 books annually.

Bobst Library offers three specialized reference centers, 28 miles of open stacks shelving, and approximately 2,000 seats for readers. The stacks are open until midnight and a 24-hour study area is located on the A & B levels.

The Avery Fisher Center for Music and Media, one of the world’s largest academic media centers, has over 100 audio and video viewing carrels and 5 media-enhanced classrooms; students and researchers use more than 51,000 audio and video recordings per year. The Studio for Digital Projects and Research offers a constantly evolving, leading-edge resource for faculty and student projects and promotes and supports access to digital resources for teaching, learning, research and arts events.

Among the noteworthy collections of Bobst Library are those in American and English literature and history, economics, education, science, music, United Nations documents, Near Eastern and Ibero-American languages and literatures, and Judaica and Hebraica. Bobst Library is also home to significant special collections such as the Fales Library of English and American Literature, one of the best collections of English and American fiction in the United States. Fales contains the unique Downtown Collection, archives documenting Downtown New York literary and artistic creativity from the 1970s to the present, focusing on the developments of postmodern writing and dance, performance art, outsider art, and the downtown music scene. Bobst Library houses the Tamiment Library, one of the finest collections in the world for scholarly research in labor history, socialism, anarchism, communism, and American radicalism. Tamiment includes the Archives of the Abraham Lincoln Brigade and the Robert F. Wagner Labor Archives, which holds the Jewish Labor Committee Archives, and the historical records of more than 200 New York City labor organizations.

Librarians who are subject specialists serve as liaisons to faculty in the various New York University schools and departments. Faculty participation in the collection development process is encouraged. In addition to collection development, the subject specialists provide specialized reference assistance, library instructional sessions, and work directly with faculty and students to assist with specific research needs.

Beyond Bobst, the library of the renowned Courant Institute of Mathematical Sciences focuses on research-level material in mathematics, computer science, and related fields, and the Stephen Chan Library of Fine Arts at the Institute of Fine Arts houses the rich collections that support the research and curricular needs of the Institute’s graduate programs in art history and archaeology. The Jack Brause Real Estate Library at the Real Estate Institute is the most comprehensive facility of its kind, designed to meet the information needs of the entire real estate community.

Complementing the collections of the Division of Libraries are the Frederick L. Ehrman Medical Library of NYU’s School of Medicine and the Dental Center’s Waldman Memorial Library. The Law Library serves the programs of the School of Law and is strong in a variety of areas, including legal history, biography, jurisprudence, copyright, taxation, criminal, labor, business and international law plus such legal specialties as urban affairs, poverty law and consumerism. The Web sites of all the libraries at the University can be found at http://www.nyu.edu/academics/libraries.html. Faculty can also stay in touch electronically with New York University Libraries by subscribing to the listserv LIBLINK.
Founded in 1916 by Elmer Ellsworth Brown, then Chancellor of the University, New York University Press was, in his words, created "to publish contributions to higher learning by eminent scholars."

In the more than 85 years since its founding, the Press has sought to reflect the intellectual vitality of New York University by publishing a wide array of provocative and compelling titles, as well as works of lasting scholarly and reference value. NYU Press was once best known for its publication of The Collected Writings of Walt Whitman, the most comprehensive and definitive series of the poet's work. In more recent years, the Press has published major new, award-winning works such as the three-volume Encyclopedia of Jewish Life Before and During the Holocaust (a 2001 National Jewish Book Award winner) and distinctive works of scholarship in history, religion, psychology, literature, cultural studies, politics, sociology, film, and law. In addition, the Press has established lists in New York regional history, politics and culture, Balkan Studies, and growing lists in such fields as Jewish studies, African-American studies, Asian-American studies, Latino/Latina culture, and youth culture in general. NYU Press publishes approximately 100 new books each year, enjoys a backlist of over 1500 titles, and was described recently by the Chronicle of Higher Education as "a major player in academic publishing."

The Press seeks manuscripts without regard to the affiliation of the author, and, over the years, the Press's publishing program has come to include an international roster of scholars. As an academic publisher, the Press utilizes outside peer review as part of the editorial review process of all proposed book projects. Members of NYU are highly encouraged to submit book manuscripts in those disciplines where the Press is actively publishing, and the Press will give particular attention to the work of faculty members. Inquiries should be addressed to the director (see the NYU Public Directory for contact information).
UNIVERSITY RELATIONS AND PUBLIC AFFAIRS

New York University is a large community of 50,000 students, members of faculties, administration, and staff. Informing the various interested sectors of the public of news and developments within our community is the primary mission of the Office of Public Affairs and the bureaus reporting to it.

NYU’s dramatic rise over the past 15 years brings with it ever-increasing media attention and scrutiny, much of it positive, some if it less so. It is hard to overstate the importance of effective communications in supporting the University’s strategic goals. Thoughtful communications about NYU’s efforts as a research university and member of the community of major New York institutions are crucial for enabling public officials, academics, donors (whether individuals, alumni, foundations, or corporations), candidates for admissions, parents of students, our neighbors, as well as those in our own community to better understand us and engage with us in an informed and productive fashion.

Among the communications tools employed by the Office of Public Affairs are news releases, contact with editors and editorial specialists in print and electronic media, bulletins and catalogs, advertising, still photography, motion picture film and video, direct mail, distribution of reprints of notable speeches and policy statements by administration and faculty, and the use of the web and other means of electronic communications.

But the public relations of New York University are, literally, also the business of everyone who works for the University, from its President and Chancellor to its newest employee. For while the Office of Public Affairs is charged with the formal mission of helping to enhance the public recognition and stature of the University and its scholars by disseminating official information through recognized media and established channels of information, some of the most telling impressions those interacting with NYU gain may depend on how courteously a telephone is answered; what a staff member tells friends about work; how effectively a member of our community works in his or her home community; and how students respond to the quality of teaching and the counseling they receive throughout their undergraduate and graduate years here.

The Office of Public Affairs is eager to support NYU’s faculty and work closely with them to publicize their academic efforts and achievements. In addition, the Office works to make connections between news organizations and scholars with expert knowledge, enabling faculty members to educate the public widely on issues of civic importance.

See the NYU Public Directory for contact information.
University Development

The Office for University Development and Alumni Relations (UDAR) is responsible for raising the funds required to ensure that the University carries out its primary missions—providing education of the highest caliber to its students, and public service to the community and nation. As a private institution, New York University relies on individual, foundation, and corporate philanthropy to augment revenue from tuition, fees, and investment return on endowment. In concert with other offices of the University, UDAR coordinates the efforts of the Board of Trustees, School Councils and Boards, University personnel, alumni, and friends of the University to attract support from the private sector.

Each school of the University coordinates their fundraising efforts through UDAR. Each school has a development director who works with the dean or deans of that school and its faculty members on development projects. Through the development director, UDAR can assist faculty members with proposal development and research on prospective donors. To ensure that more than one representative of the University does not solicit prospective donors at a time, all requests to approach a donor are cleared through UDAR. This office is also the route through which faculty members request the assistance of University trustees in their solicitations.

In addition to the individual fundraising efforts of each school director, UDAR also engages alumni and supporters of the university with a range of fundraising events and programs. UDAR coordinates the University’s annual fund solicitation efforts through The Fund for NYU and has established the Young Alumni Leadership Circle to engage recent graduates in giving to the University. UDAR assists faculty, alumni, and friends with making planned gifts through the Office of Planned Giving, and recognizes donors who have made significant gifts to NYU as members of several honorary gift societies. This office also coordinates the fundraising activity of the NYU Parents Program and the NYU Parents Committee.

In the fall of 2004, New York University, through UDAR, launched the Campaign for NYU—a comprehensive fundraising drive involving each of NYU’s trustees and deans, as well as University-wide administration and staff. The Campaign will run until 2008, and will raise significant philanthropic support to advance research, learning, teaching, and scholarship at NYU. The Campaign will provide essential financial resources for faculty recruitment and housing, student financial aid, research and programmatic support, and the creation and renovation of facilities that support academic and research programs.

Alumni Relations

To facilitate the engagement and participation of NYU’s 300,000 plus alumni, UDAR has implemented a wide range of alumni programs, events, and publications. Recently introduced initiatives include a University-wide Alumni Reunion Weekend celebration held each spring; NYU Alumni Magazine, mailed twice a year to all NYU graduates; the NYU in Your Neighborhood series of alumni receptions around the country with President Sexton, deans and leading faculty; and the Recent Alumni Network, engaging recent graduates of the University; as well as numerous other publications, career networking events, alumni volunteer opportunities, and student orientations.

UDAR also works to promote the many benefits that are available to New York University alumni, among which are access to University facilities and services such as the Office of Career Services; the-
Jerome S. Coles Sports and Recreation Center and Palladium Sports Center; the Elmer Holmes Bobst Library and Study Center; as well as credit card, travel, and insurance programs. UDAR helps promote the exchange of information among alumni and alumni organizations by providing free online communications resources, including email forwarding services, online directories of alumni contact information, and an online jobs database.

UDAR oversees the activities of the NYU Alumni Association. The NYU Alumni Association President chairs the Alumni Association’s Executive Committee of elected officers and represents alumni to the University.

For more information on alumni benefits and programs, including the Fund for NYU, visit the Alumni site.
The Faculty

This part of the Faculty Handbook, The Faculty, begins under the heading Faculty Membership, Faculty Meetings, and Faculty Titles. It is followed by: (1) a section on Policies that are applicable to all or most faculty; (2) a section on Policies that are applicable to the Tenured/Tenure Track Faculty; and (3) a section on Policies that are applicable to the Full-Time Non-Tenure Track/Contract Faculty. These sections include It's followed by Other Faculty Policies, with policies, procedures and conventions in the form of Bylaws, rules adopted by the Senate, and policy summaries. Individual schools may have additional, but not substitute, bylaws, policies and procedures relevant to faculty positions. It should be noted that other important policies can be found in Selected University Policies.

OTHER FACULTY POLICIES

FACULTY MEMBERSHIP, FACULTY AND MEETINGS, AND FACULTY TITLES

(a) The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, delineated three categories of faculty – the Tenured/Tenure Track Faculty, the Full-Time Non-Tenure Track/Contract Faculty, and Other Faculty; and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school’s faculty. The Bylaws of the University are explicit on the matter of who is a faculty member and on how voting rights are allotted; the relevant texts are reproduced here.

Faculty Membership [Bylaw 7982]

(a) Categories of Faculty. The faculty in a college or school is comprised of three categories: (i) Tenured/Tenure-Track Faculty; (ii) Full-Time Non-Tenure Track/Contract Faculty; and (iii) Other Faculty, as more fully described in Section 87 of the Bylaws.

(b) Voting Members of Each Category of Faculty. The voting members of each faculty shall consist of the President and Chancellor, the Provost, and the dean of the faculty, and the professors, associate professors, and assistant professors (or in the Division of the Libraries, the curators, associate curators, and assistant curators), who serve on a full-time basis, will be considered voting members of each category of faculty, as well as of any subset of a category of faculty. In addition, the Executive Vice President for Health will be an ex officio voting member of each category of faculty, as well as of any subset of a category of the faculty, of the School of Medicine, of the Post-Graduate Medical School, and of the College of Dentistry; and each vice president or a deputy provost, senior, or vice provost liaison who has pertinent academic responsibilities will be selected by the Provost to serve as an ex officio voting member of each category of the faculty, as well as of any subset of a category of faculty, of each of the colleges, schools, and portal campuses other than the School of Medicine, the Post-Graduate Medical School, and the College of Dentistry of each school in his or her purview. Only the Tenured/Tenure Track Faculty may elect members of the Tenured/Tenure Track Faculty Senators Council and only the Full-Time Non-Tenure Track/Contract Faculty may elect members of the Full-Time Non-Tenure Track/Contract Faculty Senators Council. Only tenured faculty may vote on the awarding of tenure; only full Professors with tenure may vote on promotion to full Professor within the Tenured/Tenure Track Faculty and on the awarding of tenure to a faculty member hired as a full Professor. No faculty member may vote on a matter
(b) **Attendance at Faculty Meetings.** In addition, professors emeriti, adjunct and clinical and visiting professors of each grade and research professors without tenure of each grade, instructors, library associates, lecturers, senior language lecturers, language lecturers, master teachers, teachers, master artists, and artists-in-residence, whether they teach on a full-time or part-time basis, are entitled, subject to faculty regulations, to attend faculty meetings, but they will not have the right to vote at such meetings, except as provided below. Every year, each faculty through affirmative action of its voting members as specified in subsection (a) of this Section 79 may in its discretion, and according to its own qualifications, grant voting privileges to all or some of the individuals described above on matters affecting that faculty only, and excepting matters directly or indirectly affecting the individual’s candidacy for a degree or his or her status on the faculty at the University, and the election of members of the Faculty Senators Council or University commissions.

(c) **College and School Governance - Attendance at Faculty Meetings and Voting.** Each of the Tenured/Tenure-Track Faculty and the Full-Time Non-Tenure Track/Contract Faculty of a college or school may hold its own faculty meetings and determine the voting privileges at such meetings of its members, and also may grant rights of attendance and voting privileges to other categories of faculty of the college or school at such meetings as it determines, in all cases subject to the provisions of subsection (b) of Bylaw 82. The dean of a college or school may hold faculty meetings and invite the Tenured/Tenure-Track Faculty and/or the Full-Time Non-Tenure Track/Contract Faculty, as well as any subset of a category of faculty, of that college or school, subject to the provisions of subsection (b) of Bylaw 82.

(d) **Officer of Instruction. Appointments in More than One College or School.** An officer of instruction faculty member serving on a full-time basis in the University will be a full-time member of the faculty of each college and school in which he or she gives instruction regularly, but will have voting rights in the election of members of the Tenured/Tenure Track Faculty Senators Council or the Full-Time Non-Tenure Track/Contract Faculty Senators Council, as applicable, only in the college or school of his or her principal assignment as determined for this purpose by the President and Chancellor.

(e) **Roster.** The roster of faculty members entitled to voting rights in each faculty under subsections (a), (b), and (c) of this Section 79 Tenured/Tenure Track Faculty and of Full-Time Non-Tenure Track/Contract Faculty will be prepared and maintained on a current basis by the dean of the faculty, will be submitted to the Secretary and General Counsel for verification and filing in the official records, and will be available for reference at each faculty meeting.

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**Faculty Meetings [Bylaw 8083]**

The Tenured/Tenure Track Faculty and the Full-Time Non-Tenure Track/Contract Faculty in each college or school should each faculty will hold at least four meetings each year, at such times and places and under such rules of procedure, as are consistent with these Bylaws, as it may determine. Such meetings may be joint meetings. Copies of the minutes of such meetings will be sent to the President and Chancellor.

**Faculty Titles**

In 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in a section headed “Statement in Regard to Academic Freedom and Tenure.” The Bylaws in effect at that time gave only brief descriptions of faculty titles; new Bylaws adopted since then give more ample descriptions. The text of Bylaws 825, 8623, 87, and 848, approved
May 27, 1968, as amended through January 1, 2014, is found below. In the event of conflict between earlier and later statements by the Board of Trustees, the most recent statement governs.

Since 1974, by action of the Board of Trustees, certain professional librarians of New York University also have had full faculty status. Their titles of rank are equated with those of the teaching ranks.

**Tenured Faculty Professors and Associate Professors; Curators and Associate Curators [Bylaw 852]**

a) **Tenured Appointments.** The Tenured Faculty consists of the Professors and Associate Professors who have usually been appointed to serve on a full-time appointments at the University and who have been awarded permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that he or she has received the requisite approvals and has been awarded tenure. Only full-time Professors and Associate Professors may achieve permanent or continuous tenure at the University. Unless otherwise specified, Professors and Associate Professors are appointed for one year only, but they may be appointed for a longer period or without limit of time, subject to such rules respecting tenure as the Board may adopt.

b) **Libraries.** Curators and Associate Curators in the Division of the Libraries and in the School of Law and certain, but not all, Curators and Associate Curators in the School of Medicine are granted tenure rights under conditions similar to those applicable to tenured Professors and Associate Professors. Only full-time Curators and Associate Curators may achieve permanent or continuous tenure at the University.

**Tenure Track Faculty Assistant Professors; Assistant Curators [Bylaw 863]**

a) **Tenure Track Appointments.** The Tenure Track Faculty consists of Associate Professors and Assistant Professors who have full-time faculty appointments at the University and currently are not tenured but who may be eligible to be considered for permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that his or her appointment is a tenure track appointment. Associate Professors and Assistant Professors are usually appointed for one year only, but full-time service in these ranks may be counted, to the extent permitted under the rules of the Board of Trustees, toward the attainment of tenure by assistant professors that are promoted to the rank of associate professor or professor.

b) **Maximum Duration.** A full-time Associate Professor or Assistant Professor on the tenure track in any school, college, school, division, or department except the School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, and the College of Dentistry and its departments and its College of Nursing and their departments, and the Leonard N. Stern School of Business and its departments, who is not awarded tenure promoted at the expiration of seven years as a full-time assistant professor shall will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor on the tenure track in the School of Medicine, or any of its departments, or in the College of Dentistry, or any of its departments or and its College of Nursing, or any of their departments who is not awarded tenure promoted at the expiration of ten years as a full-time assistant professor shall will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor...
Professor in the Leonard N. Stern School of Business, or any of its departments, who is not awarded tenure promoted at the expiration of nine years as a full-time assistant professor shall be ineligible for further full-time appointment in the University. Service as a Full-Time Non-Tenure Track/Contract Faculty member or as an Other Faculty member may not be counted toward the attainment of tenure by persons who may become tenure track Faculty members.

c) Notice. The appropriate dean or departmental chairperson will as a matter of academic courtesy give notice of these rules to Associate Professors and full-time Assistant Professors on the tenure track in any school, college, division, or department except the School of Medicine, and its departments, the College of Dentistry, and its departments and its College of Nursing and their departments, and the Leonard N. Stern School of Business, and its departments, in the sixth year of service as assistant professor, or, in the School of Medicine, or any of its departments, and the College of Dentistry, or any of its departments or its College of Nursing and their departments, in the ninth year of service as assistant professor, or, in the Leonard N. Stern School of Business, or any of its departments, in the eighth year of service as an assistant professor, but no untenured Associate Professor or Assistant Professor or instructor will be promoted or acquire tenure rights on the ground that he or she did not receive a notice or reminder of this section of these Bylaws.

d) Libraries. Associate Curators and Assistant Curators who may be eligible to acquire tenure in the Division of the Libraries and in the School of Law and certain Associate Curators (including Assistant Curators in the School of Medicine) are appointed on the same terms and conditions as Associate Professors and Assistant Professors on the tenure track at New York the University, without extension of probationary period as provided for Associate Professors and Assistant Professors in the School of Medicine, and are subject to the same prohibition on further full-time appointment if not promoted at the end of the specified periods. An exception is made, under special administrative arrangements approved by the President and Chancellor, for assistant curators appointed prior to October 1, 1972.

Full-Time Non-Tenure Track/Contract Faculty [Bylaw 87]

(a) Full-Time Non-Tenure Track/Contract Faculty Appointments. The Full-Time Non-Tenure Track/Contract Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from assistant to associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or a company). A Full-Time Non-Tenure Track/Contract Faculty member does not lose that status during the duration of his or her full-time faculty employment because the person has been advised that his or her contract will not be renewed. Full-Time Non-Tenure Track/Contract Faculty are not eligible for tenure.

(b) Contracts and Titles. Full-Time Non-Tenure Track/Contract Faculty are appointed for a definite period of time and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Unless otherwise specified, Full-Time Non-Tenure Track/Contract Faculty are appointed for one year only, but they may be appointed for a longer period, subject to such rules respecting Full-Time Non-Tenure Track/Contract Faculty as the
Board may adopt. Full-Time Non-Tenure Track/Contract Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Other Faculty titles. On rare occasions, the title of professor, associate professor, or assistant professor are utilized for Full-Time Non-Tenure Track/Contract Faculty, most commonly in the case of senior faculty who come to the University after a distinguished career at another institution and at the Abu Dhabi and Shanghai portal campuses. Titles also may include, among others, certain of the nontenure position titles set forth in Section 88 of these Bylaws.

(c) Libraries. Associate Librarians of Practice and Assistant Librarians of Practice and certain Curators, Associate Curators, and Assistant Curators in the School of Medicine who are appointed on the terms and conditions required for Full-Time Non-Tenure Track/Contract Faculty at the University are considered Full-Time Non-Tenure Track/Contract Faculty for purposes of these Bylaws.

Other Faculty [Bylaw 88]

(a) Other Faculty Appointments. Other Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who are not Full-Time Non-Tenure Track/Contract Faculty. They may include: (i) emeritus faculty; (ii) adjunct and other part-time faculty; (iii) faculty whose titles or appointments prohibit indefinite contract renewals; (iv) temporary faculty; (v) visiting faculty; (vi) instructors and (vii) full-time researchers while they maintain a secondary faculty title. Other Faculty are not eligible for tenure.

(b) Contracts and Titles. Other Faculty are appointed for a definite period of time, not exceeding one academic year unless otherwise specified, and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Other Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Full-Time Non-Tenure Track/Contract Faculty titles. Titles may include, among others, certain of the nontenure position titles set forth in Section 88 of these Bylaws.

Non-Tenure Positions [Bylaws 87, 88, 89]

Types of Non-tenure Positions. Instruction or research service shall be without tenure implications of any kind, regardless of rank or title, if rendered in a part-time capacity, or in a temporary position, or in a program having a subsidy of limited duration. Bylaw 87(a) and Bylaw 88(a) provide that Full-time Non-Tenure Track/Contract Faculty and Other Faculty are not eligible for tenure. Bylaws 87(b) and Bylaw 88(b) provide that appointment to a non-tenure position shall be for a definite period of time, not exceeding one academic year unless otherwise specified, and shall automatically terminate at the close of that period unless there is an official notice of renewal. Non-tenure positions, which may be faculty or non-faculty positions, include the following:

- instructor titles (e.g., instructor, clinical instructor, research instructor, assistant professor/instructor);
- research and scientist titles (e.g., research professor, research associate professor, research assistant professor, research scholar, associate research scholar, assistant research scholar, senior research scientist, research scientist, associate research scientist, assistant research scientist, professor (research), associate professor (research), assistant professor (research))

2 In the School of Medicine, research professor, research associate professor, and research assistant professor these designations denote part-time status. For full-time service appointments, the designations “Professor (Research or Clinical),” “Associate Professor (Research or Clinical),” “Assistant Professor (Research or Clinical),” and “Professor (Research or Clinical)” denote full-time status are used.
the title of that includes research professor is conferred as a distinction upon a faculty member with person already having tenure or on the tenure track at New York University); 4

• global titles (e.g., global distinguished professor, global professor, global visiting professor, global instructor, global professor, except when a title that includes global professor is conferred as a distinction upon a faculty member with tenure);

• adjunct titles (e.g., adjunct professor, adjunct associate professor, adjunct assistant professor);

• clinical titles (e.g., clinical professor, clinical associate professor, clinical assistant professor, clinical professor (clinical), associate professor (clinical), assistant professor (clinical)), master clinician);

• visiting titles (e.g., visiting professor, visiting associate professor, visiting assistant professor);

• arts and music titles (e.g., arts professor, associate arts professor, assistant arts professor, visiting arts professor, visiting associate arts professor, visiting assistant arts professor, music professor, music associate professor, music assistant professor, master artist, artist-in-residence);

• senior research scientist, research scientist, associate research scientist, assistant research scientist;

• senior research scholar, research scholar, associate research scholar, assistant research scholar;

• lecturer titles;

• titles related to the teaching of languages (e.g., senior language lecturer and language lecturer);

• teacher titles (e.g., lecturer, master teacher, teacher, associate teacher, teaching fellow, teaching associate, teaching assistant, master artist, artist-in-residence);

• teaching fellow, teaching associate, teaching assistant;

• assistant and associate titles (e.g., library associate, research associate, assistant, clinical assistant, graduate assistant, research assistant);

• in residence titles (e.g., distinguished scientists in residence, writer in residence);

• industry titles (e.g., industry professor, industry associate professor, industry assistant professor, distinguished industry professor);

• scholar titles (e.g., scholar in residence, distinguished scholar, visiting scholar);

• practice titles (e.g., librarian of practice, professor of/from practice, associate professor of/from practice, assistant professor of/from practice); and

• fellow titles (e.g., assistant professor/faculty fellow).

Any position designated by a title not specified in this chapter shall be a non-tenure position unless the Board of Trustees determines otherwise. Additional detail about non-tenure positions can be found at the website of the Office of Academic Appointments.

b) In Specific Schools. Additional non-tenure positions in specific schools include the following:

In the Tisch School of the Arts:

• arts professor, associate arts professor, assistant arts professor;

• visiting arts professor, visiting associate arts professor, visiting assistant arts professor.

In the Steinhardt School of Culture, Education, and Human Development:

• music professor, music associate professor, music assistant professor.

In the School of Medicine:

3 In the School of Medicine, clinical professor, clinical associate professor, and clinical assistant professor are designations denote part-time status; for full-time service appointments, the designations “Professor (Research or Clinical),” “Associate Professor (Research or Clinical),” and “Assistant Professor (Research or Clinical)” denote full-time status are used.
• professor (clinical), associate professor (clinical), assistant professor (clinical);
• professor (research), associate professor (research), assistant professor (research)

e) Full-time Instructor. A full-time instructor is usually appointed for one year only, but if not promoted at the expiration of three years as an instructor shall be ineligible for further full-time appointment in the University. Full-time service in the rank of Instructor may not be counted towards the attainment of tenure by instructors who are promoted to the rank of Associate Professor or Professor. Library Associates are appointed on the same terms and conditions as Instructors.

Further Information on Selected Non-Tenure Track Position Titles

The title instructor is ordinarily applicable to an appointee as an officer of instruction who has not completed the Ph.D. or equivalent degree necessary for entry into the rank of assistant professor, but whose academic preparation is sufficiently advanced to indicate the likelihood of completing that degree and who otherwise gives evidence of character, productive scholarship, and ability to teach.

The title acting professor (or acting associate professor or acting assistant professor) is applicable to a temporary appointee of appropriate caliber who may succeed to unqualified appointment to the rank thus tentatively occupied, but who ordinarily has no assurance of such succession. Occasions for such temporary appointment are rare and are employed only when other designations fail to satisfy the circumstances.

The title visiting professor (or visiting associate professor or visiting assistant professor) is ordinarily applicable to an appointee who is a member of the teaching staff on leave of absence as a full-time teacher of corresponding professorial rank from another institution, but may be applicable to an appointee who does not have a home institution. The duration of the appointment of a visiting professor is normally one year, but shall not exceed three years. In the event of subsequent appointment to the tenure track, the time as visitor will count as part of the probationary timetable.

The title research professor (or research associate professor or research assistant professor) may be employed as a courtesy title without tenure implications, for part-time or full-time service or visiting individuals whose primary activities are in the area of research.

The title research scientist or research scholar (senior, associate or assistant) may be used for those temporarily serving on year-to-year appointments under research contracts, without tenure implications.

The title clinical professor (or clinical associate professor or clinical assistant professor) is applicable in the medical, dental, and certain other divisions to appointees whose professional attainments are comparable to those required for the regular professorial grades but whose teaching service is part-time or whose qualifications and responsibilities are fundamentally distinguishable from those of appointees in the tenure-earning ranks.

The title language lecturer (or senior language lecturer) is applicable in the Faculty of Arts and Science and in the School of Professional Studies to an appointee whose professional attainments are in the area of language instruction and whose qualifications and responsibilities are fundamentally distinguishable from those of appointees in the tenure-earning ranks.
The title adjunct professor (or adjunct associate professor or adjunct assistant professor) is applicable to an appointee whose academic preparation and professional attainments are such as to meet the qualifications for the regular professorial grades as set forth in the tenure statement but who usually does not have a current professorial connection with any other institution and is appointed to teach, usually a part-time program, in New York University on a purely temporary basis. Appointment in these ranks is made on a year-to-year or semester-to-semester basis.

The title lecturer is applicable to an appointee who is an individual of distinction in a professional field, who is not otherwise on the teaching staff of the University, and who is engaged to give a series of lectures or to teach on a part-time basis during a specified semester or year.

The title teaching assistant is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a teaching assistant are ordinarily related to the field or discipline of a student’s degree studies at NYU and are primarily focused on the development and exercise of teaching skills. Generally, such appointments entail stipend support and tuition remission.

The title graduate assistant is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a graduate assistant are ordinarily related to the field or discipline of a student’s degree studies at NYU and are primarily focused on the development and exercise of a variety of professional and technical skills. Generally, such appointments entail stipend support and tuition remission.

The title research assistant is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a research assistant are related to the field or discipline of a student’s degree at NYU and are primarily focused on the development and exercise of a variety of research-related skills. Generally, such appointments entail stipend support and tuition remission.

The designations instructor, lecturer, associate teacher, master teacher, master artist, artist-in-residence, teaching fellow, graduate assistant, research assistant and teaching assistant, and any positions designated or not designated by a title cited in this chapter, whether gained at New York University or elsewhere, do not fall within the academic hierarchy (i.e., assistant professor, associate professor, professor) that may lead to tenure at New York University, and service in such capacities, irrespective of its duration or where it was rendered, whether full-time or part-time, is not creditable toward tenure requirements at New York University.
FACULTY POLICIES APPLICABLE TO ALL OR MOST MEMBERS OF THE FACULTY INCLUDING TENURED/TENURE TRACK FACULTY, FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY, AND OTHER FACULTY

The following faculty policies are applicable to all categories of faculty unless otherwise indicated.

Academic Freedom

This section on academic freedom is taken from Academic Freedom and Tenure, Title I: Statement in Regard to Academic Freedom and Tenure.

Section II. The Case for Academic Freedom

“Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.”

Section IV. Academic Freedom

“Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements should be based upon an understanding with the administration of the University.

Teachers are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.”

Tenured/tenure track faculty members also are entitled to other protections related to tenure and academic freedom, discussed in more detail in “Faculty Policies Applicable to Tenured/Tenure Track Faculty” below.

Responsibilities of the Faculty Member

Members of the faculty are expected to meet their professional and institutional commitments at the University on a regular basis throughout the academic year. These commitments include time spent on teaching, research, student advising, clinical activities and various kinds of University or outside professional service on committees and in administrative or advisory roles.

All officers of instruction Members of the faculty are expected to handle their teaching assignments with professional skill. They should familiarize themselves with the overall organization of the University, and especially with the operations of the school or college in which they serve, and with its requirements and
regulations, with which they will scrupulously comply. They should strive to be good citizens of the academic community, cooperative and efficient in meeting deadlines, submitting grades, and returning students’ work with appropriate comments. They should be active participants as committee members, student advisers, or in whatever other capacity they can render the best service in the affairs of the department and the school. Ideally, they should also maintain interest in the current activities and problems of the larger community and in how the community and the University can benefit each other.

Tenure and tenure-track faculty should aim at the steady enlargement of knowledge in their special fields—by enlarging their own knowledge through continuing study and by enlarging the knowledge of others through making scholarly contributions. All faculty should keep abreast of publications about new developments in their subject area, and attend and actively participate in the meetings of appropriate learned societies. (Financial assistance in attending professional meetings may be available, according to the rules of the several schools and colleges.)

General criteria for promotion and tenure for tenure and tenure-track faculty are cited in Title I, Section V of the Statement in Regard to Academic Freedom and Tenure. Some schools and colleges also have written statements on faculty appointment policies and procedures, particularly those concerned with promotion and tenure.

Section XI of the Tenure Statement cites important information regarding yearly notification of nontenured faculty concerning tenure prospects, including a formalized early review for certain junior faculty during their third year of service and, in the School of Medicine and the Stern School, also in their sixth year of service.

Teaching and Research Assignments for Full-Time Faculty

As regards full-time faculty members, long-standing University policy normally limits regular teaching assignments to the usual fall and spring terms (approximately early September to mid-May) or equivalent. In the School of Medicine and the College of Dentistry, including the College of Nursing, the regular teaching and research assignments are September through August and September through July, respectively. The summer months are generally expected to be spent partly in scholarly activity for professional growth and partly in rest and recreation.

Full-time faculty on such nine-month appointments—may accept teaching, research or other employment during the three summer month(s) when they do not have regular teaching assignments, either at NYU or at another academic institution, or from another employer, or in NYU’s January Term Session, provided such additional undertakings do not unduly interfere with the teacher’s efficiency and serviceability to the department. In addition, with permission of the Dean or Chair, full-time faculty may be released from some teaching responsibilities during the academic year in order to conduct research. Assignments at NYU outside of the usual pattern as a part of the regular teaching load—obligations are normally made only as the result of a specific agreement with an individual faculty member. In the School of Medicine and the College of Dentistry, the teaching and research assignments are September through August and September through July, respectively.

Full-time teaching loads are determined administratively under guidelines approved by the Office of the Provost for a particular school or department. No additional compensation by reason of teaching overload may be paid to a full-time faculty member during the period of a regular teaching assignment, except in emergency circumstances duly approved in advance by the Office of the Provost. As an exception, teaching in the School of Continuing and Professional Studies by a faculty member based outside of that school or in a regularly established off-campus program for additional compensation to the extent of one course per semester (in addition to a faculty member’s regular assignment) will be permitted with the approval of the dean of the school in which the teacher’s principal services are rendered, but such
arrangements are subject to review and renewed approval from year to year. Exceptions for additional compensation by reason of teaching overload also may be made for teaching in the Gallatin School of Individualized Study by a faculty member based outside of that school and in experimental programs. Exceptions for additional compensation also may be made for teaching at the portal campuses of NYU Abu Dhabi and NYU Shanghai by a faculty member based outside the applicable campus. A full-time faculty member whose regular teaching assignments are limited to the fall and spring terms (approximately early September to mid-May) may accept teaching or research assignments at times outside his or her regular schedule (e.g., during the summer) at New York University or elsewhere, provided such additional undertakings do not unduly interfere with the teacher’s efficiency and serviceability to the department. Summer teaching assignments at New York University are normally made to full-time faculty members only with the consent of the teacher concerned.

Meeting Classes

The regulations of the University require all officers of instruction, members of the faculty, to be present for teaching duty and ancillary activities (e.g., committee work and student advisement) during the academic sessions to which they have been assigned. In addition, unless special arrangements have been made through the department or school, all officers of instruction, members of the faculty, are duty-bound to meet all their assigned classes at the place and hour scheduled. The length of the various academic sessions and the number of class meetings per session are set conformably to the requirements of the State Education Department, regulatory agencies, for the different programs offered by the University, and may not be varied arbitrarily by individual teachers.

In case of illness necessitating absence from class, the teacher should communicate with the proper departmental officer or, if the latter is not available, with the dean. The department head or dean will determine what arrangements, if any, should be made to provide a substitute instructor or to make up the work of the class at a later date.

Calendar

The fiscal years for New York University extend from September 1 through August 31. In most divisions (except certain professional schools, where slightly different schedules obtain) the regular teaching year consists of two terms, beginning in early September and mid-January, respectively. The summer sessions conducted by the various divisions extend for the most part during the period from May to August. The University also offers a January Term Session. The calendars published in the University-wide and individual school bulletins will cite specific dates for each academic year conforming to local variations. This information is also available online (http://www.nyu.edu). The annual Commencement exercises are ordinarily held in May.

Bulletins and Published (including on-line) Materials

Each school and college of the University, under the direction of its dean, issues its own bulletin or bulletins or other published (including on-line) materials describing entrance and degree requirements, programs of study, and the like. All because this is the official publication of a school’s or college’s requirements and programs, it must be as accurate and up-to-date as possible.

It is incumbent upon the individual faculty member whose particular courses are described therein to inform the departmental executive officer of all essential changes that may necessitate a revision of the course description in the bulletin-published materials.

Restriction on Outside Employment

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All faculty members compensated on a full-time basis are expected to devote their major energies to teaching, research, service, student counseling, and related activities at the New York University. This implies a limit on outside activities, particularly those that involve the rendering of service for extra compensation.

No one appointed to a tenure or tenure-track faculty position at NYU may simultaneously hold a tenure or tenure-track position elsewhere. Teaching service by Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty at other institutions during the academic year must be approved in advance by the dean. For Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Facultytenure or tenure track faculty, extramural activities that are consistent with the individual’s overriding obligation to the University, including consulting and other gainful employment, must be consistent with the principles outlined above and may not require on the average more than one day per week in any academic semester or in any summer month in which the faculty member is receiving compensation for full-time employment at the University. For additional information, please refer to the University’s Policy on Academic Conflict of Interest and Conflict of Commitment.

Circumstances thought to merit exceptional treatment should be referred in writing to the appropriate dean and the Office of the Provost.

All full-time faculty and other faculty if requested by a school dean or the Office of the Provost must complete annually and submit to their school dean the faculty disclosure form then in effect, certifying their compliance with applicable University and school conflict of interest and conflict of commitment policies and disclosing the information requested about the faculty member’s (and immediate family member’s) outside activities and other interests related to the policies. Faculty members also may be required to complete disclosure forms at other times, such as when planning to participate in certain research projects. All faculty members shall on a yearly basis report to their deans on (i) teaching outside the University; if the course taught is the same or similar to a course s/he teaches at the University, an outline of the curriculum taught at both institutions must be provided, (ii) other compensated activities outside the University and (iii) significant financial interest in entities having a relationship to the University (see Policy on Academic Conflict of Interest and Conflict of Commitment). All faculty have an obligation to assure that they do not engage in activities that are prohibited by applicable University and school conflict of interest and conflict of commitment policies and to seek guidance in advance from their department chair, school dean, or the Office of the Provost (the Executive Vice President for Health in the case of the Schools of Medicine, Dentistry and Nursing) if there is any reasonable doubt as to whether an activity may constitute a conflict of interest or a conflict of commitment.

It is the responsibility of departmental chairpersons and/or heads and of the deans of the various schools to protect the interest of the University in the full-time service of its full-time faculty, professional research and library staffs, and administration.

Limitation on Degree Candidacy

Special attention is called to Bylaw 78(c), 81(c) provides: “which reads as follows: No Tenured/Tenure Track Faculty member or Full-Time Non-Tenure Track/Contract Faculty member, other than librarians, officer of instruction holding professorial rank in the University, that is, rank above the grade of instructor, shall will be permitted to enroll as a candidate for a degree or be recommended for a degree in course, unless specifically excepted by the Board. A degree candidate, other than a librarian, who accepts appointment as a Tenured/Tenure Track Faculty member or a Full-Time Non-Tenure Track/Contract Faculty member to professorial rank must thereupon relinquish such candidacy, unless specifically excepted by the Board.”
While the rule does not prohibit a Tenured/Tenure Track Faculty member, Full-Time Non-Tenure Track/Contract Faculty member, teacher of professorial rank, or Other Faculty member, whether on temporary or permanent appointment, from taking courses at this institution for credit to be applied elsewhere toward a degree, it does prohibit such an appointee from pursuing a course to be credited toward a degree at New York University. In applying the rule, the prohibition has been extended to all holders of professorial titles, including visiting, research, adjunct, and clinical professors of each grade, and to administrators of policy-making rank. The holder of any professional librarian’s rank may pursue graduate work and be a degree candidate at the University.

New York State Oath Requirement

Section 3002 of the Education Law of the State of New York, as amended, requires in part that any United States citizen employed within the state as a teacher in a tax-supported or tax-exempt institution sign an oath or affirmation to support the Constitutions of the United States and of the State of New York.

This oath or affirmation must be executed by every newly appointed teacher before the first class session and returned for filing with the records of the institution.

The requisite form for complying with the law is available from the Office of Academic Appointments and in the offices of the deans of the schools and colleges (see the NYU Public Directory for contact information). Foreign nationals, of course, are not subject to this requirement.

Compensation

The salary of a full-time officer of instruction member of the faculty who teaches in the school’s regular fall and spring terms (i.e., a nine-month appointment), or a full-time faculty member teaching assistant and graduate assistant, in the School of Medicine and College of Dentistry, and College of Nursing who serves the entire academic year, normally is paid by monthly check in equal installments over the entire twelve months calendar year, beginning on the first day of the month following the effective date of appointment, with the exception that a teaching associate, teaching assistant, teaching fellow, or graduate assistant on duty from September through May receives his or her salary in 17 biweekly payments, starting in September and ending in May.

Salary payments to a part-time member of the instructional staff are payable four times each term, on the first of October, November, December, and January for the fall term, and on the first of March, April, May, and June for the spring term, with the exception that a part-time faculty member appointed for the entire academic year (September through May) will receive his or her salary in nine equal payments starting October 1 and ending June 1. Salary payments of a part-time faculty member in the School of Medicine are paid according to the same schedule as a full-time faculty member in that school.

Salary payments to a visiting faculty member normally follow the same schedule as full-time faculty with the exception that a visitor whose appointment does not extend through the summer months may be paid on the same schedule as a part-time faculty member.

Payment for Summer Months

In addition to the academic year salary, faculty members appointed on a nine-month basis may receive up to three additional months of summer compensation from NYU-administered sources (e.g., from federal on non-federal research grants). The maximum monthly salary from such sources is one-ninth of the academic year salary. Payment for teaching in the summer intersession, whether paid as additional
compensation to regular full-time officers of instruction or to visiting or part-time personnel, is normally
made on one or more of the following dates, depending on the duration of the assignment: July 1, August
1, September 1. In compliance with New York State Labor Law 195, at the time of hire NYU provides
all new employees (including faculty) with written confirmation of their salary, as well as pay schedules
and pay frequency. The law requires that the employee sign the notice as acknowledgment of receipt.

Deductions from Salary

Deductions from the salary check are made for applicable income and other taxes (e.g., retirement taxes)
by the Controller’s Division for federal, New York State, and New York City income taxes; Federal
Insurance Contributions Act (FICA) tax as specified by law; and for applicable annuity, group insurance,
disability income protection plan, dental plan, and hospitalization and surgical-medical insurance
premiums, and other benefits in accordance with individual requirements. Eligibility for benefits varies
based on a variety of factors, including whether the faculty member is employed on a full-time versus
part-time basis, whether the employee’s benefits are dictated by a collective bargaining agreement,
whether the employee is a temporary appointee, the country in which the faculty member is payrolled
and/or performing services, and other factors. Part-time members of the instructional staff, and such
essentially temporary appointees as teaching fellows, graduate assistants, and the like, are ordinarily
ineligible for annuity, group insurance, or hospitalization benefits. Cases to the contrary are subject to
review and decision by the administration.

The University cooperates with the United States Treasury in arranging for the regular purchase of
savings bonds under the Payroll Deduction Plan.

Leave of Absence (Paid and Unpaid)

Applications for leave of absence of not more than seven days should be made to the proper applicable
dean; applications for leave of absence for more than seven days requires the approval of the Office of
the Provost.

A leave of absence may not be granted to a faculty member who has accepted a tenured appointment
elsewhere. Leaves of absence for faculty performing services and/or payrolled outside of the United
States may vary.

Illness/Disability Leave and Maternity Leave

The salary of a full-time faculty member Tenured/Tenure Track Faculty or a Full-Time Non-Tenure
Track/Contract Faculty member (Code 102) may be continued for up to six months at the discretion of the
dean, for absence caused by illness or disability, subject to approval by the Office of the Provost.

Legally, an absence caused by inability to work because of pregnancy, childbirth, or related medical
conditions must be treated at least as favorably as an absence caused by illness or disability for all
employment-related purposes. At the time a faculty member gives birth, she is entitled to an aggregate of
six consecutive weeks of paid maternity leave preceding and following the date of birth.

A physician’s statement certifying that the faculty member is unable to work because of illness or
disability and the date on which it is anticipated that he or she can return to work may be required. The
University, in addition, may require that the faculty member be examined by a physician designated by
the University at no cost to the faculty member. In cases of childbirth, no certification will be required
unless the request for leave extends beyond six weeks.
A Tenured/Tenure Track Faculty or a Full-Time Non-Tenure Track/Contract Faculty member who is totally disabled for more than six consecutive calendar months may claim benefits under New York University’s long-term disability insurance if a participant.

Personal Leave

Personal leave without pay may be granted at the discretion of the dean for a variety of reasons, including those cited below. Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty members may be granted one or more full semesters of leave without pay for compelling personal reasons, such as care of a seriously ill child, parent, spouse, or registered same-sex domestic partner. Leave by either parent for the purpose of taking care of a child or related activities, as distinguished from inability to work because of pregnancy or childbirth, is treated as personal leave.

Faculty members are entitled to all provisions of the federal Family and Medical Leave Act of 1993 that are not specifically provided for herein. (A copy of “Your Rights under the Family and Medical Leave Act of 1993” is available at the Benefits Office; a set of new rules and updates to the regulations are effective January 2010 see the NYU Public Directory for contact information.)

Workload Relief Policy (Approved by the University Senate March 1, 2007)

In order to provide relief to eligible full-time faculty members faced with the additional demands of being the primary care-giver to a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, New York University’s workload relief policy grants one (1) semester of workload relief from classroom teaching and administrative committee work or two (2) semesters of half relief from such duties, based on the individual’s normal yearly workload, at full salary. Workload relief is not considered a leave as faculty members are expected to make themselves available to the extent reasonable and practicable for their customary responsibilities of research, student consultation, and advising.

The faculty member’s School shall remain financially responsible for the faculty member’s salary during the workload relief period. Financial support for workload relief of classroom teaching, necessitated by having to hire appropriate replacements, is to be borne by a University workload relief fund. Please see the Workload Relief Form for details.

Individuals eligible for workload relief benefits include all full-time (code 102) faculty, Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty. To qualify for workload relief, the faculty member must be the parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care. In all circumstances, only one (1) parent may be considered primarily responsible for the care of the child. If both parents could be eligible under this policy because they are both code 102 eligible full-time faculty, each such eligible faculty member could qualify sequentially for a half semester if the designation of primary responsible parent changed, but the total amount of workload relief would not increase.

Normally the first semester of workload relief will be the semester in which the temporary disability leave for childbirth is completed, the semester in which the adoption, foster care or guardianship takes place, or, in the case of the birth parent, the semester in which the birth takes place. If the primary caregiver taking workload relief is the non-birth parent, only the latter two (2) situations are relevant. If these events occur between semesters when classes are not in session, the first semester of the workload relief typically will be the following semester.
In the case of childbirth, at least five (5) months before the start of the first semester of relief, a faculty member wishing to utilize workload relief for parenting under this plan should inform his or her Department Chair by filling out a Workload Relief Form, certifying that she/he is the primary caregiver and stating her/his intentions to take one (1) full semester or two (2) half semesters of relief. The form should be submitted to the person responsible at his/her School for processing the request as listed on the Workload Relief contact sheet. Details of the workload relief arrangement must be decided in consultation with the Department Chair or, in Schools without departmental organization, with the Dean. In the case of adoption, foster care or guardianship, the faculty member should alert the Department Chair or Dean as early as possible. Tenure clock stoppage will be granted for a cumulative maximum of two semesters during the probationary period to a faculty member who is the primary caregiver of a child whether or not the faculty member avails herself or himself of workload relief. The one (1) full semester of relief or two half semesters of relief will count as credit toward a faculty member’s sabbatical leave. (See below, Tenure Clock Stoppage for Personal Reasons.)

This policy is not intended to replace leave available to faculty members who are eligible for leave for the birth a child, an adoption, or foster care placement under the Family and Medical Leave Act of 1993 ("FMLA"). A set of new rules and updates to the regulations are effective January 2010. FMLA will run concurrently with workload relief as either intermittent or reduced workload leave. An FMLA certification must be completed and submitted with the Workload Relief Form to determine FMLA eligibility. Eligible faculty members may still elect to take unpaid FMLA leave if they wish to provide no service while providing care for their newborn child, newly adopted child, or foster care or guardianship placement.

Benefits During Leave of Absence

During a leave of absence, benefits may be affected. The Benefits Office should be contacted for details regarding how to continue benefit coverages and the length of time for which benefits may be continued. It is a faculty member’s responsibility to contact the Benefits Office to arrange for continuation of benefits. More information is available in the benefits booklets or at the Benefits Office (see the NYU Public Directory for contact information).

Retirement

In order to foster an ongoing relationship with the University’s retirees, a number of perquisites are available through Central Administration and the individual schools. Faculty members may contact their Dean’s Office for details.

To determine eligibility for benefits after retirement, the Benefits Office or the Dean’s Office should be consulted. See the NYU Public Directory for contact information.

Term of Administrative Appointments [Bylaw 774]

“Appointment to an administrative office, including but not limited to the office of executive dean, dean, vice dean, associate dean, assistant dean, director, secretary, department head, and department chair, will be without limit of time, unless otherwise specified, but may be terminated at any time without prejudice to any rights of the officer as holder of a professorship (a) by the President and Chancellor, or the Executive Committee, or the Board; (b) in the case of an appointment other than an executive dean or dean or head, by the executive dean or dean, or by their respective designees; and (c) in the case of an appointment of a head, by the appropriate deans jointly or by the Provost.” A faculty member’s contracted rights are not affected solely by removal from an administrative position.
University Benefits

Benefit Plans and Services

The Benefits Office of the Human Resources Division provides information about the benefit plans and services available to faculty members, members of the professional research staffs, and administrative and professional staff members. All requests for information and questions should be directed to NYU Human Resources Office located at Washington Square. See the NYU Public Directory for contact information, and further information can be found online.

(School of Medicine faculty should contact their Benefits Office; see the NYU Medical Center Telephone Directory for contact information).

Housing for Faculty

University-owned housing is allocated to faculty and staff. At NYU, faculty housing is a critical strategic resource that has supported NYU’s development into a national research university, in order to enhance the academic life at New York University. Nearby housing helps to create a feeling of campus by bringing faculty, staff, and students together. It supports the academic mission of the University by increasing accessibility of faculty members to their students, their colleagues, and their research tools. Although NYU’s rental resources are substantial, they are not sufficient to address all our housing needs. University housing is allocated to faculty and staff in a manner designed to support, recruit and retain the full-time faculty of the University according to University priorities informed by the Deans of the Schools. Specific University policies on Faculty Housing govern the allocation of housing: The highest priority is to house tenured and tenure track faculty, and among them, new faculty who will be joining NYU and who do not have housing in the metropolitan area. Almost equal priority is given to existing faculty who are of high retention importance as determined by the deans of each school. Any questions should be addressed through the individual school Dean’s Offices.

Service Recognition Awards

Faculty will receive service recognition gifts upon completion of 10, 15, 20, 25, 30, and 35 years of full-time service to the University, and every five-year milestone thereafter through 50+ years. The University also will also present a certificate to every member of the faculty who has given 25 years of full- and/or part-time service to the University.

Travel Policies

Information about University policies and guidelines concerning travel and reimbursement rates can be obtained from the Office of the Controller (see the NYU Public Directory for contact information). All faculty are encouraged to use NYU Traveler, which was created to provide the NYU community with tools and services for their travel needs and to help keep them safer.

Releasing Employment Information

Faculty members wishing to have information about their status at the University officially transmitted to persons or institutions outside the University should apply to the Office of Academic Appointments, in order to execute the required consent form (see the NYU Public Directory for contact information).

Legal Matters
Legal Assistance Related to University Matters; Signing of Contracts; Service of Legal Papers

The handling of all legal matters arising from or pertaining to the operations of the University is the responsibility of the General Counsel of the University and only the Office of General Counsel is authorized to retain outside counsel on behalf of the University. All legal inquiries should be directed to the Office of the General Counsel.

Administrators and faculty members should not sign contracts, leases, or other agreements without proper written authorization, as well as required legal and financial reviews, and should not reply to communications received from attorneys concerning University business, whether telephone messages, faxes, e-mails or letters. Responses to such communications must be prepared in consultation between the Office of the General Counsel and the faculty member or administrator concerned. Similarly, under no circumstances should anyone not an officer of the University accept service of legal papers, such as subpoenas, citations, court summonses, or violation notices. Anyone who wishes to serve such papers on the University should be referred to the Office of the General Counsel, which will accept them officially on behalf of the University.

Refusal by a faculty member or administrator to accept service is not illegal; it is in fact the proper procedure and in the best interests of the University. If a process server refuses to be cooperative and insists upon leaving the papers, immediately call the Office of the General Counsel, and ask for instructions.

The Office of the General Counsel is responsible only for official University business and is not staffed to provide personal legal assistance except in the special instances described in “Selected Policies Concerning the Protection of Rights and Other Matters” under the heading of “Legal Protection for Faculty Members.” In exceptional cases, however, the office will, upon request, suggest legal organizations or other counsel to University personnel in need of such assistance.
**FACULTY POLICIES APPLICABLE TO TENURED AND TENURE-TRACK FACULTY**

This part of the Faculty Handbook begins under the heading Academic Freedom and Tenure with Titles I-IV of the University’s formal rules of tenure and related provisions. As noted in the preceding section, Faculty Titles, in 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in a section headed “Statement in Regard to Academic Freedom and Tenure.” This provision has been amended, from time to time, by the Board of Trustees. The current provision is set forth below.

General criteria for promotion and tenure for tenured and tenure-track faculty are cited in Title I, Section V. The core principles and procedures for tenure and promotion at the University appear in the New York University Promotion and Tenure Guidelines. In addition, colleges and schools have their own internal rules, procedures, and policies, such as School statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President and Chancellor.

**Academic Freedom and Tenure**

(Titles I and II were adopted by the University Board of Trustees on October 24, 1960, and have been amended through December 2, 1996).

**Title I: Statement in Regard to Academic Freedom and Tenure**

I. **Authorization by the Board of Trustees**

The Board of Trustees of New York University has authorized the following statement in regard to academic freedom and tenure at New York University. It reserves the right to amend this statement at its discretion, but no amendment shall take away a status of permanent or continuous tenure acquired before such amendment.

II. **The Case for Academic Freedom**

Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.

III. **The Case for Academic Tenure**

Academic tenure is a means to certain ends, specifically: (1) freedom of teaching and research; and (2) a sufficient degree of economic security to make the profession of teaching attractive to men and women of ability.

IV. **Academic Freedom**

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements, should be based upon an understanding with the administration of the University.
Teachers are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.

V. Academic Tenure

1. Part-time positions and other positions] A distinction is made between part-time and full-time members of the teaching staff. Unless their notices of appointment explicitly state that they are appointed for full-time teaching service, officers of instruction, of whatever rank, are considered part-time members of the teaching staff. The full-time members of the teaching staff are those teachers who give full-time service to the University and whose notices of appointment explicitly so indicate.

All part-time appointees to the University staff, irrespective of title, rank, or cumulative length of service, are entitled to no right of tenure, and their appointments are limited strictly to the periods stipulated in the official notices thereof. Likewise, all instructors, and all those receiving appointment in such temporary capacities as fellow, assistant, associate, lecturer, or as acting, adjunct, clinical, and visiting officers of instruction in the several ranks, whether rendering full- or part-time service, are ineligible for tenure on the basis of such service and are restricted in the duration of their connection with the University to the period stipulated in the official notices of appointment. The same stipulation applies to personnel appointed with professorial or other titles, whether on full- or part-time service, on subsidized assignments such as sponsored research, or in teaching programs where expense of the program is dependent upon a subsidy of limited duration. [Cf. Bylaw 84.]

2. Tenure described] The general policy of the University with respect to probation and tenure for full-time assistant professors, associate professors, and professors is given below. After expiration of the stipulated probationary periods, full-time associate professors and professors are considered to have permanent or continuous tenure, and their services are to be terminated only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division. It is understood that the University has the right to reduce the length of the probationary period in specific cases.

3. Assistant Professor] The rank of Assistant Professor should be granted only to those who have proved their worth as teachers and have given evidence of character and productive scholarship. The assistant professor should possess the maturity and attainment in the field of scholarship or professional practice of which the doctor’s degree is usually the testimonial. Appointment to an assistant professorship carries with it the possibility but no presumption of reappointment and includes no right to permanent or continuous tenure or to further reappointment, or to promotion to any higher rank.
A full-time assistant professor in any school, college, division, or department except the School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, and the College of Dentistry and its departments and its College of Nursing, who is not promoted at the expiration of seven years as full-time assistant professor shall be ineligible for further full-time appointment in the University. A full-time assistant professor in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, who is not promoted at the expiration of ten years as a full-time assistant professor shall be ineligible for further full-time appointment in the University. A full-time assistant professor in the Leonard N. Stern School of Business or any of its departments, who is not promoted at the expiration of nine years as a full-time assistant professor shall be ineligible for further full-time appointment in the University.

4. [Associate Professor] The rank of Associate Professor should be granted only to those who, in addition to all the qualifications for an assistant professorship, have an unusual contribution to make to the University through the excellence of their character, teaching, productive scholarship, or other educational service. There is no presumption in appointing an associate professor that he or she will later be promoted. Reappointment as an associate professor does not imply any subsequent appointment at higher rank. Under any of the following conditions the appointment or reappointment of an associate professor carries with it the right of continuous or permanent tenure if it is for: (1) the sixth year as a full-time associate professor at New York University; or (2) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, the eighth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor; or (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, the eleventh year, as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor; or (c) in the Leonard N. Stern School of Business or any of its departments, the tenth year as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor, or (3) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, the fifth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term of more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section; (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, the eighth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term of more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section; (c) in the Leonard N. Stern School of Business or any of its departments, the seventh year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term at more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section.

If a full-time teacher at the time of his or her first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he
or she has gained permanent or continuous tenure in another institution of higher education in
the United States having tenure regulations similar to those in effect at New York University
and leaves that institution to accept appointment as a full-time associate professor at New
York University, it is assumed that he or she has permanent or continuous tenure at New
York University unless it is agreed in writing that his or her appointment is for a probationary
period of not more than four years. It shall be the responsibility of the University official
hiring the teacher to raise the question of tenure possibly achieved elsewhere.

5. [Professor] The rank of Professor should be granted only after careful consideration of the
individual’s character, scholarship, productivity, teaching ability, and reputation among peers
in his or her own field, as well as his or her capacity for inclining students toward noteworthy
attainments. It should be granted only to men and women who have been so tested that there
is reasonable certainty of their continuing usefulness throughout the remainder of their
working years. It should never be granted as the reward of seniority and should be reserved as
a mark of distinction in the field of scholarship and instruction. It should never be granted as
a recognition of usefulness in administration.

Under any of the following conditions the reappointment of a professor carries with it the
right of continuous or permanent tenure: (1) if the reappointment is for the fourth year as a
full-time professor at New York University; or (2) if the reappointment is for the sixth year as
a full-time professor or associate professor at New York University; or (3) (a) in any school,
college, division, or department except the School of Medicine and its departments, the
College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern
School of Business and its departments, if the reappointment is for the eighth year as a full
time teacher at New York University in the rank or ranks of assistant professor, associate
professor, or professor; (b) in the School of Medicine or any of its departments and the
College of Dentistry or any of its departments or its College of Nursing, if the reappointment
is for the eleventh year as a full-time teacher at New York University in the rank or ranks of
assistant professor, associate professor, or professor; (c) in the Leonard N. Stern School of
Business or any of its departments, if the reappointment is for the tenth year as a full-time
teacher at New York University in the rank or ranks of assistant professor, associate
professor, or professor, or (4) (a) in any school, college, division, or department except the
School of Medicine and its departments, the College of Dentistry and its departments and its
College of Nursing, and the Leonard N. Stern School of Business and its departments, if the
reappointment is for the fifth year as a full-time teacher at New York University in the rank
or ranks of assistant professor, associate professor, or professor and follows a term of more
than three years of full-time teaching in the rank or ranks of assistant professor, associate
professor, or professor in one or more institutions of higher education other than New York
University except as provided in paragraph six of this section; (b) in the School of Medicine
or any of its departments and the College of Dentistry or any of its departments and its
College of Nursing, if the reappointment is for the eighth year as a full-time teacher at New
York University in the rank or ranks of assistant professor, associate professor, or professor
and follows a term of more than three years of full-time teaching in the rank or ranks of
assistant professor, associate professor, or professor in one or more institutions of higher
education other than New York University except as provided in paragraph six of this
section; (c) in the Leonard N. Stern School of Business or any of its departments, if the
reappointment is for the seventh year as a full-time teacher at New York University in the
rank or ranks of assistant professor, associate professor, or professor and follows a term of
more than three years of full-time teaching in the ranks of assistant professor, associate
professor, or professor in one or more institutions of higher education other than New York
University except as provided in paragraph six of this section.
If a full-time teacher at the time of first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he or she has gained permanent or continuous tenure in another institution of higher education in the United States having tenure regulations similar to those in effect at New York University and leaves that institution to accept appointment as a full-time professor at New York University, it is assumed that he or she has permanent or continuous tenure at New York University unless it is agreed in writing that his or her appointment is for a probationary period of not more than three years. It shall be the responsibility of the University official hiring the teacher to raise the question of tenure possibly achieved elsewhere.

6. [Exclusion of prior full-time teaching service at another institution] When full-time teaching service at another institution of higher education does not meet the criteria recognized for service at New York University, that service may be excluded from the probationary period under paragraph 4, clause (3), or paragraph 5, clause (4), of this section. In determining whether prior service at another educational institution should not be included, consideration shall be given to whether or not the prior service: (a) was in an Association of American Universities institution or equivalent; (b) followed the attainment of the terminal degree; (c) was in a tenure earning position; and (d) related factors. Recommendations that service at another institution of higher education not be included within the probationary period should be predicated on a written agreement between the prospective faculty member and the dean, and should be submitted by the dean to the Provost for approval before the initial appointment is effective. The faculty member will be notified in writing by the Office of the Provost whether or not prior service will be included within the probationary period at New York University.

7. [Administrative posts; promotions] Appointment to administrative posts may be terminated or modified by the University Board of Trustees without prejudice to the teaching rights of officers holding such positions. If a teacher gains permanent or continuous tenure at New York University in one rank, his or her tenure will not be invalidated by subsequent promotions in rank.

VI. Termination of a Tenure Appointment

1. When a member of the teaching staff has permanent or continuous tenure or is serving an appointment for a term of years which has not expired, his or her services may be terminated by the University only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division. 4

2. Termination for cause:

(a) [Adequate cause] Adequate cause includes (but is not limited to) one or more of the following: incompetent or inefficient service; neglect of duty; repeated and willful disregard of the rules of academic freedom as set forth in this statement; physical or mental incapacity; or any other conduct of a character seriously prejudicial to his or her teaching or research or to the welfare of the University. [Cf. Bylaw 9287, Removal of Tenured Faculty and Tenured Librarians.]

4 The Board of Trustees has approved resolutions concerning “Procedures for Termination and Reorganization of Programs,” dated December 10, 1979 and December 1, 1997.
(b) [Rules; notice; record] Proceedings for termination of service for cause shall be conducted in accordance with such rules as may from time to time be adopted by the Board of Trustees, and shall be initiated by service upon the person involved of a written notice setting forth clearly and directly all charges preferred against him or her and informing him or her of his or her rights under this section and under relevant University bylaws and rules regulating proceedings on such charges. The person charged shall be entitled to a hearing before a hearing panel of the Faculty Tenure Committee of the University in accordance with the regulations pertaining thereto. A full stenographic record of the hearing shall be given to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers or other scholars, whether from this University or from other institutions.

(c) [Appeal to the Tenure Appeal Committee] Upon the request of either the faculty member charged or the charging party, the record, findings, conclusions, and proposed sanctions of the hearing panel of the Faculty Tenure Committee shall be forwarded to the Tenure Appeal Committee for review and final determination. In the absence of such request, the findings, conclusions, and proposed sanctions of the hearing panel shall be final.

(d) [Rules bind all parties] The rules regulating proceedings to terminate service for cause shall be binding upon all parties.

(e) [Summary suspension] Summary suspension pending termination proceedings is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor the dean of the college, school, or division involved with the assent of the President and Chancellor whenever, in his or her judgment, continuance of the person in service threatens substantial harm to himself or herself, or to others, or to the welfare of the University. Unless legal considerations forbid, any such suspension shall be with full base pay. At any time during the pendency of termination proceedings, the President and Chancellor may lift or modify any suspension in the interest of substantial justice.

(f) [Review of suspension] In the event of summary suspension, the propriety and effect of such suspension shall be reviewed by the hearing panel of the Faculty Tenure Committee when it commences its proceedings on the merits of the charges made, and the panel may recommend to the President and Chancellor that the suspension be revoked or limited in its effects pending the outcome of the proceeding.

(g) [Salary following dismissal] A person having permanent or continuous tenure who is dismissed for cause may, upon the recommendation of the hearing panel of the Faculty Tenure Committee and, in the event of an appeal, upon the approval of the Tenure Appeal Committee, receive his or her salary for up to one year from the date of mailing to him or her, by registered mail, of a notice of such dismissal.

VII. Existing Commitments

This statement, while applicable generally to all members of the teaching staff of New York University at the time of its adoption, is not intended to modify existing commitments, as in the case of assistant professors previously appointed without reference to non-tenure restrictions.

II. Notification of Resignation

The following provisions shall apply to notifications of resignation:
1. [Early notice] Notification of resignation ought, in general, to be early enough to obviate serious embarrassment to the University, the length of time necessarily varying with the circumstances of the particular case.

2. [Minimum notice] Subject to this general principle it would seem appropriate that a professor or an associate professor should ordinarily give not less than four months’ notice and an assistant professor or instructor not less than three months’ notice.

3. [Notification before transferring] It is assumed that a teacher may answer an informal inquiry about whether he or she would be willing to consider transfer to another institution under specified conditions without previous consultation with University officials, with the understanding, however, that if a definite offer follows he or she will not accept it without giving such notice as is indicated in the preceding provisions. A teacher is at liberty to ask his or her superior officers to reduce, or waive, the notification requirements there specified, but he or she is expected to conform to their decision on these points.

IX. Whom Tenure Cannot Protect

Nothing in this statement is to be interpreted as giving the protection of tenure to anyone who advocates the overthrow of the government of the United States by force, violence, or any unlawful means.

Title II: Appointment and Notification of Appointment

X. General Appointment Procedures Affecting the Full-Time Tenure-Earning Ranks

1. [Recommendation by department] Recommendations of appointment or reappointment of full-time assistant professors, associate professors, and professors, who have not achieved permanent or continuous tenure, shall be made by the chief executive officer of each department to the appropriate dean. The chief executive officer is the head of an all-University department or the chairperson of a school or college department that is not part of an all-University department.

2. [Advisory body] In the preparation of his or her recommendation the chief executive officer of each department shall have the counsel of an advisory body of tenured faculty members of the department. In case he or she is not the chief executive officer of the department, the chairperson of a school or college department in which a recommendation for appointment is under consideration shall be a member of the advisory body of tenured faculty members.

3. [Establishing advisory body] Each academic department shall, in accordance with its own procedures, establish an advisory committee on appointments.

4. [Transmitting recommendations] The department head or chairperson shall transmit to the appropriate dean, along with his or her recommendation and reasoning, the recommendation and reasoning of the advisory body, together with their names, the method of their selection, and a report of the numerical vote.

5. [Recommendations by dean] In schools without a departmental organization, the dean, in the preparation of his or her recommendations of appointment, shall have the counsel of an advisory body of tenured faculty members of the school. The dean shall notify the faculty members of his or her school of the composition of the advisory body, and the method of their selection.
6. [Approval by dean] The dean shall approve or disapprove the recommendation, and shall notify the department head or chairperson if there is a departmental organization, and the advisory body, of the ultimate decision along with reasons therefor if the recommendation is disapproved.

7. [Other advisory bodies] Nothing in the appointment procedures described above shall be construed to preclude the possibility that other advisors or advisory bodies or student groups may be consulted to meet the needs of individual schools or specific situations.

XI. Notification of Non-Tenured Faculty Members

1. [Notification; prospects] During his or her probationary period, each full-time assistant professor, associate professor, and professor shall be notified annually by the departmental head or chairperson, or by the dean in schools without departmental organization, of his or her prospect of being recommended by the department on the evidence then available for an appointment resulting in tenure. Where it is unlikely that tenure will be achieved, such notification shall be in writing.5

2. [Notification; no reappointment] Notice of intention not to reappoint a full-time assistant professor, associate professor, or professor 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 December 15 of the second year of academic service, if the appointment is to be terminated on August 31.

(c) In all other cases, not later than August 31, if the appointment is to be terminated on the following August 31, or not later than one year before the termination of the appointment.

However, a faculty member whose period of appointment is due to terminate on a date other than August 31, after receipt of the notice required by this paragraph 2, shall have the right, upon written notification to his or her dean at least 120 days prior to the termination date of the period of appointment, to an extension of his or her appointment until the following August 31. That right shall be communicated to the faculty member in the notice required by this paragraph 2. Under no circumstances shall such extension of appointment, however described, be considered to create any right to further appointment nor shall it, or any other faculty appointment, carry with it a right of continuous or permanent tenure in the absence of written notice awarding such tenure after the carrying out of the procedures described above in Section X.

XII. Tenure Appointments

5 In addition to the current requirement of yearly notice to each faculty member, set forth in Title II, Section XI.1, a formalized early review on tenure prospects is to be completed in the third year of service in the probationary period for assistant professors whose probationary timetable is not shortened due to qualifying previous service. In the School of Medicine and any of its departments, the Leonard N. Stern School of Business and any of its departments, and the College of Dentistry and any of its departments including its College of Nursing, a formalized early review on tenure prospects is to be completed in the third year of service for all assistant professors and in the third and sixth year of service for assistant professors whose probationary timetable is not shortened due to qualifying previous service.
1. [Procedure] In addition to the general appointment procedures, the process of recommending an appointment that would result in tenure shall be as follows:

   (a) The dean shall forward his or her recommendation by June 1 to the Provost, with a copy to the department head or chairperson and to the advisory body or, in schools without departmental organization, to the dean’s advisory body. The dean’s recommendation shall be accompanied by the recommendations he or she has received from the department head or chairperson and the advisory body.

   (b) The Provost shall support or oppose the dean’s recommendation in his or her recommendation to the President and Chancellor, and shall notify the dean of the final decision, along with reasons therefor, if the recommendation is disapproved. The dean in turn shall communicate the decision to the department head or chairperson, if there is a departmental organization, and to the advisory body. The dean shall notify the affected faculty member of the decision.

2. [Negative recommendations] In the case of an appointment that would, if made, complete the stipulated probationary period and result in tenure, negative recommendations as well as positive ones shall be transmitted by the department head or chairperson to the dean, and by the dean to the Provost.

Title III: Rules Regulating Proceedings to Terminate for Cause the Service of a Tenured Member of the Teaching Staff, Pursuant to Title I, Section VI, of the Statement in Regard to Academic Freedom and Tenure

(Titles III and IV were adopted by the University Board of Trustees on October 24, 1960 and have been amended through December 8, 1986)

I. Initiation of Dismissal Proceedings

1. Whenever the President and Chancellor or the Provost, or the dean of a college, school, or division of the University with the assent of the President and Chancellor or the Provost shall deem such action is warranted, that person shall initiate proceedings to terminate for cause the service of a tenured member of the teaching staff. He or she shall formulate, or cause to be formulated, the charges in writing. A copy of such charges, together with notice of proceedings for termination of his or her service for cause, shall be mailed by registered mail to the person involved (“the respondent”).

2. The respondent shall serve a written answer upon his or her dean and the President and Chancellor of the University within twenty days after service of the charges and notice upon him or her admitting or denying each of the allegations contained in the charges and setting forth any defenses to the charges. The time for service of the answer may be extended by the President and Chancellor or the Provost in the interests of substantial justice.

3. Upon receipt of the answer of the respondent, the dean shall forward to the chairperson of the Faculty Tenure Committee copies of the written charges and of the answer to such charges.

4. If the respondent fails to serve a written answer within twenty days, or any extension of such time, the dean shall nevertheless forward the charges to the chairperson of the Faculty Tenure Committee with a statement showing that no answer has been served by the respondent.
5. Within fifteen days after submission of the charges and answer, or of the charges alone, as the case may be, to the Faculty Tenure Committee, the chairperson of such committee shall set a time for the commencement of a hearing, which shall not be more than thirty days thereafter unless further time is granted by the chairperson upon request of either party.

II. The Faculty Tenure Committee and Its Hearing Panels

1. The Faculty Tenure Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to establish a hearing panel to hear the charges against a tenured faculty member in proceedings for termination of his or her service for cause. Its powers are confined to such cases and do not extend to grievances concerning the terms of special contracts of employment, promotion, salary, conditions of work, or similar questions.

2. The Faculty Tenure Committee shall consist of a faculty representative from each school or college in the University. The representative shall be a former elected senator who is still a full-time teacher in the University and is not a dean or the incumbent of a comparable administrative position. The former senator whose term has most recently concluded shall be named first, and in his or her absence by reason of leave, illness, or other inability to serve, the next most recent former senator, and if he or she be unable to serve, then the next most recent former senator, and so on until the list of former senators has been exhausted. If two or more senators had their term of office expire on the same date, lots shall be cast to determine the former senator who shall first be eligible to serve. If there be no available and properly qualified member of the faculty of any unit, then a representative who is eligible to be an elected member of the Senate shall be elected by the faculty of the unit in the manner in which a member of the Senate is elected. The Faculty Tenure Committee shall, when the Committee is called upon to consider a case, elect a Committee chairperson who shall serve until a hearing panel has been selected and has elected its own chairperson.

3. Whenever a case has been referred to the Faculty Tenure Committee, the Committee shall designate from its membership a hearing panel of five members to hear and decide the case. One member of the panel shall be the faculty representative from the same school or college as the respondent. The remaining four members shall be selected by the Faculty Tenure Committee, and such selection shall proceed notwithstanding the unavailability to serve of any former senator from one or more schools or colleges. The hearing panel shall select its own chairperson. Once identified to serve in a particular case, the members of the hearing panel shall continue to serve until the completion of all proceedings, except as otherwise provided by these rules.

III. Conduct of Hearings before the Hearing Panel of the Faculty Tenure Committee

1. An arbitrator who is an attorney shall be the presiding officer at the hearing on the charges. The arbitrator shall be chosen from a list of 12 qualified attorney-arbitrators compiled by the American Arbitration Association. The charging party and the respondent each may strike up to four names from the list and each shall rank, in order of preference, the names of those whom they have not stricken. The Association shall then designate as the arbitrator the available person with the highest degree of joint preference of the parties. Should more than one available person have an equally high joint preference, the Association shall select the arbitrator by lot from those with the highest joint preference.

2. A calendar of hearing dates in a proceeding for dismissal shall be fixed by the chairperson of the hearing panel after consultation with the parties to the proceeding and the arbitrator; the
calendar shall be read into the record on the opening day of the hearing; it shall be adhered to unless the hearing panel orders exceptions for due cause. Whenever the interests of substantial justice appear to so require, the hearing panel may direct either or both parties to submit a summary of the evidence, a first list of witnesses to be called, or both. If the statement of the charges, or the answer thereto, appears to the hearing panel to be indefinite or obscure, the hearing panel may require a more definite statement. Where the respondent has failed to serve an answer to the charges and where it further appears that the respondent is unable to understand the charges and to participate meaningfully in the proceeding, the panel shall obtain the services of a qualified person to represent the respondent. In the absence of such circumstances or other good cause, upon the failure of the respondent to serve an answer prior to the commencement of a hearing or to appear at the hearing, the panel may, in its discretion, preclude the subsequent assertion of any defense or the introduction of evidence on behalf of the respondent.

3. The arbitrator shall conduct the hearing and rule on all procedural matters, including the admissibility of evidence, subject to the right of each party to appeal to the panel. Upon such appeal, the decision of a majority of the panel members shall control. The panel shall have the power to enlarge the time appointed in these procedures for doing any act or taking any proceedings, where the interests of substantial justice appear to so require.

4. The hearings shall not be restricted by the rules of procedure or of the admissibility of evidence which prevail in the courts of law. Subject to the provisions of section 3 of this article III, each member of the panel, at the hearing, may inquire into whatever is believed relevant to the inquiry. Whenever the proceedings originate from a finding of scientific misconduct in accordance with the separate rules governing such proceedings, the hearing panel shall deem the report of the earlier committee to constitute the facts as to the existence of such misconduct.

5. The respondent may be assisted by counsel of his or her choice, as may be the charging party. Counsel for both sides shall cooperate at all times with the panel and the arbitrator.

6. A request by either party to present witnesses shall be made to the panel, which may limit the hearing of witnesses at its discretion. If witnesses are called, each party shall have the right of cross-examination.

7. Each party may introduce exhibits, which shall constitute part of the record of the case. They shall be retained in the custody of a suitable person designated by the chairperson unless, after appropriate precautions to preserve a record of their purport, the chairperson shall order otherwise.

8. A stenographic record shall be made of all proceedings at the hearing. However, on order of the chairperson, procedural matters may be discussed in executive session, the minutes of which need not be included in the transcript of the record of the hearing. This transcript shall be available to all parties to the hearing.

9. Each party shall have equal opportunity at the final session of the hearing for the summation of the case, either in person or by counsel, but no new evidence or testimony may be introduced during such summation.

10. All five members of the hearing panel shall be present at the hearing. If, after the commencement of the hearing, a member of the panel becomes unable to continue to serve, he or she shall be excused from further service. Should a member of the panel repeatedly fail
to carry out his or her obligations as a member of the panel, he or she may be discharged from further service upon the vote of a majority of the remaining members of the panel. In no event, however, may the hearing panel proceed with fewer than three members, and should the number of panel members be reduced to fewer than three, the Faculty Tenure Committee shall designate a new hearing panel which shall commence a de novo proceeding. The members of the original panel who remained on the panel at the time that it ceased to function shall be eligible to serve on the successor panel. The affirmative vote of a majority of the panel shall constitute any action by the panel. Subject to the foregoing, the panel may adopt rules not inconsistent with the provisions herein set forth.

11. Upon completion of the hearing, the panel shall deliberate and make its report. The deliberations shall be conducted in executive session and shall be attended only by the members of the hearing panel. The decision of the panel must be supported by a majority of its members and no recommendation of dismissal shall be made based solely upon the failure of the person involved to answer the charges or appear at the hearing.

IV. Report of the Hearing Panel of the Faculty Tenure Committee

1. The report of the hearing panel of the Faculty Tenure Committee shall be in writing and shall consist of (a) a transcript of the record of the hearing and the exhibits offered or introduced into evidence by the parties; (b) such findings, conclusions, and proposed sanctions as the panel shall make, including a statement of the facts deemed essential to the findings; (c) a memorandum setting forth the reasons for any recommendations, including any recommendation for severance pay where dismissal for cause is recommended; and (d) any memorandum submitted by any member of the panel, at his or her own discretion, with reference to his or her opinion as to the matters in controversy.

2. Each finding, conclusion, and recommendation shall be reported with the numerical vote of the members of the panel but not with the names of the members who voted for or against the same.

3. Complete copies of items (b), (c), and (d) described in section 1 of this Article IV shall be transmitted to the President of the University and to the parties to the hearing. Either party may take an appeal from the findings, conclusions, and recommendations of the hearing panel by filing a written notice of appeal with the President of the University within ten days of the receipt of the aforesaid items. In the event of an appeal, the full report as described in section 1 of this article IV shall be submitted to the Tenure Appeal Committee as described below.

V. The Tenure Appeal Committee of the University

1. The Tenure Appeal Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to hear an appeal from the findings, conclusions, and recommendations of a hearing panel of the Faculty Tenure Committee in a proceeding for the termination for cause of a tenured faculty member. Its powers are confined to such cases and do not extend to any other matter concerning the award or the termination of tenure.

2. The Tenure Appeal Committee shall consist of three persons, none of whom hold a full time appointment in the same school as the respondent, as follows: the chairperson of the Faculty Council; the chairperson of the Academic Affairs Committee of the Board of Trustees; and a person designated by the President of the University, ordinarily a dean, having the status of a tenured faculty member. In the event that either of the first two persons is unable to serve in a
given case, a substitute person shall be designated, respectively, by the Faculty Council and the Board of Trustees. Any substitute for the chairperson of the Faculty Council shall be a member of the Faculty Council and any substitute for the chairperson of the Academic Affairs Committee of the Board of Trustees shall be a trustee of the University.

VI. Action by the Tenure Appeal Committee

1. Upon the request of either the respondent or the charging party, the Tenure Appeal Committee of the University shall consider the findings, conclusions, and recommendations of the hearing panel of the Faculty Tenure Committee on the record made at the hearing before the panel. If the Tenure Appeal Committee deems the record not complete, it may refer the matter back to the panel for further data, findings, and recommendations.

2. An opportunity for argument before the Tenure Appeal Committee shall be afforded to each of the parties or their representatives before the final vote on the merits of the controversy.

3. Upon appeal a tenured member of the teaching staff shall be removed for cause only by a vote of a majority of the Tenure Appeal Committee to affirm the findings of the hearing panel in support of one or more of the charges. A recommendation for dismissal for cause made by the hearing panel shall be upheld only if the Tenure Appeal Committee determines: (i) that the findings against the respondent on one or more of the charges are supported by substantial evidence in the record as a whole; (ii) that the hearing was conducted fairly and in substantial compliance with the rules set forth above for the conduct of such hearings; and (iii) that the sanction of dismissal is appropriate. If the Tenure Appeal Committee does not determine that the findings in support of one or more of the charges are supported by substantial evidence in the record as a whole, or determines that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules, or that the sanction of dismissal is not appropriate it shall, as the interests of substantial justice shall require: (i) dismiss the charges; (ii) remand the case for a new hearing before the same or a new hearing panel; or (iii) reduce the sanction, provided however that any decision to reduce the sanction must be upon the unanimous vote of the Tenure Appeal Committee.

4. Where the hearing panel has sustained one or more of the charges but has not recommended dismissal for cause and has instead recommended a lesser sanction, the Tenure Appeal Committee shall, upon appeal, similarly review the findings, conclusions, and recommendations of the panel. The Tenure Appeal Committee is empowered to make the final determination with respect to the appropriate sanction to be imposed provided, however, that any decision to increase the sanction recommended by the hearing panel must be upon the unanimous vote of the Tenure Appeal Committee. Where the hearing panel has not sustained any of the charges, the Tenure Appeal Committee shall, upon appeal, again review the findings, conclusions, and recommendations of the panel, and where it determines that the findings are not supported by substantial evidence in the record as a whole or that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules to the detriment of the charging party, it may, in its discretion, remand the case for a new hearing before a new panel of the Faculty Tenure Committee.

5. After the conclusion of its deliberations, the Tenure Appeal Committee shall prepare a report setting forth its findings and conclusions, stating the reasons therefor, including the dissenting views of any member of the Committee.

6. The secretary of the University shall provide a copy of the report of the Tenure Appeal Committee to the parties and to the President of the University.
7. The final disposition of the case shall be made public only after the parties to the hearing have been officially informed of the decision of the Tenure Appeal Committee. Until that time no information concerning the hearings shall be disclosed to the public.

VII. General Provisions

1. The members of the Board of Trustees, the President and Chancellor of the University and other officers of administration, the members of the Tenure Appeal Committee, the members of the Faculty Tenure Committee, the dean and members of the faculty, and all witnesses and other participants in any hearing shall be absolutely privileged as to statements or publications made in connection with the hearings, and shall have complete immunity for any decision, statement of fact, or comment relating thereto.

Title IV: General Disciplinary Regulations Applicable to Both Tenured and Non-Tenured Faculty Members on the Tenure Track

1. [General obligations] Quite apart from any question of tenure or the termination for cause of the service of a faculty member with tenure, all faculty members have an obligation to comply with the rules and regulations of the University and its schools, colleges, and departments. These rules protect the rights and freedoms of all members of the academic community.

2. [Particular obligation] In particular, the faculty member is obligated to live up to the standards of academic freedom as outlined in this statement. Disciplinary action may also follow when the faculty member engages in other conduct unbecoming a member of the faculty, such as violation of the New York University Rules for the Maintenance of Public Order, any action which interferes with the regular operations of the University or the rights of others, any serious violation of the law, or any other conduct prejudicial to the teaching, research, or welfare of the University, and so forth.

Disciplinary Procedures

A. The following procedure is applicable where a question arises concerning an alleged violation by any member of the faculty of a rule or regulation of the University, with the exception of the proceedings brought by the appropriate official to terminate the services of a faculty member with tenure.

B. Initiation of Disciplinary Proceedings

1. [Who may file a complaint] Any officer of the University, any member of the faculty or staff, or any student may file a complaint against a member of the faculty for conduct prohibited by the rules and regulations of the University, or its schools, colleges, and departments.

2. [Summary suspension] Summary suspension pending investigation and hearing is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor or the Provost or the dean of the college, school, or division involved with the assent of the President and Chancellor or Provost, whenever, in the judgment of either, suspension is necessary in the interest of the University community.
3. [Where to file a complaint] The complaint shall be filed with the dean of the faculty member’s school, except that a complaint against a dean shall be filed with the Provost. Complaints must be filed within a reasonable time after an alleged violation.

4. [Informal resolution at school level] When a complaint is filed against a member of the faculty, an effort shall be made to resolve the matter informally under the direction of the dean of the member’s school at the departmental level or with a committee of the faculty of that school. Where the charge is against the dean as a faculty member, the informal effort shall be under the direction of the Provost. Where the matter cannot be resolved in this manner, disciplinary proceedings shall proceed.

5. [Hearing committee for the non-tenured] Where the faculty member does not have continuous or permanent tenure, the matter shall be referred, with all pertinent information, to the Chairperson of the Faculty Council, who shall appoint a special committee of the faculty, either members of the Council or not, to hear the matter. The majority of the committee members shall be from the school in which the faculty member holds primary appointment. The Chairperson of the Faculty Council shall appoint the chairperson of the committee.

6. [Procedures and authority under Item 5] The special hearing committee shall adopt its own rules of procedure and shall have authority to impose any of the penalties, other than dismissal, listed in paragraph B.9 and to recommend dismissal. Decisions shall be by majority vote. A recommendation for dismissal must be approved by the dean (except where he or she is the subject of the charge) and the Provost.

7. [Hearing committee for the tenured] Where the faculty member has continuous or permanent tenure, and the proceeding or charge was not brought by the President, and Chancellor, the Provost, or the dean of the member’s school or college, specifically in order to terminate service (Title III), the matter shall be referred to the chairperson of the Faculty Tenure Committee, who shall appoint a special hearing committee and chairperson from the membership of the Faculty Tenure Committee. One member of the hearing committee shall be from the college or school in which the faculty member holds primary appointment.

8. [Procedures and authority under Item 7] The special hearing committee of the Faculty Tenure Committee shall adopt its own rules of procedure and shall have authority by majority vote to impose any of the penalties, other than dismissal, listed in paragraph B.9. If the possibility of dismissal should be at any time involved, the procedure must follow that in Title III.

9. [List of penalties] Penalties for violations of the rules and regulations of the University, or its schools, colleges, and departments shall include, but are not limited to, the following:

   a) Reprimand
   b) Censure
   c) Removal of privileges
   d) Suspension
   e) Dismissal

10. [Appeal] A faculty member may appeal the decision by the hearing committee to impose a penalty. Appeal shall be to Provost. Grounds for an appeal shall be that the decision was not supported by substantial evidence in the record taken as a whole or that the proceedings were not conducted in substantial compliance with the principles enumerated herein. In cases involving scientific misconduct, substantial deviance from procedures set out for fact-finding within the affected school shall also be grounds for appeal. Any such appeal must be made to
the Provost within fifteen calendar days after receipt of notice of the decision of the hearing committee. The Provost may seek the advice of such individuals or groups as he or she deems appropriate.

In deciding the appeal the Provost may affirm or reverse the decision of the hearing committee, may remand the case for a new or further investigation by the same or a different committee, or may increase or decrease the sanction imposed as the interests of substantial justice appear to him or her to require. Where scientific misconduct is at issue, the Provost may also remand the case to the dean of the appropriate school with a request for a new or further fact-finding by the same or a new committee, appointed in accordance with the provisions of the rules governing such cases.
Additional Faculty Policies Applicable to Tenured/Tenure Track Faculty

Sabbatical Leave

Purpose

A sabbatical leave, as distinguished from a terminal leave, a leave without compensation, or a leave for reasons of health, is defined as a leave for the purpose of encouraging faculty members (including administrative officers who hold faculty rank) to engage in scholarly research or other activities that will increase their scholarly achievement or their capacity for service to the University. A sabbatical leave will not be granted for the purpose of taking regular academic or other employment of pecuniary advantage elsewhere. (A partial exception to this policy, applicable to certain kinds of research grants, is explained below.)

Eligibility

Except as provided by school policies that permit sabbatical leaves for Full-Time Non-Tenure Track/Contract Faculty, eligibility for a sabbatical leave is limited to full-time members of the faculty who have achieved tenure rights and who have completed six years of full-time service as members of the faculty at New York University. In general, at least six years must elapse between consecutive sabbaticals.

It is stipulated that at the conclusion of a sabbatical leave the faculty member will forward to the department chairperson and the dean copies of a report on activities undertaken during the period of the leave.

Term and Compensation of the Sabbatical

In general, a sabbatical leave is granted to the eligible faculty member, starting September 1, for the usual teaching terms (i.e., September to June inclusive) of one academic year, at three quarters of annual base salary. However, as an alternative, a faculty member who has qualified for a full year of sabbatical leave at three-quarters salary may apply for such sabbatical to be divided into two terms falling within a seven-year period, each such term representing a seventh semester at three-quarters of the base salary applicable thereto. As another alternative, a faculty member who is qualified for a full year’s sabbatical leave at three-quarters salary may elect, in lieu thereof, to apply for only one semester of sabbatical leave during the sabbatical year, at the full base salary for that semester. Appropriate variations apply in units, such as the College of Dentistry, the School of Medicine and the Libraries, in which active service is rendered on an 11- or 12-month basis rather than a 9-month basis.

The cost of replacing a faculty member during sabbatical leave will be kept as low as possible by arrangements such as rotating (“bracketing”) courses, employing part-time faculty members, and making internal adjustments in the departments concerned.

Procedure for Granting a Sabbatical Leave

Application for a sabbatical leave should be made in writing by the faculty member and submitted to the department chairperson no later than December 1 preceding the academic year for which the leave is sought. Because of the impact of a leave on departmental planning, early application is recommended.
The department chairperson must forward the application with an accompanying recommendation to the appropriate dean on or before the following December 15. The recommendation shall include a statement of the proposed method of handling the normal duties of the faculty member while on leave.

The dean must forward each application and the accompanying recommendation of the department chairperson, together with the dean’s own recommendation, to the Office of the Provost on or before January 15. The Office of the Provost, after such additional consultation with the dean as may be desirable, will announce the determination.

Sabbatical Leave and Sponsored Research and Related Activities

All sabbatical leave arrangements approved by the University carry the restriction that the faculty member is not permitted to engage in any form of regular academic or other employment to supplement the sabbatical salary. However, a member of the faculty is entitled to supplement the salary provided by the University during the period of leave with funding provided by an external sponsor for research and related activities, in an amount approved by the sponsor, so long as the total compensation is no more than the full base salary and the leave otherwise comports with the terms and conditions of the award. The faculty member must take the initiative to report plans for sabbatical leave to the sponsor and identify the salary supplementation explicitly in the proposal whenever possible, and must make known to the department chairpersons and dean at the time of request for sabbatical leave that such funding is being, or will be, sought from the sponsor.

Benefits During Sabbatical Leave of Absence

During a leave of absence, benefits may be affected. The Benefits Office should be contacted for details regarding how to continue benefit coverages and the length of time for which benefits may be continued.

It is a faculty member’s responsibility to contact the Benefits Office to arrange for continuation of benefits. More information is available in the benefits booklets or at the Benefits Office (see the NYU Public Directory for contact information).

Tenure Clock Stoppage for Personal Reasons (Approved by the University Senate March 1, 2007)

Tenure clock stoppage may be granted automatically for a maximum of two semesters during the probationary period for any one of, or combination of, the following personal reasons:

1. Tenure clock stoppage may be authorized during a period of full service to faculty members who are primary caregivers of a child; and to primary caregivers of a parent, a spouse, or a domestic partner in a health crisis of extended duration. A domestic partner qualifies if he or she is registered with the University for benefits purposes. “Primary care” means day-to-day responsibility for the care of a child, parent, spouse, or registered domestic partner for a substantial portion of the period.

2. Tenure clock stoppage may be authorized to a faculty member who is granted one or more full semesters of leave for any one of, or combination of, illness/disability leave, maternity leave, or personal leave.

Tenure clock stoppage for up to two semesters will be granted automatically in the case of a parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, upon notification to the Chair of the Department or, in the case of Schools without departmental organization, the Dean.
In other cases, a request for tenure clock stoppage normally will require advance approval by the Dean and the Office of the Provost. Requests should be made as early as possible, and when feasible, approvals should be in place no later than the onset of the semester preceding the period of tenure clock stoppage.

Note: The granting of tenure clock stoppage does not influence granting of tenure in the future.

Faculty Grievance Procedures

(Adopted by the University Senate May 10, 1973, approved by the Board of Trustees May 21, 1973)

The purpose of these regulations is to establish University procedures by means of which Tenured/Tenure Track faculty members can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under B, infra.

A. Faculty Grievances, General

Faculty grievances are classified into two main types:

1. Those connected with appointment, reappointment, promotion, or tenure.

2. Those concerned with other matters, such as duties, salaries, perquisites, and working conditions.

Although it may be preferable to treat all grievances as uniformly as possible, whatever the issue, those stemming from appointment decisions must be dealt with in a manner that conforms to the general appointment procedures. The initial protection for the faculty member is in the “Statement in Regard to Academic Freedom and Tenure” and the regulations and procedures on “Appointment and Notification of Appointment”. It is expected that most grievance cases, particularly those concerned with matters such as duties, salaries, perquisites, and working conditions, will be settled within each school or faculty. The schools and faculties have wide latitude in establishing procedures to meet their needs.

3. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

4. Each school or faculty shall establish a faculty committee to hear grievance cases in order to advise the dean. This grievance committee shall be elected by the voting members of the faculty and shall be a standing committee of the school or faculty. A majority of the committee shall be tenured members of the faculty. It shall not include departmental chairpersons or departmental heads or any faculty member whose primary assignment is administrative.

5. If a faculty member’s grievance is not settled informally at a level below the dean, or by the dean himself or herself, 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. After obtaining the recommendation of the grievance committee, the dean shall decide the case and

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6 Explanatory note: In any instance in which the dean has not convened the school’s grievance committee within the mandated 15 working days, the faculty member has the right to bring it to the attention of the Office of the Chancellor.
in writing shall notify the concerned parties and the grievance committee of his or her
decision, together with reasons therefor, and information on the procedure for appeal.

6. If a faculty member has no grievance at a level below the dean but the dean makes a decision
against the faculty member, the latter may request the dean for a hearing before the grievance
committee of the school or faculty. The dean shall convene the grievance committee within
15 working days. After receiving the recommendation of the committee, the dean shall then
make his or her final decision and shall notify as in A-5.

B. Appeal from a Dean’s Decision on Appointment, Reappointment, Promotion, or Tenure

1. Appeals from such decisions can be made only on the following grounds:

   a) That the procedures used to reach the decision were 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.

2. A faculty member intending to make an appeal shall indicate such intention in writing to the
Provost within 15 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.

3. Where such an appeal is made, the dean shall transmit to the Provost a report of the
proceedings in the case at its earlier stages. The Provost shall in each case obtain the advice
of a standing committee of no less than three tenured faculty members selected by the
Tenured/Tenure Track Faculty Senators Council Faculty Council but not necessarily
members of that body. This committee shall be called the Tenured/Tenure Track Faculty
Senators Council Grievance Committee.

4. The Tenured/Tenure Track Faculty Senators Council Faculty Council Grievance Committee
shall hold a hearing and shall complete its deliberations and notify the Provost of its
recommendations, preferably within 30 days of the close of the hearing, but in any case
within 60 days.

5. The Committee shall not judge professional merits, but only ascertain whether procedural
safeguards have been observed. Evidence that a decision appealed from is so arbitrary that it
has no rational foundation may be considered on the issue of “inadequate consideration” (B-
1-a above)

6. The Committee shall at all times follow the requisites of a fair and equitable hearing, but it is
not to be restricted by the technical rules of evidence or the formality of the adversary
proceeding as in a court trial. In each case the Committee shall determine its own procedure,
adapting the requirements of the particular case to the equity of the situation. This shall
include, for example, the question of a record of the hearing, the examination of witnesses,
the schedule and public nature of meetings, etc. The grievant, however, may determine
whether he or she shall have the aid of an advisor or counsel.

\[^2\] See previous footnote.
7. After receiving the advice of the Tenured/Tenure Track Faculty Senators Council Grievance Faculty Council Committee, the President and the Chancellor of the University and Executive Vice President for Academic Affairs shall decide the case and notify the grievant, the dean, and the Chairperson of the Tenured/Tenure Track Faculty Senators Council Grievance Faculty Council Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision.

8. If the dean’s decision is favorable to the faculty member and hence is not appealed and the Office of the Chancellor of the University and Executive Vice President for Academic Affairs reverses that decision without seeking the advice of the Tenured/Tenure Track Faculty Senators Council Faculty Council Grievance Committee as described in B-1 through 7, the faculty member may then invoke the appeal procedure.

C. Appeal from a Dean’s Decision on Matters Such as Duties, Salaries, Perquisites, and Working Conditions (A-2 above)

Where such an appeal is desired by a faculty member and the Chancellor of the University and Executive Vice President for Academic Affairs is so informed within 15 days after the member is notified of the decision, the Central Administration shall make informal procedures available.

Appeal from the dean’s decision can be made only on the same grounds as in B-1 above.

D. Copies of the Grievance Procedures

A copy of the school’s grievance procedure and of this appellate procedure should be given to each full-time faculty member.

Retirement

Retirement of Tenured Faculty and Tenured Librarians [Bylaw 9186]

“The tenure rights of Tenured Faculty officers of instruction and librarians who have attained tenure will cease August 31 of the academic year, September 1 to August 31, in which they give notice of their intention to retire from active service, unless an alternative effective date is agreed upon, and there shall be no presumption of reappointment thereafter.”

Professor Emerita; Professor Emeritus

The titles of Professor Emerita and Professor Emeritus are given only to full professors who have served New York University with academic distinction for a long enough time prior to retirement to have become identified historically in the profession as New York University professors. This title is given only upon formal retirement from active service, or at least from full-time active service. It is not automatic; it must be recommended by a department and approved through the normal procedures applicable to other academic titles. Comparable principles apply to the use of the designation Emerita and Emeritus for administrative personnel.
FACULTY POLICIES APPLICABLE TO FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY

Appointment, Reappointment, Promotion and Performance Assessment

The core principles and procedures for hiring, reappointment, promotion and performance assessment are found in the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty Appointments. In addition, Schools and units have their own internal rules, procedures, and policies, which may supplement the University Guidelines – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

Grievances Related To Reappointment and Promotion

The basic processes related to grievances related to reappointment and promotion are found in the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty Appointments. In addition, Schools and units have their own internal rules, procedures, and policies, which may he University Guidelines – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.
SELECTED UNIVERSITY RESOURCES FOR FACULTY

Libraries

NYU Libraries is an 11-library, 5.9 million volume system whose flagship is the Elmer Holmes Bobst Library on Washington Square. To learn more about the extensive resources and services available to faculty and students throughout NYU's global network, please visit the Libraries.

New York University Press

New York University Press publishes over 110 new books each year with nearly 3,000 titles in print. NYU faculty members are highly encouraged to submit book manuscripts in those disciplines where the Press is actively publishing: anthropology, criminology, cultural and American studies, environmental studies, law, media studies and communication, politics, religion, and sociology. While the Press considers manuscripts from scholars everywhere, it gives particular attention to the work of NYU faculty members.

Office of University Relations and Public Affairs

The Office of University Relations and Public Affairs (URPA) is responsible for ensuring that the University’s message, agenda, and image are effectively and creatively projected to external and internal audiences. URPA provides assistance to NYU academic and operating units in dealing with the media; publications needs, both online and print; interaction with government at all levels; planning major events; and outreach to the community, including student volunteer efforts.

Office for University Development and Alumni Relations

The Office of Development and Alumni Relations (UDAR) is dedicated to soliciting the private funds necessary to support the strategic goals of the University in teaching, learning and research. UDAR raises funds for immediate University use and also for the University's endowment for such critical operations as student aid, faculty support, academic and research program development, and facilities and infrastructure. Alumni may access the Alumni site for alumni news and information about benefits and events.

Office of Faculty Resources

The Office of Faculty Resources (OFR) which is based in the Office of the Provost, helps faculty navigate various programs and all the services that NYU has to offer them. Faculty can find information on programs and departments that assist in the pursuit of teaching, research, funding, or simply living and working in New York City. Visit the Office of Faculty Resources.

Resources and Support Offices for Research

A number of University offices are dedicated to directing and supporting faculty research, including externally sponsored research. These include the Office of Sponsored Programs (OSP), Contract Office, Environmental Health and Safety, Entrepreneurial Institute, Government Affairs & Civic Engagement, Government Affairs and Civic Engagement, Office of Industrial Liaison/Technology Transfer, Office of Postdoctoral Affairs, Office of Veterinary Resources, Sponsored Programs Administration (SPA), University Animal Welfare Committee, and University Committee on Activities Involving Human Subjects. NYU provides a large number of institutional funding opportunities, research residencies through the Provost's Global Research Initiatives program, and international research programs at the portal campuses and research institutes of NYU Shanghai and NYU Abu Dhabi.

The Administration of Sponsored Research and Training
As part of its activities as a major research institution, New York University provides services to the academic community in support of research, training, and related activities carried out with funding from public, private not-for-profit, and voluntary health agencies. The Office of Sponsored Programs (OSP) serves New York University faculty, excluding the School of Medicine, and Sponsored Programs Administration (SPA) serves the School of Medicine faculty.

Office of Sponsored Programs — Washington Square Campus

OSP is staffed by Projects Officers knowledgeable about funding opportunities in a wide range of academic fields and experienced in working with external sponsors. They assist in the following areas:

- Identify appropriate sponsors and interpret guidelines;
- Develop budgets and fulfill application requirements;
- Review for consistency with institutional and sponsor guidelines;
- Act as liaison between investigators and governmental agencies in the negotiation of awards; and
- Provide guidance to investigators in managing projects administration. OSP also functions as the University’s research compliance office by:
  - Identifying new regulatory requirements;
  - Negotiating federal assurances and staffing institutional review committees;
  - Developing institutional policy and procedures for the protection of human subjects, conflict of interest, and misconduct in science; and
  - Supporting the University’s obligations under its Assurance covering the use of animals in research.

OSP manages two institutionally funded research programs:

- New York University Research Challenge Fund, an annual competitive program; and
- University Scientific Instrumentation Costsharing Fund, which offers costsharing for proposals to external research equipment programs requiring it.

To keep the University community informed, OSP maintains a website which contains:

- News and developments of interest to researchers;
- A deadline calendar (also distributed in hard copy);
- Guidelines for NYU’s internal research competitions;
- Principal Investigator’s Guide to Preparing and Submitting Proposals;
- Human Subjects’ Review Information; and
- Links to funding agencies and online application forms.

OSP also publishes an Award Listing to assist potential sponsors in identifying other faculty members working in compatible areas of interest, and detailed announcements of specific program opportunities. The office maintains a library of sponsor guidelines and application materials as well as guides to proposal development. For additional guidance in the process of applying for externally sponsored programs, OSP has available an overview of University policies and procedures regarding the generation and operation of funded programs by members of the University community, as well as specific information on personnel policies applicable to sponsored research and training personnel.

See the NYU Public Directory for contact information.

Sponsored Programs Administration — Medical Center
Sponsored Programs Administration (SPA) provides specialized services for the scientific community at the New York University School of Medicine. SPA provides individual consultation to assist faculty in obtaining funding for research, public service, and training activities at the School of Medicine.

SPA staff members utilize web-based tools to help faculty find funding, and prepare and submit applications. Faculty can work with experienced SPA staff to perform specialized searches for funding using online databases. NYU School of Medicine faculty have access to electronic research administration via the SPA Home Page. The home page features announcements of new funding opportunities from both federal and non-federal agencies, comprehensive deadline calendars, links to federal and non-federal sponsors, online NYU School of Medicine grant forms, and application forms for external sponsors.

Sponsored Programs Administration coordinates four internal research grant programs. The Research Bridging Support Program provides support to faculty who experience a hiatus in extramural support. The Scholars Program identifies prominent award programs, and works closely with selected candidates to submit competitive applications. The R01/R21 Incentive Program considers support for unsuccessful new (rather than competing continuation) applications for these NIH grant mechanisms that have received favorable critiques but were never funded. The program provides funds for the completion of necessary experiments, the collection of essential data, or the maintenance of essential laboratory infrastructure deemed necessary to address application critiques and move unfunded grant applications into the fundable range on subsequent submissions. A fourth initiative supports efforts to develop research teams that will be competitive in applying for large (over $700,000 direct costs per year), multi-investigator research grants such as Program Projects, Center Grants, and SPORES.

Sponsored Programs Administration is responsible for confirming compliance with the requirements of regulatory agencies and sponsors as well as serving as liaison to funding agencies in negotiating awards and contracts. The Senior Associate Dean for Research Administration oversees the review and institutional approval of applications submitted on behalf of the NYU School of Medicine.

See the Sponsored Programs Administration Home Page for contact information.

Faculty Resource Network

NYU’s Faculty Resource Network (FRN), established in 1984, is an award-winning professional development initiative that sponsors programs for faculty members from a consortium of over 50 colleges and universities, which are designed to improve the quality of teaching and learning at its member and affiliate institutions.

The Faculty Resource Network (FRN) at New York University was established in 1984 to address the challenge faced by small liberal arts institutions in providing their faculty members with professional development opportunities in the face of limited human and financial resources. Today, the Network is an award-winning, nationally recognized faculty development initiative involving over 16,000 faculty members who teach more than 200,000 undergraduate students at a broad cross-section of colleges and universities across the country. Member institutions include NYU and 41 liberal arts colleges and universities spanning 15 states, from New York to Louisiana to Hawaii, as well as the Commonwealth of Puerto Rico. Among these members are 15 historically black colleges and universities and 3 Hispanic-serving institutions, including the University of Puerto Rico system. The FRN also is linked closely with the Leadership Alliance consortium, based at Brown University.

All of the Network’s programs are value-added: built into each program are sessions on curriculum and course development, as well as dissemination activities. Thus, faculty participants not only work on their own projects and acquire new knowledge and skills while participating in Network residencies, seminars,
workshop programs, and symposia, but also are expected to develop new, practical and effective curricula and course modules for implementation at their home institutions, and to disseminate information about new research and pedagogical techniques and tools among their colleagues and students.

New York University faculty members may participate in Network programs in a variety of ways. For further information, check the website or contact the Faculty Resource Network offices at (212) 998-2090 or by email at frn@nyu.edu.

The Center for the Advancement of Teaching Excellence

Established in 2001, and renamed in 2013, the Center for the Advancement of Teaching supports and nurtures effective teaching and learning at New York University, providing practical resources to members of the NYU community to enhance their effectiveness in the classroom.

The Center for Teaching Excellence

The Center for Teaching Excellence began in 1992 as a presidential commission dedicated to Enhancing the Quality of Undergraduate Academic Life (EQUAL). This commission was created by the Office of the President in response to University Senate recommendations endorsing a University-wide effort to improve faculty-student relations and promote teaching effectiveness. For further information, faculty members may contact the Center at 998-2200 or through its website.

Visiting Scholars Program

The program for visiting scholars, visiting research professors, and visiting exchange professors extends specified courtesy titles and privileges to scholars of distinction who visit New York University in order to engage in research and scholarship, and in general scholarly and cultural interaction with New York University’s faculty and students. The courtesy titles may not be granted for the purpose of providing free courses or other privileges to graduate or post-graduate students, or for the sole purpose of providing library privileges.

Visiting scholars, visiting research professors, and visiting exchange professors are considered guests of the University who may visit for a temporary period of up to one year (renewable). As non-employees, they have no teaching or other responsibilities and are not entitled to salary or housing. Visiting scholars, visiting research professors, and visiting exchange professors covered by this program may not in any way perform in the role of an employee at New York University. For further information, faculty members may contact their Dean’s Office and can view the Visiting Scholar application form (see the NYU Public Directory for contact information).
The Students

THE ADMINISTRATION OF STUDENT AFFAIRS

Each school makes provisions for the organization, conduct, and supervision of intraschool student affairs including its own student government and student service groups. The Student Senators Council, acting with the University Committee on Student Life, has special responsibilities for studying and making recommendations in areas of student concern.

The University also offers a wide range of extracurricular activities, programs, and support services for students under the jurisdiction of the Senior Vice President for Student Affairs. When relevant issues or problems arise in working with students, faculty members may find useful resources and expertise in the following areas listed below:

To help a student in trouble, faculty can contact Helping Someone in Trouble at https://www.nyu.edu/life/safety-health-wellness/wellness-exchange/helping-someone-in-trouble.html

The New York Division of Student Affairs encompasses the following offices and services:

- Athletics, Intramurals and Recreation at http://www.gonyuathletics.com/
- Student Resource Center at https://www.nyu.edu/life/resources-and-services/student-resourcecenter.html
- Wasserman Center for Career Development at https://www.nyu.edu/life/resources-and-services/career-development.html
Student Health, including
Student Health Center at https://www.nyu.edu/life/safety-health-wellness/student-health-center.html

Henry and Lucy Moses Center for Students with Disabilities at https://www.nyu.edu/life/safety-health-wellness/students-with-disabilities.html

Health Promotion at https://www.nyu.edu/life/safety-health-wellness/student-health-center/services/health-promotion.html

Live Well NYU at https://www.nyu.edu/life/safety-health-wellness/live-well-nyu.html

Counseling and Wellness Services at https://www.nyu.edu/life/safety-health-wellness/student-health-center/services/mental-health.html


Student Services at NYU Abu Dhabi and NYU Shanghai


Information is available for NYU Shanghai at http://shanghai.nyu.edu/campus-life/ss.

Office of Housing and Residence Life
University Counseling Service
University Health Center
Office of Student Life
Henry and Lucy Moses Center for Students with Disabilities
Office of African-American, Latino, and Asian-American Student Services
Office of Career Services
Office of International Students and Scholars
Office of Student Activities
Office of Drug and Alcohol Education
Office of Lesbian, Gay, Bisexual, and Transgender Student Services
Student Employment and Internship Center

The Office of Student Life also coordinates All-University Orientation, the Human Relations Committee, the Parents Helpline, and Parents Day activities, as well as a strong peer education program and leadership training activities. This office produces the Student’s Guide to NYU and the Faculty Guide to Student Services at NYU.

For further information, contact the appropriate school-specific office or the Office of the Vice President for Student Affairs (see the NYU Public Directory for contact information). For the School of Medicine, contact the Office of the Dean (see the NYU Medical Center Telephone Directory).

Academic Discipline
University Bylaw 77-80 provides that “the power of suspending or dismissing a student in any college or school is lodged with the voting faculty of that school, but the President and Chancellor or the dean of a college or school, or their respective representatives, may suspend a student pending the consideration of his or her case by his or her faculty. The Senate shall have power to act in situations involving more than one college or school.” In general, each school handles breaches of academic discipline, such as plagiarism or cheating on examinations. Matters involving breaches of the peace or disruptive disturbances may come within the jurisdiction of the Faculty or the Senate, depending on the nature of the circumstances. The Senate has approved a “Statement of Policy on Student Conduct at New York University” and the “Student Disciplinary Procedures”, as well as a general set of “New York University Rules for the Maintenance of Public Order”. For further information, contact the Dean’s Office in the appropriate school or the Office of the Vice President for Student Affairs.

**Student Press**

The general undergraduate newspaper is the Washington Square News, published daily and available free of charge throughout the Washington Square campus. Online at [http://www.nyunews.com](http://www.nyunews.com) and through a smartphone app.

**Privacy of a Student’s Educational Records**

Among its several purposes, the federal Family Educational Rights and Privacy Act of 1974 (FERPA) was enacted to protect the privacy of a student’s education records, by limiting access to student records and the disclosure of information contained in them, to establish the rights of students to inspect and review their education records, and to provide students with an opportunity to have inaccurate or misleading information on their education records corrected. See “Guidelines for Compliance with the Family Educational Rights and Privacy Act of 1974”.

Draft
Selected University Policies

SELECTED POLICIES CONCERNING THE PROTECTION OF RIGHTS AND OTHER MATTERS

NYU Code of Ethical Conduct
NYU Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees
Affirmative Action Policy/Equal Opportunity Policy
Preventing Threatening or Violent Behavior in the Workplace
Legal Protection for Faculty Members
Procedures for Termination or Reorganization of Academic Programs
Policy on the Employment of Members of the Same Family
University Practice with Respect to Memberships and Subscriptions
Guidelines for Compliance with the Family Educational Rights and Privacy Act (FERPA)
Guidelines for Sponsored Research
Principles and Procedures for Dealing with Allegations of Research Misconduct
Policy on Academic Conflict of Interest and Conflict of Commitment
Statement of Policy on Intellectual Property
Educational and Research Uses of Copyrighted Materials Policy Statement
Statement of Policy on Honorary Degrees
University Calendar Policy on Religious Holidays

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In accordance with the Foreword, Procedures for Amending the Faculty Handbook, this edition of the Faculty Handbook was reviewed by the Tenured/Tenure Track Faculty Senators Council and the Full-Time Non-Tenure Track/Contract Faculty Senators Council, each of which provided input.
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Introduction

LETTER FROM THE PRESIDENT

I have the great privilege of greeting you as president and professor of New York University. In both capacities, I salute you for intellectual endeavor of the highest order—in the classroom, laboratory and beyond—mentoring and advising graduate and undergraduate students. In all this and more, you internalize our collective interest as part of your own interests and thereby embrace the notion of a common enterprise university. For the inescapable challenge of stating, debating, and renewing the purpose of such a university demands that all faculty act as true partners, each contributing to the university's self definition as it emerges over time.

At the core of every great institution of learning is its faculty. And you join us at an exciting time in the University’s long and distinguished history. We are at a threshold moment, for we have chosen to transform our institution from one of the leading research universities in the world into an institution that will establish a new level of educational excellence. You are at the core of that effort, and we will not compromise in our ability to secure the best possible talent to join you as we build an institution of unique stature.

President John Sexton
ETHICAL COMMITMENT

New York University has a strong institutional commitment to lawful and ethical behavior, and a fine reputation, which its faculty members have earned over the years. This is one of the University’s most valuable assets. In an increasingly complex world, the University can maintain its leadership in education and research only if it continues to merit the trust of its entire constituency.

All New York University faculty and employees are expected to carry out their institutional responsibilities in accordance with applicable legal and ethical principles. If any questions arise about how the University’s principles, standards, or policies apply, they should be brought to the attention of the appropriate dean or University administrator.

Please refer also to the “NYU Code of Ethical Conduct”.
**FOREWORD**

(Approved by the University Board of Trustees on March 14, 2014 and February 19, 2015)

*Purpose of Handbook*

The Faculty Handbook is a guide to the Faculty and is designed to present general information about New York University, and some of the more important University policies and practices as they apply to the Faculty of the University. It also is meant to inform and serve other members of the University Community. The Handbook is maintained by the Office of the Provost. It has been compiled from a number of sources. Significant portions of the Handbook have been adopted by, or reflect actions of, the University’s Board of Trustees, including, among others: the excerpted portions of the University’s Charter and Bylaws; matters involving the Faculty organization, academic freedom, tenure, appointment of Faculty, and grievance procedures; the establishment of University Councils and Committees; and key policies, including the NYU Code of Ethical Conduct, Policy on Academic Conflict of Interest and Conflict of Commitment, and Statement of Policy on Intellectual Property. Portions of the Handbook provide an overview of the University and its administrative offices, libraries, and student affairs. The Handbook also provides hyperlinks to Selected University Policies, which represent a broad array of policies, including policies that principally affect Faculty and policies that may be of interest to Faculty but that apply broadly throughout the University Community.

The policies outlined in the Faculty Handbook as in effect from time to time form part of the essential employment understandings between a member of the Faculty and the University. Policies beyond those referenced in the Handbook are available [here](#). In addition, Schools and units have their own internal rules, procedures, and policies, such as School statements on Faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement—but do not supersede or replace—policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

*Amending the Faculty Handbook*

Whenever the University Senate, a University Council, a Dean, or Faculty of a School (which includes a College or equivalent institute for purposes of this Handbook) seeks to propose changes to the Faculty Handbook, the body or person should first contact the Office of the Provost. The Provost (or his or her designee) will ascertain, based on the nature of the proposed change, whether the matter may be handled solely within the Office of the Provost, or whether the matter falls within the purview of the Office of the President of the University (which includes for this purpose all departments reporting directly or indirectly to the President other than those that report up through the Office of the Provost) and/or the Board of Trustees. In the event that the matter is within the purview of the Office of the President, the Provost (or his or her designee) will submit a recommendation to the President (or his or her designee) with respect to the proposed change. If the matter is within the purview of the Board of Trustees, the Provost (or his or her designee) will submit a recommendation to the President as to whether the President should present the matter to the Board for its consideration. Nothing in this Handbook constrains the Board of Trustees from making changes to this Handbook with respect to any matter, and in the manner, it finds appropriate in carrying out its duties; and administration will notify the executive leadership of the Tenured/Tenure Track Faculty Senators Council and the Full-Time Non-Tenure Track/Contract Faculty Senators Council if the Board of Trustees makes any change to the Faculty Handbook.
To clarify the history of the Faculty Handbook or a policy included in the Faculty Handbook, the Provost’s Office will maintain an on-line resource available to the Senate, the University Councils, the Deans, and Faculty of the Schools with the following information: state whether the provision or policy ultimately was promulgated by the Board of Trustees, the Office of the President, or the Office of the Provost; specify when a Senate or a Council comprising the Senate had the opportunity to review and comment on the provision or policy; and set forth the effective date of the provision or policy.

The administration of the University consults with the two Faculty Senators Councils with respect to additions and changes that it seeks to make to the Faculty Handbook, including changes to policies provided only by hyperlinks, before inclusion in the Faculty Handbook other than in exceptional circumstances. Consistent with the Principles of Joint Shared Governance, this includes the administration providing a reasonable length of time for consultation and input by the Faculty Senators Councils; and, where the administration does not agree with written advice it receives from either or both Faculty Senators Councils, the administration providing in writing, and in a timely manner, its reasoned justification for not accepting the advice. If an addition or change to the Faculty Handbook is made before either or both Faculty Senators Councils review the addition or change, the addition or change is considered effective; however, the administration will provide an explanation to either or both of the executive leadership of the Faculty Senators Councils, and the table of contents and text will indicate that the matter is still being reviewed by either or both Faculty Senators Councils.

**Important Additional Information**

The separate schools and colleges will supplement this text with information on local procedures and day-to-day operations, consistent with University Bylaws, this Handbook, and University Policies. Some schools have written statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, supplementing policies outlined in this Faculty Handbook. It is important to become familiar with these policies and procedures. Department chairs or deans should be contacted for more information.

Contact information is available on-line through the [NYU Public Directory](http://publicdirectory.nyu.edu) and the directories of the individual schools, which provide contact information for particular offices and services, as well as for individual faculty members. It should be noted that many administrative departments have policies, consistent with the rules of the Handbook, which affect the operations of those departments, as well as the privileges and responsibilities of faculty members. These are available through the individual schools and departments and may be posted on their websites. Faculty should become familiar with this array of policies as necessary and appropriate.

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1 The Faculty Handbook includes a substantial amount of descriptive material (e.g., the history of the University, excerpted portions of the University Charter and Bylaws, information about the University’s officers, information about the University Senate and its Councils and Committees, information about the Libraries and the University Press, information about administrative departments of the University such as University Relations and Public Affairs, the Office for University Development and Alumni Relations, and the Office of General Counsel, information about benefits, selected University resources available to faculty, and information about student affairs). It also includes hyperlinked policies. There will be changes from time to time to these materials that have little or no effect on faculty with respect to educational and administrative policy and often are quite minor. In such cases, changes may be made to these materials without prior consultation with the Faculty Senators Councils. The administration will promptly notify the executive leadership of either or both Faculty Senators Councils of any such changes; and if, after receiving such notification, either or both Faculty Senators Councils believe that they should have an opportunity to review and comment on the changes, they should so notify the Office of the Provost and also may ask that the table of contents and text indicate that the matter is still being reviewed by the Faculty Senators Council(s). The addition or change is considered effective unless subsequently changed.
It is expected that this Handbook will be brought up to date periodically and that a version will be created for and kept up to date on the NYU web site. A faculty member may verify information cited in this Handbook with the Dean’s Office.
APPLICATION OUTSIDE OF THE UNITED STATES

The University Policy on Policies provides: “University policies articulate the values and principles the University upholds and the obligations imposed on members of the University Community. Thus, University policies apply in connection with the operations and activities of the University regardless of location. As a Global Network University that operates in an expanding international environment, the University will encounter varying laws and business practices as it conducts its affairs outside the United States. To the extent that a University policy or a provision of a policy conflicts with the laws in another country, the University seeks to comply with the laws of the jurisdiction in connection with its operations and activities in that jurisdiction. However, differences between University policy and foreign laws may not be self-evident and can be complex. Therefore, whenever there is a question regarding the University’s legal responsibilities at locations outside the United States, the University’s Office of General Counsel must be consulted to evaluate the University policy in the context of foreign laws and to advise on the appropriate course of action. Affiliates are encouraged to use the standard policy format to help ensure uniformity of form and appearance for policies and procedures throughout the University. Their policies or procedures may not be contrary to University policies in language, purpose, intent or application. Any such policy that is contrary to University policies is void and will not be enforced unless approved in advance by the University President or his/her designee.”
The University

HISTORY AND TRADITIONS OF NEW YORK UNIVERSITY

A Brief History of New York University

Founded in 1831 by a farsighted group of prominent New Yorkers, the “University of the City of New-York” (as NYU was originally known) was envisioned from the start as something new: an academic institution metropolitan in character, democratic in spirit, and responsive to the demands of a bustling commercial culture.

The group of founders—which included former Secretary of the Treasury Albert Gallatin—envisioned a non-denominational institution that would be “a social investment and a direct response to the needs of the rising mercantile classes in New York,” intended both for those students “who devote themselves to scientific or literary pursuits,” and for those preparing for “the learned professions, commerce, or the mechanical and useful arts.”

In October 1832, the first classes began in rented quarters located downtown near City Hall, in contemporary subjects such as architecture, civil engineering, astronomy, chemistry, sculpture, painting, English and modern languages, as well as classical Greek and Latin.

After a search for a permanent home, the University Council purchased the northeast block of Washington Square East for $40,000, and a handsome Gothic building was built there in 1835. The University Building, as it was known, offered an urbane mix of academic spaces on its lower floors and rental apartments above—rooms and studios whose extraordinary roster of tenants included the artist Winslow Homer, the inventors Samuel F.B. Morse and Samuel Colt (who perfected the electric telegraph and revolver there, respectively), and the architects A.J. Davis and Richard Morris Hunt.

Throughout the 19th century, the University suffered from financial problems and an undergraduate enrollment that never exceeded 150 students. However, though the undergraduate program struggled to fulfill the vision of its founders, NYU’s professional and graduate programs—in law (1835), medicine (1841), dentistry (1865), arts and sciences (1886), and education (1890)—were a success from the start, contributing to New York’s stunning commercial rise and serving as an engine of upward mobility for thousands of native-born and immigrant New Yorkers.

In the late 19th century, under the leadership of Chancellor Henry Mitchell MacCracken, the university advanced significantly, drawing together its far-flung schools under central control and attracting a more business-like Board of Trustees and donors. In what he called a “second founding,” MacCracken moved the undergraduate schools of arts and science and engineering to an entirely new campus in the Bronx, on a bluff overlooking Manhattan—a stunning second home for what was now known by a new name: New York University.

Having moved nearly all of its undergraduates to the new Bronx campus, NYU turned Washington Square into a bustling center for graduate and professional training—including one of the country’s first university-affiliated business schools (1900) —to serve what had become the undisputed commercial capital of America and the second-largest city in the world.

Then, in 1914, NYU made the decision to establish an additional undergraduate program downtown that would serve commuter students. Called Washington Square College, it offered an education to nearly all qualified students, regardless of background. With students who were “famished…for knowledge, any
kind of knowledge,” and a young and creative faculty, Washington Square College was, in one professor’s later words, “the most exciting venture in American education that I had ever heard of.”

As enrollments exploded—from 500 students in 1919 to more than 7,000 by 1929—NYU scrambled to hire instructors. Among them was a young writer named Thomas Wolfe, who, while working on his first novel, *Look Homeward, Angel*, taught English from 1924 to 1930. There is “no other way in which a man coming to this terrific city,” he wrote, “could have had a more…stimulating introduction to its swarming life, than through the corridors and classrooms of Washington Square.”

A number of new graduate schools complemented NYU’s undergraduate growth: the College of Nursing (1932), the Institute of Fine Arts (1933), the Courant Institute of Mathematical Sciences (1934), and new colleges in continuing education (1934; now the School of Professional Studies) and public service (1938), the latter founded with the encouragement of Mayor La Guardia, himself an NYU alumnus.

NYU had taken on a role like no other private university in American history: a vast educational machine, by which tens of thousands of upwardly mobile New Yorkers—most of them Jewish and Catholic students, from working and middle-class families—could receive college-level training and move into the professions or business. With the largest private enrollment in the country—an astonishing 47,000 students by 1939—NYU had in many ways become the great urban university its founders dreamed of.

The postwar decades were a period of continued growth for NYU, as returning GIs swelled the student body even further; schools of social work (1960), the arts (1965), and individualized study (1972) were added; and plans were made under the leadership of President James Hester to construct the university’s first central library.

By 1973, however, as New York City reeled from years of rising crime and financial troubles and enrollments declined, NYU—which had been running annual deficits since 1964—reluctantly sold its Bronx campus in order to regain solvency.

These difficulties had one very positive result: they provided the opportunity to make a sweeping assessment of NYU’s future. The university had been founded on the two ideals of democratic promise and academic excellence. Since the 1920s, NYU had been fulfilling its democratic promise as no other private university in America; now, emerging from the crises of the ‘70s, it daringly sought to fulfill its founders’ other dream—to transform itself from a respected metropolitan institution to a global seat of learning, in the top tier of world universities.

Throughout the 1970s, NYU gradually regained firm financial footing and began to improve the quality of its faculty, strengthen the curriculum, and establish more stringent admissions requirements. By the early 1980s, with the university’s financial health restored and New York itself emerging at last from decades of social and economic troubles, NYU was poised for a new era of growth.

In 1984, seeking to achieve what its recently appointed president, John Brademas, called “a new position of eminence in American higher education,” NYU undertook one of the first billion-dollar capital campaigns in academic history. Raising two million dollars a week for five hundred weeks, the university reached its goal in only ten years—five years ahead of schedule. President Brademas’s tenure also saw the transformation of Washington Square from a largely commuter campus into a residential one, with extensive construction and renovation of residence halls.

In 1991, NYU’s chancellor, L. Jay Oliva, was tapped as the university’s new president. Under President Oliva—a historian who had spent his entire academic career at NYU—the pace of advancement continued without stop. One of his primary goals was to ensure that the fast-rising stature of the
professional schools and arts divisions were matched by an equivalent commitment to the humanities and social science departments—many of which are now ranked among the best in the world.

President Oliva also oversaw a major growth in international studies, drawing record numbers of international students and scholars to NYU and establishing more study-away sites abroad. In 1994, NYU’s global presence gained a powerful centerpiece when Sir Harold Acton bequeathed Villa La Pietra, a 57-acre estate in Florence—at the time the largest single gift made to an American university.

By the end of the millennium, the university had accomplished the near-impossible, dramatically raising the academic rankings, professional stature, and student selectivity of nearly every one of its divisions and departments. As one scholar wrote in 2003, NYU was “the success story in contemporary American higher education.”

Under John Sexton, who became president in 2002 after coming to NYU as a faculty member and then serving as dean of the Law School, NYU’s reach and stature have grown still further, securing its position as one of the world’s premier research universities and a global leader in higher education in the 21st century.

Early in President Sexton’s tenure, the university identified a key strategic priority: the need to expand, strengthen, and energize the arts and sciences, the academic core of the university. From 2004 to 2009, the Partners program—led by a gift of $60 million from six trustees and matched by another $150 million in university funds—resulted in the most rapid expansion of NYU’s faculty in its history. With 125 positions added to the arts and science faculty—an increase of some 20 percent—and significant renovations made to academic facilities, the Partners program had a transformative effect on scores of academic departments.

Another recent academic milestone has been the re-establishment of engineering at NYU for the first time since the sale of the Bronx campus in the 1970s. After beginning a successful affiliation with Brooklyn’s Polytechnic University in 2008, a full merger between the two schools resulted in the creation of the NYU Polytechnic School of Engineering in 2014.

The past decade has seen the founding of several prominent institutes and centers as well, including the Institute for the Study of the Ancient World (2006), the Center for Urban Science and Progress (2012), and the Global Institute of Public Health (2012).

A signature of President Sexton’s tenure has been the creation of a new model of university: the global network university. Building on the international presence it established in the 20th century, NYU in the 21st century added more global academic centers, with a particular focus on expanding outside of Europe to locations such as Accra and Buenos Aires. Then, in 2010, in what President Sexton termed “an audacious step in higher education,” the university opened NYU Abu Dhabi, the first comprehensive liberal arts campus in the Middle East to be operated by an American research university. A second campus, NYU Shanghai, followed in 2013. Today, with its three campuses in New York, Abu Dhabi, and Shanghai and 11 academic centers on six continents, no university has a greater global presence.

In 1831, NYU’s founders chose to create an institution of learning that would be “in and of the city.” In the ensuing years, New York City has become the world’s first truly international city, and NYU has evolved with it. NYU’s more than 44,000 students and 4,500 faculty members are uniquely positioned to shape the 21st century as creative, thoughtful, engaged citizens. They learn and teach at what has become one of the world’s premier institutions of higher learning. They draw from and contribute to the inexhaustibly rich complexity of New York City. And, as they circulate throughout the global network, they build cultural bridges and perspectives that are critical in an ever-more global society. Still vitally “in and of the city,” NYU is now, too, “in and of the world.”
University Traditions

The official seal of New York University combines a silver ceremonial “torch of learning,” which is carried in formal academic processions, with a group of four running figures symbolizing effort or striving in the pursuit of learning. The seal carries the Latin motto “Perstare et Praestare,” which is generally translated as “to persevere and to excel.” The origin of the University color, violet, is obscure. It may have been chosen because in years gone by violets are said to have grown abundantly in Washington Square and around the buttresses of the original university building. On the other hand, it may have been adopted because the violet was the flower associated with Athens, that center of learning in the ancient world, and was thus regarded as an appropriate symbol of education and knowledge.

For more than a century, NYU athletes have worn violet and white colors in competition, and have carried the resulting nickname – the Violets – with pride. While a student dressed as a violet served as the school mascot for a brief time in the 1980s, it was decided that the flower did not instill great awe or foreboding in NYU’s opponents. A new mascot was conceived from the name of the Bobst Library card catalog, or Bobst Catalog. Today, the Bobcat mascot symbolizes both NYU’s academic and athletic traditions.
ORGANIZATION AND ADMINISTRATION

The University Charter

New York University, as an educational corporation of the State of New York, derives its powers from a charter granted by act of the State Legislature in 1831. The original charter has been amended from time to time.

The line of authority in the administration of the University may be viewed as proceeding from the Board of Trustees to the President and Chancellor of the University. The Provost of the University is the senior assistant to the President and Chancellor in all academic matters.

The academic administration of the University is shared by University officers and administrators, school and departmental officers, the faculties of the several schools, the University Senate, and various University and inter-school councils and commissions.

The Board of Trustees

The University is governed by a Board of Trustees consisting of up to seventy individuals, most of whom are former students of the University. Certain Trustees are specifically designated as Alumni Trustees and others are designated as Young Alumni Trustees. All Trustees serve six-year terms other than Young Alumni Trustees who serve three-year terms. Trustees are eligible for reelection at the end of a term in office except that Alumni Trustees are limited to one term in that category and Young Alumni Trustees are limited to two terms in that category. Terms are staggered so that approximately one-sixth of the Board is elected each year. The Trustees have enacted Bylaws that outline the basic structure of the University and determine the principal officers and agencies that will deal with its affairs.

The Board of Trustees holds an annual meeting each October and meets at least three other times during the year. At the annual meeting in October, the Trustees elect their own officers, who serve until the next annual meeting and are eligible for reelection at the end of a term except that the Chair of the Board serves a four-year term and is eligible to be reelected for only one additional term. Between meetings, the Executive Committee has broad authority to act for the Board. Other standing committees are the Academic Affairs Committee, Alumni Affairs and University Life Committee, Audit and Compliance Committee, Committee on Trustees, Committee on Online Education and Technology, Compensation Committee, Development Committee, Facilities and Real Estate Committee, Finance Committee, Global Initiatives Committee, and Investment Committee.

The conduct of educational matters throughout the University is entrusted, under the leadership of the President and Chancellor and the Provost, to the faculties of the individual schools and to the University Senate.

University Officers

As is necessary in any large institution, the precise structure of the corporation, while controlled by the Bylaws of the University, may change from time to time. The relevant text of the Bylaws is reproduced here.

President and Chancellor [Bylaw 32]

The President and Chancellor is appointed by and serves at the pleasure of the Board; the President and Chancellor serves as an Ex Officio Trustee so long as he or she holds the office on a non-acting basis. The
President and Chancellor will serve as the chief executive officer and chief academic officer of the University; will be delegated authority and responsibility for the administration and management of the University consistent with its mission and the direction of the Board; will have all powers and perform all duties incident to the office and such other powers and duties as the Board may prescribe from time to time; will exercise supervision and direction of all University activities; will be responsible to the Board for the supervision of the University’s educational programs in the University’s schools, colleges, institutes, departments, divisions, and units; will serve as head of each faculty of the University and have the power to call a meeting of any faculty or a joint faculty meeting of two or more faculties, provided that any such meeting has the power to take action only upon such subjects as specified in the call for the meeting; will be concerned with the welfare of students of the University and their moral and intellectual development; will be the Board’s representative and the official medium of communication between each faculty of the University and the Board, between University students and the Board, and between University administration and the Board; will prepare or cause to be prepared an annual proposed capital and operating budget in advance of each fiscal year for the Board’s consideration; will recommend to the Board the appointment of the deans of schools and colleges and directors of institutes, after consulting with the faculty of the applicable college, school, or institute or a representative committee of the faculty thereof, each of whom will serve at the pleasure of the President and Chancellor; will consult or cause his or her representative to consult with the University Senate, which may be through the pertinent Senate committee, before making a recommendation to the Board with respect to changes or innovations that affect the University in matters within the jurisdiction of the Senate; may call upon the University’s senior management and academic leaders for assistance in the performance of his or her duties and may appoint advisory councils of senior management and academic leaders and others as he or she deems appropriate; subject to Board policies regarding conflicts of interest and executive sessions, may attend meetings of any committee of the Board; and will determine the senior management and academic leaders who will serve in the President and Chancellor’s stead during a temporary absence or incapacity, or until the Board replaces the President and Chancellor or determines a temporary succession plan during a permanent or more extensive absence or incapacity.

**Provost [Bylaw 33]**

The Provost is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Provost will be the senior assistant to the President and Chancellor in all academic matters; will be a member of each faculty of the University; will work with the deans of the colleges and schools and the directors of the institutes in strategic academic planning, recruiting faculty, overseeing academic appointments and promotions, conducting program reviews, guiding academic aspects of enrollment planning and ensuring the highest academic standards throughout the University for faculty and students; and will have such other powers and duties as the President and Chancellor may prescribe from time to time.

**The Executive Vice President [Bylaw 34]**

The Executive Vice President, if there is one, is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Executive Vice President will be the senior assistant to the President and Chancellor in all non-academic matters; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.

**Executive Vice President for Health [Bylaw 35]**

The Executive Vice President for Health is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The
Executive Vice President for Health will be the senior assistant to the President and Chancellor in all matters involving the schools of Medicine, Dentistry and Nursing and other health-related areas within the University; will work with the deans and other University officials on long-term academic, financial and operational strategies for health and health-related activities at the University; will be the principal liaison between the University and NYU Hospitals Center and its subsidiaries; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.

Secretary and General Counsel [Bylaw 36]

The Secretary and General Counsel is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. As Secretary, the officer will have custody of the seal, Charter, Bylaws and records of the Board; will act as secretary at all meetings of the Board of Trustees and the members (in the absence or incapacity of the Secretary, the Chair will appoint a Secretary of the meeting); will be responsible for the maintenance of fair and accurate records of the proceedings of the Board, its Executive Committee and other committees of the Board, and the members, and distribute them to Trustees and members, as applicable, in accordance with these Bylaws; will cause notice to be given to Trustees, officers of the Board, Board committee members, and members of meetings and acts of the Board, Board committees, and members affecting them; will be responsible for the issuance of diplomas and certificates; and will have all powers and duties incident to the office of secretary and such other powers and perform such other duties as the President and Chancellor, Chair, or Board may prescribe from time to time. As General Counsel, the officer will represent the University and its affiliates in its legal affairs; except for those matters where the General Counsel’s own performance of duties or status is being considered or evaluated, and subject to the right of the Board, the Audit and Compliance Committee and the Compensation Committee to engage independent counsel, all matters requiring legal advice or legal action will be referred to the General Counsel who will provide legal advice or take legal action directly or through counsel engaged for such purpose by the General Counsel; and will have such other powers and duties as the President and Chancellor, Chair, or Board may prescribe from time to time.

Chief Financial Officer [Bylaw 37]

The Chief Financial Officer is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Chief Financial Officer will be the chief accounting and financial officer of the University; will be responsible for assuring that the University is in compliance with applicable financial and accounting standards and has appropriate internal controls; will be responsible for assuring that payments made by the University are included in the approved budget for the fiscal year, unless approved by the Board, and that restricted funds are expended in accordance with applicable limitations and restrictions; will be responsible for collecting, recording, and safeguarding all funds and securities of the University, which will be deposited with such banks or trust companies as authorized by the Board; will be responsible for keeping proper books of account, preparing quarterly and annual financial reports, and providing financial reports to the members and the Board at least annually and as requested by the President and Chancellor, Chair, members, or Board or its committees; will make available during business hours, on request by a Trustee or member, the University’s books of account and records; will work with the University’s independent certified public accounting firm in its preparation of the annual audit; and will have such other powers and duties as the President and Chancellor, the Executive Vice President, Chair, or Board may prescribe from time to time.

The University Senate

The first Bylaws to contain a description of the University Senate and an outline of its powers and duties appeared in 1899. Since that time the importance and the influence of the Senate have grown steadily.
The Bylaws approved by the Board of Trustees on May 27, 1968, were the first to provide for multiple faculty representation according to the size of each school’s faculty. The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, delineated three categories of faculty—the Tenured/Tenure Track Faculty, the Full-Time Non-Tenure Track/Contract Faculty, and Other Faculty—and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school’s faculty. (Those interested in complete details are referred to the relevant Bylaws of the University—Chapters VII and VIII.) The Senate Rules of Procedure provide detail about membership, meetings, and committees.

In summary, the University Senate is empowered to act upon “educational matters and regulations of the academic community that affect more than one school.” Senate decisions in such matters are binding upon all faculties unless overruled by the Board of Trustees on an appeal lodged by a faculty. University-wide commissions report their findings and recommendations to the Senate. In addition, it is the deliberative body of the University for academic policies, structure, and procedures, including proposals for changes; it is concerned with the academic program and structure, personnel and budgetary policies, development of facilities, and community, professional, and educational relations of the University. It makes recommendations to the President and Chancellor, and, through the President and Chancellor to the Board of Trustees concerning the policies and practices of the University. The Senate may also make recommendations for consideration by each of the faculties concerning their internal educational programs and policies. The Senate is authorized to define the educational terms used in catalogs, bulletins, and other announcements, upon which it may also make advisory recommendations; it is responsible for fixing the academic calendar and determining the length of terms and vacations, for arranging the Commencement exercises, and for establishing regulations on academic costume.

Bylaw 61 reads as follows: “The Senate will consist of the President and Chancellor, and not more than one hundred and twenty-seven (one hundred and twenty-nine in the academic year ending in 2015 and one hundred and twenty-eight in the academic year ending in 2016) voting members as follows: (a) not more than thirty-six (thirty-eight in the academic year ending in 2015 and thirty-seven in the academic year ending in 2016) members of the Tenured/Tenure Track Faculty Senators Council, including one representative of the Division of the Libraries of the University; (b) not more than twenty-seven members of the Full-Time Non-Tenure Track/Contract Faculty, including one representative of the Division of the Libraries of the University; (c) not more than eighteen academic members of the Deans Council; (d) not more than thirty-five members of the Student Senators Council; (e) not more than six representatives of the Administrative Management Council; and (f) not more than five senior members of the administration of the University, including the President and Chancellor, the Provost, The Executive Vice President, if there is one, the Executive Vice President for Health, the Secretary and General Counsel, or such other senior members of the administrators of the University as may from time to time be designated by the President and Chancellor.”

The faculty members for each of the two faculty senators councils are elected—one or more per school, college and Abu Dhabi and Shanghai portal campuses—from the faculties of the constituent schools of the University listed in Bylaw 73, and from the Abu Dhabi and Shanghai portal campuses, generally according to the number of full-time members in their respective faculties. (For this and other purposes, the faculties of the School of Medicine and of the Post-Graduate Medical School are regarded as one medical faculty, the faculties of the College of Arts and Science and the Graduate School of Arts and Science are regarded as one faculty, and the faculties of the Leonard N. Stern School of Business, Undergraduate College and Graduate Division are regarded as one faculty.) The deans and the vice chancellors of the Abu Dhabi and Shanghai portal campuses hold their seats ex-officio. One student Senator is elected annually from each school, college, and the Abu Dhabi and Shanghai portal campuses, except that for this purpose the School of Medicine and Post-Graduate Medical School are considered one school. In addition, up to fourteen student Senators may be appointed at large by the Executive Committee of the Senate with the advice and consent of the regular student Senators. The Administrative

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Management Council is comprised of six representatives from the professional and administrative staffs of each college, school, and division of the University.

Some understanding of how the Senate functions may be gained by considering its Councils and the structure and interests of its committee system. The faculty Senators from the Tenured/Tenure Track Faculty constitute the Tenured/Tenure Track Faculty Senators Council and the faculty Senators from the Full-Time Non-Tenure Track/Contract Faculty constitute the Full-Time Non-Tenure Track/Contract Faculty Senators Council; school deans and the vice chancellors of the Abu Dhabi and Shanghai campuses belong to the Deans Council; the students are organized as the Student Senators Council; and professional and administrative staff are organized as the Administrative Management Council. All these groups meet regularly, apart from the full Senate, to discuss matters of concern to their respective areas of interest, and their reports and recommendations are regularly brought to the attention of the full body.

The standing committees of the Senate, all of which include members drawn from the Councils comprising the Senate, as well as appropriate administrative members of the Senate are: the Executive Committee; the Academic Affairs Committee; the Financial Affairs Committee; the Organization and Governance Committee; the Public Affairs Committee; and the University Judicial Board. The Executive Committee, composed of the President and Chancellor, the chairpersons of the Councils, and the Secretary of the Senate who is a non-voting member, appoints the members of the Standing Committees of the Senate, elects the officers of the Senate, is authorized to act on urgent matters that may arise at times when the full Senate cannot be convened, and is empowered to refer topics to Senate committees and to appropriate offices of the University.

The Senate meets monthly during the months of October, November, December, February, March, and April in accordance with a schedule adopted by the Senate. At the call of the President and Chancellor or when requested in writing by five members of the Senate, including at least one member from each of the five Councils, the Secretary is required to call a special meeting on 24 hours' notice, specifying the purpose of the meeting.

University Councils and Committees

There are five University Councils that participate in the Senate: The Tenured/Tenure Track Faculty Senators Council, the Full-Time Non-Tenure Track/Contract Faculty Senators Council, the Deans Council, the Student Senators Council, and the Administrative Management Council.

The Tenured/Tenure Track Faculty Senators Council

Each of the faculties comprising the Tenured/Tenure Track faculty, generally according to its size, has one or more representatives on the Tenured/Tenure Track Faculty Senators Council, a University-wide body of elected professors. University Bylaw 65(a) provides: “The Tenured/Tenure Track Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate with respect to the Tenured/Tenure Track Faculty. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board.”

The Full-Time Non-Tenure Track/Contract Faculty Senators Council
Each of the faculties comprising the Full-Time Non-Tenure Track/Contract Faculty, generally according to its size, has one or more representatives on the Full-Time Non-Tenure Track/Contract Faculty Senators Council, a University-wide body of elected faculty. University Bylaw 66(a) provides: “The Full-Time Non-Tenure Track/Contract Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate with respect to the Full-Time Non-Tenure Tenure Track/Contract Faculty. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board.”

**Principles of Joint Shared Governance**

The University Board of Trustees approved the following Principles set forth below with respect to the Tenured/Tenure Track Faculty Senators Council, formerly the Faculty Senators Council (December 12, 2012) and with respect to the Full-Time Non-Tenure Track/Contract Faculty Senators Council (February 19, 2015).

1. Representation

The Tenured/Tenure Track Faculty Senators Council (T-FSC) and the Full-Time Non-Tenure Track/Contract Faculty Senators Council (N/C-FSC) will each have a representative (from each FSC or its designee) on University committees, taskforces, or other University-wide bodies that are convened by the administration to advise on matters that affect faculty in educational and administrative policy.

2. Information

Transparency with respect to information regarding matters that affect faculty in educational and administrative policy is the norm. The use of “deliberative privilege” is the exception to this norm, requested only in circumstances wherein an individual(s) or the University’s interests would be harmed by public disclosure. In such instances, the University administration will provide appropriate reasons for invoking “deliberative privilege”.

3. Consultation

Except under rare, extraordinary circumstances, the University administration will provide a reasonable length of time for T-FSC and N/C-FSC consultation and input on all matters that affect faculty in educational and administrative policy. This means that the administration must plan in advance to allow enough time for at least one regularly-scheduled T-FSC and/or N/C-FSC meeting to occur before the consultation period comes to a close on any particular matter.

For urgent decisions, such as decisions that must be taken during the summer or winter holiday, when the T-FSC and N/C-FSC are not in session, each Council will establish a “provisional review committee” and a set of procedures for timely consultation and input regarding University administration decisions on matters that affect faculty in educational and administrative policy. All decisions reached by each Council’s provisional review committee are subject to full Council review and approval. Each Council will promptly convey its final decision on the matter to the administration, which in turn will reconsider the provisional policy, based on new or additional advice provided by the Council. The administration will then promptly convey its final decision to each Council.

4. Reasoned Justification
When the T-FSC and/or N/C-FSC submits advice in writing to the University administration and the administration does not agree with or accept the Council’s advice, the administration will provide its reasons for not accepting the Council’s advice to the Council(s) in writing and in a timely matter.

5. Communication

Predicated on the understanding the communications will pertain to Senate-related matters relevant to faculty colleagues within the Senators’ schools, and that the communication systems will be used in a reasonable and responsible manner consistent with the norms of civility, the deans will enable Senators to send emails to faculty colleagues within their schools. Such communication will clearly convey whether its content is an official Council communication or if it reflects the personal view(s) of the author(s).

The Deans Council

University Bylaw 67(a) provides that “The Deans Council may consider any matters of educational and administrative policy, and will make appropriate recommendations to the President and Chancellor and other University officers. It will perform such other functions as are assigned to it by the President and Chancellor or by the Board.”

The Student Senators Council

University Bylaw 68(a) provides: “The Student Senators Council may consider any matters in which the interests, rights, or responsibilities of students are involved, and will take special responsibility for bringing to the attention of the Senate all matters concerning the students’ extracurricular life at the University. For this purpose, the Council will invite the presidents of student governments in the several schools, and such faculty members and administrative officers as may be specified in the rules of the Council, to function together as the University Committee on Student Life. The Committee may work through such local units as may be appropriate at the various geographical centers of the University, and will transmit to the Senate, through the Student Senators Council, its policy recommendations concerning student life. The Student Senators Council will designate representatives on the standing committees and, in appropriate instances, on the ad hoc committees of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other functions as are assigned to it by the President and Chancellor, by the Board, or by the Senate.”

The Administrative Management Council

University Bylaw 69(a) provides: “The Administrative Management Council of the Senate will be the liaison in the Senate for the Administrative Management Council of the University, which is composed of elected representatives from the professional and administrative staffs of each school and division of the University. The Administrative Management Council of the University functions as an initiative, deliberative and responsive body concerning policy issues, serves as a vehicle for promoting the continued professional growth and development of its constituents, and has a commitment to community service. The Administrative Management Council of the Senate will designate representatives on the standing committees of the Senate and, where appropriate, on any ad hoc committees of the Senate. The Administrative Management Council of the Senate may bring to the attention of the various committees of the Senate matters of concern to the University’s professional and administrative staffs that it believes should be presented to the entire Senate.”
Graduate Program Committee [Bylaw 70]

University Bylaw 70(a) provides: “There will be a Graduate Program Committee having the power to review and recommend to the Provost the approval of proposals from colleges, schools, and portal campuses with respect to new graduate programs granting master’s and doctoral degrees. The Committee will evaluate all master’s and doctoral program proposals to ensure that the University’s colleges, schools, and portal campuses with graduate components maintain comparable standards of work for the degrees; that there has been consultation with the relevant colleges, schools, and/or portal campuses; and that there is minimal curricular overlap between or among the units. The Committee also may formulate recommendations to the Provost on other matters that relate to graduate education in the University.

University Bylaw 70(b) provides: “The voting members of the Committee will include one elected faculty representative who is a full-time member of the Tenured/Tenure Track or Non-Tenure Track/Contract Faculty, elected by the faculty from each college, school, and portal campus that delivers graduate education; four graduate deans, selected by the Deans Council; the dean of the NYU Libraries (or his/her designee); a member of the Tenured/Tenure Track Faculty Senators Council, selected by the Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Non-Tenure Track/Contract Faculty Senators Council, selected by the Full-Time Non-Tenure Track/Contract Faculty Senators Council; and three graduate student members of the Student Senators Council, selected by the Student Senators Council. The term of service for Committee members is three years, unless filling a vacancy; except that the term of service for representatives from the Student Senators Council is two years, unless filling a vacancy. Terms are staggered, such that approximately one-third of the membership changes every year. The following administrators (or their designees) serve ex officio as non-voting members: the dean of each college, school, and portal campus that delivers graduate education; the most senior representative of the Provost’s Office tasked with academic program review; and the most senior representative of the Provost’s Office tasked with graduate academic affairs. The co-chairs of the Committee will be the most senior representative of the Provost’s Office tasked with graduate academic affairs and the dean of the Graduate School of Arts and Science.”

Undergraduate Program Committee [Bylaw 71]

University Bylaw 71(a) provides: “There will be an Undergraduate Program Committee whose chief responsibility is to advise the Provost on proposals from colleges, schools, and portal campuses for new undergraduate majors and degree programs, as well as for cross-school minors. The Committee will review all such program proposals to ensure that the University’s colleges, schools, and portal campuses with undergraduate components maintain comparable standards of work for the degrees; that units proposing new programs have consulted appropriate colleges, schools, and/or portal campuses; and that there is minimal curricular overlap between or among the units. At the request of the President and Chancellor and/or the Provost, or at its own discretion, the Committee also may formulate recommendations on other matters that relate to undergraduate education in the University.”

University Bylaw 71(b) provides: “The voting members of the Committee will include at least: one elected faculty representative from each college, school, and portal campus involved in undergraduate education, elected by the applicable college, school, or portal campus; two undergraduate deans selected by the Deans Council; a faculty representative from the NYU Libraries, elected by the faculty from the NYU Libraries; a member of the Tenured/Tenure Track Faculty Senators Council, selected by the Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Non-Tenure Track/Contract Faculty Senators Council, selected by the Full-Time Non-Tenure Track/Contract Faculty Senators Council; and three members of the Student Senators Council, selected by the Student Senators Council. The term of service for Committee members is three years, unless filling a vacancy; except that the term of service for representatives from the Student Senators Council typically is one year. Terms are staggered, such that approximately one-third of the membership changes every year. The following
administrators (or their designees) serve on the Committee ex officio as non-voting members: the senior representatives of the Provost’s Office tasked with each of global programs, academic program review, and undergraduate academic affairs. The chair of the Committee will be the most senior representative of the Provost’s Office tasked with undergraduate academic affairs.”

Other University and Interschool Committees and Committees

University Bylaw 72 provides: “The Senate or the President and Chancellor may from time to time appoint other University and interschool committees and commissions, which will have such powers and duties as are delegated to them at the time of their organization until modified or annulled by action of the appointing authority.”

Organization of Colleges, Schools, and Academic Departments

Schools, Faculties, and Divisions of the University [Bylaw 73]

(a) Colleges and Schools. The University comprises the following integral colleges and schools, listed in order of their establishment:

<table>
<thead>
<tr>
<th>Year</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1832</td>
<td>College of Arts and Science</td>
</tr>
<tr>
<td>1835</td>
<td>School of Law</td>
</tr>
<tr>
<td>1841</td>
<td>School of Medicine</td>
</tr>
<tr>
<td>1865</td>
<td>College of Dentistry</td>
</tr>
<tr>
<td>1886</td>
<td>Graduate School of Arts and Science</td>
</tr>
<tr>
<td>1890</td>
<td>The Steinhardt School of Culture, Education, and Human Development</td>
</tr>
<tr>
<td>1900</td>
<td>Leonard N. Stern School of Business, Undergraduate College</td>
</tr>
<tr>
<td>1916</td>
<td>Leonard N. Stern School of Business, Graduate Division</td>
</tr>
<tr>
<td>1934</td>
<td>School of Professional Studies</td>
</tr>
<tr>
<td>1938</td>
<td>Robert F. Wagner Graduate School of Public Service</td>
</tr>
<tr>
<td>1948</td>
<td>Post-Graduate Medical School</td>
</tr>
<tr>
<td>1960</td>
<td>The Silver School of Social Work</td>
</tr>
<tr>
<td>1965</td>
<td>Tisch School of the Arts</td>
</tr>
<tr>
<td>1972</td>
<td>Gallatin School of Individualized Study</td>
</tr>
<tr>
<td>2014</td>
<td>Polytechnic School of Engineering</td>
</tr>
</tbody>
</table>

(b) Separate Faculties. The colleges and schools of the University are governed by their separate faculties, except that the Faculty of Medicine is responsible for the School of Medicine and for the Post-Graduate Medical School, that the Faculty of Arts and Science is responsible for the College of Arts and Science and for the Graduate School of Arts and Science, and that the Faculty of Business Administration is responsible for the Leonard N. Stern School of Business, Undergraduate College and for the Leonard N. Stern School of Business, Graduate Division.

(c) Division of Libraries. The University also comprises the Division of the Libraries, which performs academic functions across school lines and is governed by its faculty and officers in accordance with procedures defined and approved by the President and Chancellor.

Deans

The dean of each school [see Bylaw 74(a) and (b)] is appointed by the Board of Trustees on the recommendation of the President and Chancellor and serves as the administrative head of his or her respective faculty. The dean is “responsible for carrying out the policies of the University” and for
executing “such rules as his or her faculty may from time to time adopt.” The dean presides at faculty meetings, supervises the work of faculty members, and makes recommendations to the President and Chancellor for the appointment, promotion, tenure as appropriate, dismissal, and retirement of officers of instruction and administration in the school. The dean is responsible for the preparation and submission of the budget for the school and for its implementation when approved. Offices such as that of Executive Dean or Dean of the Faculty of Arts and Science have from time to time been created to supervise or coordinate the activities of two or more schools or of their faculty members.

Administration of Academic Departments

The President and Chancellor, subject to the approval of the Board of Trustees, is authorized to divide courses of instruction into departments (see Bylaw 75). The chief executive officer of a department other than a University department will bear the title “chair” and will be responsible to the dean of that school; and the chief executive officer of a University academic department that is an academic department incorporating more than one college or school, will bear the title of “head” and will be responsible through the appropriate deans to the Provost and President and Chancellor (see Bylaw 76).

Responsibilities of the Faculties [Bylaw 79]

(a) Educational Conduct and Functions. The educational conduct of each of the several colleges and schools, within the limits prescribed by these bylaws or by the Board, is committed to the faculty of each of the colleges and schools, and to such officers of the colleges and schools as the Board may appoint. The educational functions of the libraries of the University, as defined and structured by the President and Chancellor, are similarly committed to the faculty and officers of the Division of the Libraries.

(b) Entrance Requirements, Courses of Study and Degrees and Certificates. Subject to the approval of the Board and to general University policy as defined by the President and Chancellor and the Senate, it is the duty of each faculty to determine entrance requirements of the college or school under its care, to determine courses of study to be pursued and the standards of academic achievement to be attained for each degree offered, to prepare a schedule of lectures, to make and enforce rules for the guidance and conduct of the students, and to certify to the President and Chancellor, for recommendation to the Board, qualified candidates for degrees and certificates.

(c) Athletics and Other Extracurricular Activities. Each faculty will make and enforce rules of eligibility for the participation of its own students in athletics and other extracurricular activities. However, the University requirements for student participation in intercollegiate athletics will be determined by the Senate on the recommendation of an appropriate committee of the several faculties and will be uniformly applied in the college and schools concerned therewith.

(d) Libraries. It is the duty of the faculty of the Division of the Libraries to implement the resources and services of its various libraries in accordance with the instructional and research needs of the University and in collaboration with the academic units which the libraries serve and support; to promote and develop the use of the libraries and their resources through interaction with the University community and through research and publication; and to make and enforce policies as desirable to ensure that the libraries’ resources and services advance learning, research, and scholarly inquiry in an environment dedicated to open, equitable, and productive exchange of scholarly information.

(See also “The University Senate” and “Faculty Membership and Meetings”)

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The Faculty

This part of the Faculty Handbook, The Faculty, begins under the heading Faculty Membership, Faculty Meetings, and Faculty Titles. It is followed by: (1) a section on Policies that are applicable to all or most faculty; (2) a section on Policies that are applicable to the Tenured/Tenure Track Faculty; and (3) a section on Policies that are applicable to the Full-Time Non-Tenure Track/Contract Faculty. These sections include policies, procedures and conventions in the form of Bylaws, rules adopted by the Senate, and policy summaries. Individual schools may have additional, but not substitute, bylaws, policies and procedures relevant to faculty positions. Other important policies can be found in Selected University Policies.

FACULTY MEMBERSHIP, FACULTY MEETINGS, AND FACULTY TITLES

The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, delineated three categories of faculty – the Tenured/Tenure Track Faculty, the Full-Time Non-Tenure Track/Contract Faculty, and Other Faculty; and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school’s faculty. The Bylaws of the University are explicit on the matter of who is a faculty member and on how voting rights are allotted; the relevant texts are reproduced here.

Faculty Membership [Bylaw 82]

(a) Categories of Faculty. The faculty in a college or school is comprised of three categories: (i) Tenured/Tenure-Track Faculty; (ii) Full-Time Non-Tenure Track/Contract Faculty; and (iii) Other Faculty, as more fully described in Section 87 of the Bylaws.

(b) Voting Members of Each Category of Faculty. The President and Chancellor, the Provost, and the dean of the faculty will be considered voting members of each category of faculty, as well as of any subset of a category of faculty. In addition, the Executive Vice President for Health will be an ex officio voting member of each category of faculty, as well as of any subset of a category of faculty, of the School of Medicine, the Post-Graduate Medical School, and the College of Dentistry; and a deputy, senior, or vice provost liaison who has pertinent academic responsibilities will be selected by the Provost to serve as an ex officio voting member of each category of faculty, as well as of any subset of a category of faculty, of each of the colleges, schools, and portal campuses other than the School of Medicine, the Post-Graduate Medical School, and the College of Dentistry. Only the Tenured/Tenure Track Faculty may elect members of the Tenured/Tenure Track Faculty Senators Council and only the Full-Time Non-Tenure Track/Contract Faculty may elect members of the Full-Time Non-Tenure Track/Contract Faculty Senators Council. Only tenured faculty may vote on the awarding of tenure; only full Professors with tenure may vote on promotion to full Professor within the Tenured/Tenure Track Faculty and on the awarding of tenure to a faculty member hired as a full Professor. No faculty member may vote on a matter directly or indirectly affecting the individual’s candidacy for a degree or his or her status on the faculty at the University.

(c) College and School Governance - Attendance at Faculty Meetings and Voting. Each of the Tenured/Tenure-Track Faculty and the Full-Time Non-Tenure Track/Contract Faculty of a college or school may hold its own faculty meetings and determine the voting privileges at such meetings of its members, and also may grant rights of attendance and voting privileges to other categories of faculty of the college or school at such meetings as it determines, in all cases subject to the provisions of subsection (b) of Bylaw 82. The dean of a college or school may hold faculty
meetings and invite the Tenured/Tenure-Track Faculty and/or the Full-Time Non-Tenure Track/Contract Faculty, as well as of any subset of a category of faculty, of that college or school, subject to the provisions of subsection (b) of Bylaw 82.

(d) Appointments in More than One College or School. A faculty member serving on a full-time basis in the University will be a full-time member of the faculty of each college and school in which he or she gives instruction regularly, but will have voting rights in the election of members of the Tenured/Tenure Track Faculty Senators Council or the Full-Time Non-Tenure Track/Contract Faculty Senators Council, as applicable, only in the college or school of his or her principal assignment as determined for this purpose by the President and Chancellor.

(e) Roster. The roster of Tenured/Tenure Track Faculty and of Full-Time Non-Tenure Track/Contract Faculty will be prepared and maintained on a current basis by the dean of the faculty, will be submitted to the Secretary and General Counsel for verification and filing in the official records, and will be available for reference at each faculty meeting.

Faculty Meetings [Bylaw 83]

The Tenured/Tenure Track Faculty and the Full-Time Non-Tenure Track/Contract Faculty in each college or school should hold at least four meetings each year, at such times and places and under such rules of procedure, as are consistent with these Bylaws. Such meetings may be joint meetings. Copies of the minutes of such meetings will be sent to the President and Chancellor and the Provost.

Faculty Titles

In 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in a section headed “Statement in Regard to Academic Freedom and Tenure.” The Bylaws in effect at that time gave only brief descriptions of faculty titles; new Bylaws adopted since then give more ample descriptions. The text of Bylaws 85, 86, 87, and 88, approved May 27, 1968, as amended through September 1, 2014, is found below. In the event of conflict between earlier and later statements by the Board of Trustees, the most recent statement governs.

Since 1974, by action of the Board of Trustees, certain professional librarians of New York University also have had full faculty status. Their titles of rank are equated with those of the teaching ranks.

Tenured Faculty [Bylaw 85]

a) Tenured Appointments. The Tenured Faculty consists of the Professors and Associate Professors who have full-time appointments at the University and who have been awarded permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that he or she has received the requisite approvals and has been awarded tenure. Only full-time Professors and Associate Professors may achieve permanent or continuous tenure at the University. Unless otherwise specified, Professors and Associate Professors are appointed for one year only, but they may be appointed for a longer period or without limit of time, subject to such rules respecting tenure as the Board may adopt.

b) Libraries. Curators and Associate Curators in the Division of the Libraries and in the School of Law and certain, but not all, Curators and Associate Curators in the School of Medicine are granted tenure rights under conditions similar to those applicable to tenured Professors.
and Associate Professors. Only full-time Curators and Associate Curators may achieve permanent or continuous tenure at the University.

Tenure Track Faculty [Bylaw 86]

a) **Tenure Track Appointments.** The Tenure Track Faculty consists of Associate Professors and Assistant Professors who have full-time faculty appointments at the University and currently are not tenured but who may be eligible to be considered for permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that his or her appointment is a tenure track appointment. Associate Professors and Assistant Professors are usually appointed for one year only, but full-time service in these ranks may be counted, to the extent permitted under the rules of the Board of Trustees, toward the attainment of tenure.

b) **Maximum Duration.** A full-time Associate Professor or Assistant Professor on the tenure track in any college, school, division, or department except the School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, and the College of Dentistry and its departments and its College of Nursing, who is not awarded tenure at the expiration of seven years will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor on the tenure track in the School of Medicine, or any of its departments, or in the College of Dentistry, or any of its departments or its College of Nursing, who is not awarded tenure at the expiration of ten years will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor in the Leonard N. Stern School of Business, or any of its departments, who is not awarded tenure at the expiration of nine years will be ineligible for further full-time appointment in the University. Service as a Full-Time Non-Tenure Track/Contract Faculty member or as an Other Faculty member may not be counted toward the attainment of tenure by persons who may become tenure track Faculty members.

c) **Notice.** The appropriate dean or departmental Chairperson will as a matter of academic courtesy give notice of these rules to Associate Professors and Assistant Professors on the tenure track in any school, college, division, or department except the School of Medicine, and its departments, the College of Dentistry, and its departments and its College of Nursing, and the Leonard N. Stern School of Business, and its departments, in the sixth year of service, or, in the School of Medicine, or any of its departments, and the College of Dentistry, or any of its departments or its College of Nursing, in the ninth year of service, or, in the Leonard N. Stern School of Business, or any of its departments, in the eighth year of service, but no untenured Associate Professor or Assistant Professor will acquire tenure rights on the ground that he or she did not receive a notice or reminder of this section of these Bylaws.

d) **Libraries.** Associate Curators and Assistant Curators who may be eligible to acquire tenure in the Division of the Libraries and in the School of Law and certain Associate Curators and Assistant Curators in the School of Medicine are appointed on the same terms and conditions as Associate Professors and Assistant Professors on the tenure track at the University, without extension of probationary period as provided for Associate Professors and Assistant Professors in the School of Medicine, and are subject to the same prohibition on further full-time appointment if not promoted at the end of the specified periods.
Full-Time Non-Tenure Track/Contract Faculty [Bylaw 87]

(a) Full-Time Non-Tenure Track/Contract Faculty Appointments. The Full-Time Non-Tenure Track/Contract Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from assistant to associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or a company). A Full-Time Non-Tenure Track/Contract Faculty member does not lose that status during the duration of his or her full-time faculty employment because the person has been advised that his or her contract will not be renewed. Full-Time Non-Tenure Track/Contract Faculty are not eligible for tenure.

(b) Contracts and Titles. Full-Time Non-Tenure Track/Contract Faculty are appointed for a definite period of time and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Unless otherwise specified, Full-Time Non-Tenure Track/Contract Faculty are appointed for one year only, but they may be appointed for a longer period, subject to such rules respecting Full-Time Non-Tenure Track/Contract Faculty as the Board may adopt. Full-Time Non-Tenure Track/Contract Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Other Faculty titles. On rare occasions, the title of professor, associate professor, or assistant professor are utilized for Full-Time Non-Tenure Track/Contract Faculty, most commonly in the case of senior faculty who come to the University after a distinguished career at another institution and at the Abu Dhabi and Shanghai portal campuses. Titles also may include, among others, certain of the nontenure position titles set forth in Section 88 of these Bylaws.

(c) Libraries. Associate Librarians of Practice and Assistant Librarians of Practice and certain Curators, Associate Curators, and Assistant Curators in the School of Medicine who are appointed on the terms and conditions required for Full-Time Non-Tenure Track/Contract Faculty at the University are considered Full-Time Non-Tenure Track/Contract Faculty for purposes of these Bylaws.

Other Faculty [Bylaw 88]

(a) Other Faculty Appointments. Other Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who are not Full-Time Non-Tenure Track/Contract Faculty. They may include: (i) emeritus faculty; (ii) adjunct and other part-time faculty; (iii) faculty whose titles or appointments prohibit indefinite contract renewals; (iv) temporary faculty; (v) visiting faculty; (vi) instructors and (vii) full-time researchers while they maintain a secondary faculty title. Other Faculty are not eligible for tenure.

(b) Contracts and Titles. Other Faculty are appointed for a definite period of time, not exceeding one academic year unless otherwise specified, and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Other Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Full-Time Non-Tenure Track/Contract Faculty titles. Titles may include, among others, certain of the nontenure position titles set forth in Section 88 of these Bylaws.

Non-Tenure Positions [Bylaws 87, 88, 89]

Instruction or research service shall be without tenure implications of any kind, regardless of rank or title, if rendered in a part-time capacity, or in a temporary position, or in a program having a subsidy of limited
duration. Bylaw 87(a) and Bylaw 88(a) provide that Full-time Non-Tenure Track/Contract Faculty and Other Faculty are not eligible for tenure. Bylaws 87(b) and Bylaw 88(b) provide that appointment to a non-tenure position shall be for a definite period of time, not exceeding one academic year unless otherwise specified, and shall automatically terminate at the close of that period unless there is an official notice of renewal. Non-tenure positions, which may be faculty or non-faculty positions, include the following:

- instructor titles (e.g., instructor, clinical instructor, research instructor, assistant professor/instructor);
- research and scientist titles (e.g., research professor, research associate professor, research assistant professor, research scholar, associate research scholar, assistant research scholar, senior research scientist, research scientist, associate research scientist, assistant research scientist, professor (research), associate professor (research), assistant professor (research))\(^2\), except when the title that includes research professor is conferred as a distinction upon a faculty member with tenure or on the tenure track;
- global titles (e.g., global distinguished professor, global professor, global visiting professor, global instructor, global professor, except when a title that includes global professor is conferred as a distinction upon a faculty member with tenure);
- adjunct titles (e.g., adjunct professor, adjunct associate professor, adjunct assistant professor);
- clinical titles (e.g., clinical professor, clinical associate professor, clinical assistant professor, professor (clinical), associate professor (clinical), assistant professor (clinical))\(^2\), master clinician);
- visiting titles (e.g., visiting professor, visiting associate professor, visiting assistant professor);
- arts and music titles (e.g., arts professor, associate arts professor, assistant arts professor, visiting arts professor, visiting associate arts professor, visiting assistant arts professor, music professor, music associate professor, music assistant professor, master artist, artist-in-residence);
- lecturer titles;
- titles related to the teaching of languages (e.g., senior language lecturer and language lecturer);
- teacher titles (e.g., master teacher, teacher, associate teacher, teaching fellow, teaching associate, teaching assistant);
- assistant and associate titles (e.g., library associate, research associate, assistant, clinical assistant, graduate assistant, research assistant);
- in residence titles (e.g., distinguished scientists in residence, writer in residence);
- industry titles (e.g., industry professor, industry associate professor, industry assistant professor, distinguished industry professor);
- scholar titles (e.g., scholar in residence, distinguished scholar, visiting scholar);
- practice titles (e.g., librarian of practice, professor of/from practice, associate professor of/from practice, assistant professor of/from practice); and
- fellow titles (e.g., assistant professor/faculty fellow).

Any position designated by a title not specified in this chapter shall be a non-tenure position unless the Board of Trustees determines otherwise. Additional detail about non-tenure positions can be found at the website of the Office of Academic Appointments.

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\(^2\) In the School of Medicine, research professor, research associate professor, and research assistant professor denote part-time status; professor (research), associate professor (research), and assistant professor (research) denote full-time status.

\(^3\) In the School of Medicine, clinical professor, clinical associate professor, and clinical assistant professor denote part-time status; professor (clinical), associate professor (clinical), and assistant professor (clinical) denote full-time status.
Academic Freedom

This section on academic freedom is taken from Academic Freedom and Tenure, Title I: Statement in Regard to Academic Freedom and Tenure.

Section II. The Case for Academic Freedom

“Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.”

Section IV. Academic Freedom

“Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements should be based upon an understanding with the administration of the University.

Teachers are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.”

Tenured/tenure track faculty members also are entitled to other protections related to tenure and academic freedom, discussed in more detail in “Faculty Policies Applicable to Tenured/Tenure Track Faculty” below.

Responsibilities of the Faculty Member

Members of the faculty are expected to meet their professional and institutional commitments at the University on a regular basis throughout the academic year. These commitments include time spent on teaching, research, student advising, clinical activities and various kinds of University or outside professional service on committees and in administrative or advisory roles.

Members of the faculty are expected to handle their teaching assignments with professional skill. They should familiarize themselves with the overall organization of the University, and especially with the operations of the school or college in which they serve, and with its requirements and regulations, with
which they will scrupulously comply. They should strive to be good citizens of the academic community, cooperative and efficient in meeting deadlines, submitting grades, and returning students’ work with appropriate comments. They should be active participants as committee members, student advisers, or in whatever other capacity they can render the best service in the affairs of the department and the school. Ideally, they should also maintain interest in the current activities and problems of the larger community and in how the community and the University can benefit each other.

Tenure and tenure-track faculty should aim at the steady enlargement of knowledge in their fields—by enlarging their own knowledge through continuing study and by enlarging the knowledge of others through scholarly contributions. Faculty should keep abreast of publications about new developments in their subject area, and attend and actively participate in the meetings of appropriate learned societies. (Financial assistance in attending professional meetings may be available, according to the rules of the several schools and colleges.)

General criteria for promotion and tenure for tenure and tenure-track faculty are cited in Title I, Section V of the Statement in Regard to Academic Freedom and Tenure. Some schools and colleges also have written statements on faculty appointment policies and procedures, particularly those concerned with promotion and tenure.

Section XI of the Tenure Statement cites important information regarding yearly notification of nontenured faculty concerning tenure prospects, including a formalized early review for certain junior faculty during their third year of service and, in the School of Medicine and the Stern School, also in their sixth year of service.

Teaching and Research Assignments for Full-Time Faculty

As regards full-time faculty members, long-standing University policy normally limits regular teaching assignments to the usual fall and spring terms (approximately early September to mid-May) or equivalent. In the School of Medicine and the College of Dentistry, including the College of Nursing, regular teaching and research assignments are September through August.

Full-time faculty may accept teaching, research or other employment during the summer month(s) when they do not have regular teaching assignments, either at NYU or at another academic institution, or from another employer, or in NYU’s January Term Session, provided such additional undertakings do not unduly interfere with the teacher’s efficiency and serviceability to the department. In addition, with permission of the Dean or Chair, full-time faculty may be released from some teaching responsibilities during the academic year in order to conduct research. Assignments at NYU outside of the regular teaching obligations normally are made only as the result of a specific agreement with an individual faculty member.

Full-time teaching loads are determined administratively under guidelines approved by the Office of the Provost for a particular school or department. No additional compensation by reason of teaching overload may be paid to a full-time faculty member during the period of a regular teaching assignment, except in emergency circumstances duly approved in advance by the Office of the Provost. As an exception, teaching in the School of Professional Studies by a faculty member based outside of that school for additional compensation to the extent of one course per semester (in addition to a faculty member’s regular assignment) will be permitted with the approval of the dean of the school in which the teacher’s principal services are rendered, but such arrangements are subject to review and renewed approval from year to year. Exceptions for additional compensation by reason of teaching overload also may be made for teaching in the Gallatin School of Individualized Study by a faculty member based outside of that school and in experimental programs. Exceptions for additional compensation also may be made for teaching at
Meeting Classes

The regulations of the University require all members of the faculty to be present for teaching duty and ancillary activities (e.g., committee work and student advisement) during the academic sessions to which they have been assigned. In addition, unless special arrangements have been made through the department or school, all members of the faculty are duty-bound to meet all their assigned classes at the place and hour scheduled. The length of the various academic sessions and the number of class meetings per session are set conformably to the requirements of the regulatory agencies for the different programs offered by the University, and may not be varied arbitrarily by individual teachers.

In case of illness necessitating absence from class, the teacher should communicate with the proper departmental officer or, if the latter is not available, with the dean. The department head or dean will determine what arrangements, if any, should be made to provide a substitute instructor or to make up the work of the class at a later date.

Calendar

The fiscal years for the University extend from September 1 through August 31. In most divisions (except certain professional schools, where slightly different schedules obtain) the regular teaching year consists of two terms, beginning in early September and mid-January, respectively. The summer sessions conducted by the various divisions occur for the most part during the period from May to August. The University also offers a January Term Session. The calendars published in the University-wide and individual school bulletins will cite specific dates for each academic year conforming to local variations. This information is also available online (http://www.nyu.edu). The annual Commencement exercises are normally held in May.

Bulletins and Published (including on-line) Materials

Each school and college of the University, under the direction of its dean, issues its own bulletin or bulletins or other published (including on-line) materials describing entrance and degree requirements, programs of study, and the like. All official publications of a school’s or college’s requirements and programs must be as accurate and up-to-date as possible.

It is incumbent upon the individual faculty member whose particular courses are described therein to inform the departmental executive officer of all essential changes that may necessitate a revision of the course description in the published materials.

Restriction on Outside Employment

All faculty members compensated on a full-time basis are expected to devote their major energies to teaching, research, service, student counseling, and related activities at the University. This implies a limit on outside activities, particularly those that involve the rendering of service for extra compensation.

No one appointed to a tenure or tenure-track faculty position at NYU may simultaneously hold a tenure or tenure-track position elsewhere. Teaching service by Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty at other institutions during the academic year must be approved in advance by the dean. For Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty, extramural activities that are consistent with the individual’s overriding obligation to the
University, including consulting and other gainful employment, must be consistent with the principles outlined above and may not require on the average more than one day per week in any academic semester or in any summer month in which the faculty member is receiving compensation for full-time employment at the University. For additional information, please refer to the University’s Policy on Academic Conflict of Interest and Conflict of Commitment.

Circumstances thought to merit exceptional treatment should be referred in writing to the appropriate dean and the Office of the Provost.

All full-time faculty and other faculty if requested by a school dean or the Office of the Provost must complete annually and submit to their school dean the faculty disclosure form then in effect, certifying their compliance with applicable University and school conflict of interest and conflict of commitment policies and disclosing the information requested about the faculty member’s (and immediate family member’s) outside activities and other interests related to the policies. Faculty members also may be required to complete disclosure forms at other times, such as when planning to participate in certain research projects. All faculty have an obligation to assure that they do not engage in activities that are prohibited by applicable University and school conflict of interest and conflict of commitment policies and to seek guidance in advance from their department chair, school dean, or the Office of the Provost (the Executive Vice President for Health in the case of the Schools of Medicine, Dentistry and Nursing) if there is any reasonable doubt as to whether an activity may constitute a conflict of interest or a conflict of commitment.

It is the responsibility of departmental chairpersons and heads and of the deans of the various schools to protect the interest of the University in the full-time service of its full-time faculty, professional research and library staffs, and administration.

Limitation on Degree Candidacy

Bylaw 81(c) provides: “No Tenured/Tenure Track Faculty member or Full-Time Non-Tenure Track/Contract Faculty member, other than librarians, will be permitted to enroll as a candidate for a degree or be recommended for a degree in course, unless specifically excepted by the Board. A degree candidate, other than a librarian, who accepts appointment as a Tenured/Tenure Track Faculty member or a Full-Time Non-Tenure Track/Contract Faculty member must thereupon relinquish such candidacy, unless specifically excepted by the Board.”

While the rule does not prohibit a Tenured/Tenure Track Faculty member, Full-Time Non-Tenure Track/Contract Faculty member, or Other Faculty member from taking courses at this institution for credit to be applied elsewhere toward a degree, it does prohibit such an appointee from pursuing a course to be credited toward a degree at New York University. In applying the rule, the prohibition has been extended to administrators of policy-making rank.

New York State Oath Requirement

Section 3002 of the Education Law of the State of New York, as amended, requires in part that any United States citizen employed within the state as a teacher in a tax-supported or tax-exempt institution sign an oath or affirmation to support the Constitutions of the United States and of the State of New York.

This oath or affirmation must be executed by every newly appointed teacher before the first class session and returned for filing with the records of the institution.
The requisite form for complying with the law is available from the Office of Academic Appointments and in the offices of the deans of the schools and colleges (see the NYU Public Directory for contact information). Foreign nationals, of course, are not subject to this requirement.

**Compensation**

The salary of a full-time member of the faculty who teaches in a school’s regular fall and spring terms (i.e., a nine-month appointment), or a full-time faculty member in the School of Medicine, College of Dentistry, and College of Nursing who serves the entire academic year, normally is paid monthly in equal installments over twelve months.

In addition to the academic year salary, faculty members appointed on a nine-month basis may receive up to three additional months of summer compensation from NYU-administered sources (e.g., from federal on non-federal research grants). The maximum monthly salary from such sources is one-ninth of the academic year salary. Payment for teaching in the summer intersession, whether paid as additional compensation to regular full-time officers of instruction or to visiting or part-time personnel, is normally made on one or more of the following dates, depending on the duration of the assignment: July 1, August 1, September 1. In compliance with New York State Labor Law 195, at the time of hire NYU provides all new employees (including faculty) with written confirmation of their salary, as well as pay schedules and pay frequency. The law requires that the employee sign the notice as acknowledgment of receipt.

**Deductions from Salary**

Deductions from the salary check are made for applicable income and other taxes (e.g., retirement taxes) as specified by law; and for applicable annuity, group insurance, disability income protection plan, dental plan, hospitalization and surgical-medical insurance premiums, and other benefits in accordance with individual requirements. Eligibility for benefits varies based on a variety of factors, including whether the faculty member is employed on a full-time versus part-time basis, whether the employee’s benefits are dictated by a collective bargaining agreement, whether the employee is a temporary appointee, the country in which the faculty member is payrolled and/or performing services, and other factors.

**Leave of Absence (Paid and Unpaid)**

Applications for leave of absence of not more than seven days should be made to the applicable dean; applications for leave of absence for more than seven days require the approval of the Office of the Provost.

A leave of absence may not be granted to a faculty member who has accepted a tenured appointment elsewhere. Leaves of absence for faculty performing services and/or payrolled outside of the United States may vary.

**Illness/Disability Leave and Maternity Leave**

The salary of a Tenured/Tenure Track Faculty or a Full-Time Non-Tenure Track/Contract Faculty member may be continued for up to six months at the discretion of the dean, for absence caused by illness or disability, subject to approval by the Office of the Provost.

Legally, an absence caused by inability to work because of pregnancy, childbirth, or related medical conditions must be treated at least as favorably as an absence caused by illness or disability for all employment-related purposes. At the time a faculty member gives birth, she is entitled to an aggregate of six consecutive weeks of paid maternity leave preceding and following the date of birth.
A physician’s statement certifying that the faculty member is unable to work because of illness or disability and the date on which it is anticipated that he or she can return to work may be required. The University, in addition, may require that the faculty member be examined by a physician designated by the University at no cost to the faculty member. In cases of childbirth, no certification will be required unless the request for leave extends beyond six weeks.

A Tenured/Tenure Track Faculty or a Full-Time Non-Tenure Track/Contract Faculty member who is totally disabled for more than six consecutive calendar months may claim benefits under New York University’s long-term disability insurance.

**Personal Leave**

Personal leave without pay may be granted at the discretion of the dean for a variety of reasons, including those cited below. Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty may be granted one or more full semesters of leave without pay for compelling personal reasons, such as care of a seriously ill child, parent, spouse, or registered same-sex domestic partner. Leave by either parent for the purpose of taking care of a child or related activities, as distinguished from inability to work because of pregnancy or childbirth, is treated as personal leave.

Faculty members are entitled to all provisions of the federal Family and Medical Leave Act of 1993 that are not specifically provided for herein. (A copy of “Your Rights under the Family and Medical Leave Act of 1993” is available at the Benefits Office; a set of new rules and updates to the regulations are effective January 2010.)

**Workload Relief Policy (Approved by the University Senate March 1, 2007)**

In order to provide relief to eligible full-time faculty members faced with the additional demands of being the primary care-giver to a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, New York University’s workload relief policy grants one semester of workload relief from classroom teaching and administrative committee work or two semesters of half relief from such duties, based on the individual’s normal yearly workload, at full salary. Workload relief is not considered a leave as faculty members are expected to make themselves available to the extent reasonable and practicable for their customary responsibilities of research, student consultation, and advising.

The faculty member’s school remains financially responsible for the faculty member’s salary during the workload relief period. Financial support for workload relief of classroom teaching, necessitated by having to hire appropriate replacements, is to be borne by a University workload relief fund. Please see the Workload Relief Form for details.

Individuals eligible for workload relief benefits include all Tenured/Tenure Track Faculty and Full-Time Non-Tenure Track/Contract Faculty. To qualify for workload relief, the faculty member must be the parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care. In all circumstances, only one parent may be considered primarily responsible for the care of the child. If both parents could be eligible under this policy because they are both eligible full-time faculty, each such eligible faculty member could qualify sequentially for a half semester if the designation of primary responsible parent changed, but the total amount of workload relief would not increase.
Normally the first semester of workload relief will be the semester in which the temporary disability leave for childbirth is completed, the semester in which the adoption, foster care or guardianship takes place, or, in the case of the birth parent, the semester in which the birth takes place. If these events occur between semesters when classes are not in session, the first semester of the workload relief typically will be the following semester.

In the case of childbirth, at least five months before the start of the first semester of relief, a faculty member wishing to utilize workload relief for parenting under this plan should inform his or her Department Chair by filling out a Workload Relief Form, certifying that she/he is the primary caregiver and stating her/his intentions to take one (1) full semester or two (2) half semesters of relief. The form should be submitted to the person responsible at his/her School for processing the request as listed on the Workload Relief contact sheet. Details of the workload relief arrangement must be decided in consultation with the department chair or, in Schools without departmental organization, with the dean. In the case of adoption, foster care or guardianship, the faculty member should alert the department chair or dean as early as possible. Tenure clock stoppage will be granted for a cumulative maximum of two semesters during the probationary period to a faculty member who is the primary caregiver of a child whether or not the faculty member avails herself or himself of workload relief. The one full semester of relief or two half semesters of relief will count as credit toward a faculty member’s sabbatical leave. (See below, Tenure Clock Stoppage for Personal Reasons.)

This policy is not intended to replace leave available to faculty members who are eligible for leave for the birth a child, an adoption, or foster care placement under the Family and Medical Leave Act of 1993 (“FMLA”). A set of new rules and updates to the regulations are effective January 2010. FMLA will run concurrently with workload relief as either intermittent or reduced workload leave. An FMLA certification must be completed and submitted with the Workload Relief Form to determine FMLA eligibility. Eligible faculty members may still elect to take unpaid FMLA leave if they wish to provide no service while providing care for their newborn child, newly adopted child, or foster care or guardianship placement.

Benefits During Leave of Absence

During a leave of absence, benefits may be affected. The Benefits Office should be contacted for details regarding how to continue benefit coverage and the length of time for which benefits may be continued. It is a faculty member’s responsibility to contact the Benefits Office to arrange for continuation of benefits.

Retirement

In order to foster an ongoing relationship with the University’s retirees, a number of perquisites are available through the University and the individual schools. Faculty members may contact their Dean’s Office for details. To determine eligibility for benefits after retirement, the Benefits Office or the Dean’s Office should be consulted.

Term of Administrative Appointments [Bylaw 77]

“Appointment to an administrative office, including but not limited to the office of executive dean, dean, vice dean, associate dean, assistant dean, director, secretary, department head, and department chair, will be without limit of time, unless otherwise specified, but may be terminated at any time without prejudice to any rights of the officer as holder of a professorship (a) by the President and Chancellor, or the Board; (b) in the case of an appointment other than an executive dean or dean or head, by the executive dean or dean, or by their respective designees; and (c) in the case of an appointment of a head, by the appropriate
deans jointly or by the Provost.” A faculty member’s contracted rights are not affected solely by removal from an administrative position.

**University Benefits**

*Benefit Plans and Services*

The [Benefits Office](#) of the Human Resources Division provides information about the benefit plans and services available to faculty members, members of the professional research staffs, and administrative and professional staff members.

**Housing for Faculty**

At NYU, faculty housing is a critical strategic resource that has supported NYU’s development into a national research university. Nearby housing helps to create a feeling of campus by bringing faculty, staff, and students together. It supports the academic mission of the University by increasing accessibility of faculty members to their students, their colleagues, and their research tools. Although NYU’s rental resources are substantial, they are not sufficient to address all our housing needs. University housing is allocated to faculty and staff in a manner designed to support, recruit and retain the full-time faculty of the University according to University priorities informed by the Deans of the Schools. University policies on Faculty Housing govern the allocation of housing: The highest priority is to house tenured and tenure track faculty, and among them, new faculty who will be joining NYU and who do not have housing in the metropolitan area. Almost equal priority is given to existing faculty who are of high retention importance as determined by the deans of each school. Any questions should be addressed through the individual school Dean’s Offices.

**Service Recognition Awards**

Faculty will receive service recognition gifts upon completion of 10 years of service to the University, and every five-year milestone thereafter through 50+ years. The University also will present a certificate to every member of the faculty who has given 25 years of full- and/or part-time service to the University.

**Travel Policies**

Information about University policies and guidelines concerning travel and reimbursement rates can be obtained from the [Office of the Controller](#). All faculty are encouraged to use [NYUtravele](#), which was created to provide the NYU community with tools and services for their travel needs and to help keep them safer.

**Releasing Employment Information**

Faculty members wishing to have information about their status at the University officially transmitted to persons or institutions outside the University should apply to the [Office of Academic Appointments](#), in order to execute the required consent form.

**Legal Matters**

*Legal Assistance Related to University Matters; Signing of Contracts; Service of Legal Papers*

The handling of all legal matters arising from or pertaining to the operations of the University is the responsibility of the General Counsel of the University and only the Office of General Counsel is
authorized to retain outside counsel on behalf of the University. All legal inquiries should be directed to the Office of the General Counsel.

Administrators and faculty members should not sign contracts, leases, or other agreements without proper written authorization, as well as required legal and financial reviews, and should not reply to communications received from attorneys concerning University business, whether telephone messages, faxes, e-mails or letters. Responses to such communications must be prepared in consultation between the Office of the General Counsel and the faculty member or administrator concerned. Similarly, under no circumstances should anyone not an officer of the University accept service of legal papers, such as subpoenas, citations, court summonses, or violation notices. Anyone who wishes to serve such papers on the University should be referred to the Office of the General Counsel, which will accept them officially on behalf of the University.

Refusal by a faculty member or administrator to accept service is not illegal; it is in fact the proper procedure and in the best interests of the University. If a process server refuses to be cooperative and insists upon leaving the papers, immediately call the Office of the General Counsel, and ask for instructions.

The Office of the General Counsel is responsible only for official University business and is not staffed to provide personal legal assistance except in the special instances described in “Selected Policies Concerning the Protection of Rights and Other Matters” under the heading of “Legal Protection for Faculty Members.” In exceptional cases, however, the office will, upon request, suggest legal organizations or other counsel to University personnel in need of such assistance.
General criteria for promotion and tenure for tenured and tenure-track faculty are cited in Title I, Section V. The core principles and procedures for tenure and promotion at the University appear in the New York University Promotion and Tenure Guidelines. In addition, colleges and schools have their own internal rules, procedures, and policies, such as School statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President and Chancellor.

Academic Freedom and Tenure

(Titles I and II were adopted by the University Board of Trustees on October 24, 1960, and have been amended through December 2, 1996).

Title I: Statement in Regard to Academic Freedom and Tenure

I. Authorization by the Board of Trustees

The Board of Trustees of New York University has authorized the following statement in regard to academic freedom and tenure at New York University. It reserves the right to amend this statement at its discretion, but no amendment shall take away a status of permanent or continuous tenure acquired before such amendment.

II. The Case for Academic Freedom

Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.

III. The Case for Academic Tenure

Academic tenure is a means to certain ends, specifically: (1) freedom of teaching and research; and (2) a sufficient degree of economic security to make the profession of teaching attractive to men and women of ability.

IV. Academic Freedom

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements, should be based upon an understanding with the administration of the University.
Teachers are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.

V. Academic Tenure

1. Part-time positions and other positions] A distinction is made between part-time and full-time members of the teaching staff. Unless their notices of appointment explicitly state that they are appointed for full-time teaching service, officers of instruction, of whatever rank, are considered part-time members of the teaching staff. The full-time members of the teaching staff are those teachers who give full-time service to the University and whose notices of appointment explicitly so indicate.

All part-time appointees to the University staff, irrespective of title, rank, or cumulative length of service, are entitled to no right of tenure, and their appointments are limited strictly to the periods stipulated in the official notices thereof. Likewise, all instructors, and all those receiving appointment in such temporary capacities as fellow, assistant, associate, lecturer, or as acting, adjunct, clinical, and visiting officers of instruction in the several ranks, whether rendering full- or part-time service, are ineligible for tenure on the basis of such service and are restricted in the duration of their connection with the University to the period stipulated in the official notices of appointment. The same stipulation applies to personnel appointed with professorial or other titles, whether on full- or part-time service, on subsidized assignments such as sponsored research, or in teaching programs where expense of the program is dependent upon a subsidy of limited duration.

2. [Tenure described] The general policy of the University with respect to probation and tenure for full-time assistant professors, associate professors, and professors is given below. After expiration of the stipulated probationary periods, full-time associate professors and professors are considered to have permanent or continuous tenure, and their services are to be terminated only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division. It is understood that the University has the right to reduce the length of the probationary period in specific cases.

3. [Assistant Professor] The rank of Assistant Professor should be granted only to those who have proved their worth as teachers and have given evidence of character and productive scholarship. The assistant professor should possess the maturity and attainment in the field of scholarship or professional practice of which the doctor’s degree is usually the testimonial. Appointment to an assistant professorship carries with it the possibility but no presumption of reappointment and includes no right to permanent or continuous tenure or to further reappointment, or to promotion to any higher rank.
A full-time assistant professor in any school, college, division, or department except the School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, and the College of Dentistry and its departments and its College of Nursing, who is not promoted at the expiration of seven years as full-time assistant professor shall be ineligible for further full-time appointment in the University. A full-time assistant professor in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, who is not promoted at the expiration of ten years as a full-time assistant professor shall be ineligible for further full-time appointment in the University. A full-time assistant professor in the Leonard N. Stern School of Business or any of its departments, who is not promoted at the expiration of nine years as a full-time assistant professor shall be ineligible for further full-time appointment in the University.

4. [Associate Professor] The rank of Associate Professor should be granted only to those who, in addition to all the qualifications for an assistant professorship, have an unusual contribution to make to the University through the excellence of their character, teaching, productive scholarship, or other educational service. There is no presumption in appointing an associate professor that he or she will later be promoted. Reappointment as an associate professor does not imply any subsequent appointment at higher rank. Under any of the following conditions the appointment or reappointment of an associate professor carries with it the right of continuous or permanent tenure if it is for: (1) the sixth year as a full-time associate professor at New York University; or (2) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, the eighth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor; or (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, the eleventh year, as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor; or (c) in the Leonard N. Stern School of Business or any of its departments, the tenth year as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor, or follows a term at more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section; (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, the eighth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term of more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section; (c) in the Leonard N. Stern School of Business or any of its departments, the seventh year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term at more than three years, i.e., not less than seven semesters of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section.

If a full-time teacher at the time of his or her first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he
or she has gained permanent or continuous tenure in another institution of higher education in
the United States having tenure regulations similar to those in effect at New York University
and leaves that institution to accept appointment as a full-time associate professor at New
York University, it is assumed that he or she has permanent or continuous tenure at New
York University unless it is agreed in writing that his or her appointment is for a probationary
period of not more than four years. It shall be the responsibility of the University official
hiring the teacher to raise the question of tenure possibly achieved elsewhere.

5. [Professor] The rank of Professor should be granted only after careful consideration of the
individual’s character, scholarship, productivity, teaching ability, and reputation among peers
in his or her own field, as well as his or her capacity for inclining students toward noteworthy
attainments. It should be granted only to men and women who have been so tested that there
is reasonable certainty of their continuing usefulness throughout the remainder of their
working years. It should never be granted as the reward of seniority and should be reserved as
a mark of distinction in the field of scholarship and instruction. It should never be granted as
a recognition of usefulness in administration.

Under any of the following conditions the reappointment of a professor carries with it the
right of continuous or permanent tenure: (1) if the reappointment is for the fourth year as a
full-time professor at New York University; or (2) if the reappointment is for the sixth year as
a full-time professor or associate professor at New York University; or (3) (a) in any school,
college, division, or department except the School of Medicine and its departments, the
College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern
School of Business and its departments, if the reappointment is for the eighth year as a full
time teacher at New York University in the rank or ranks of assistant professor, associate
professor, or professor; (b) in the School of Medicine or any of its departments and the
College of Dentistry or any of its departments or its College of Nursing, if the reappointment
is for the eleventh year as a full-time teacher at New York University in the rank or ranks of
assistant professor, associate professor, or professor; (c) in the Leonard N. Stern School of
Business or any of its departments, if the reappointment is for the tenth year as a full-time
teacher at New York University in the rank or ranks of assistant professor, associate
professor, or professor, or professor in one or more institutions of higher education other than New York
University except as provided in paragraph six of this section; (b) in the School of Medicine
or any of its departments and the College of Dentistry or any of its departments and its
College of Nursing, if the reappointment is for the eighth year as a full-time teacher at New
York University in the rank or ranks of assistant professor, associate professor, or professor
and follows a term of more than three years of full-time teaching in the rank or ranks of
assistant professor, associate professor, or professor in one or more institutions of higher
education other than New York University except as provided in paragraph six of this
section; (c) in the Leonard N. Stern School of Business or any of its departments, if the
reappointment is for the seventh year as a full-time teacher at New York University in the
rank or ranks of assistant professor, associate professor, or professor and follows a term of
more than three years of full-time teaching in the ranks of assistant professor, associate
professor, or professor in one or more institutions of higher education other than New York
University except as provided in paragraph six of this section.
If a full-time teacher at the time of first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he or she has gained permanent or continuous tenure in another institution of higher education in the United States having tenure regulations similar to those in effect at New York University and leaves that institution to accept appointment as a full-time professor at New York University, it is assumed that he or she has permanent or continuous tenure at New York University unless it is agreed in writing that his or her appointment is for a probationary period of not more than three years. It shall be the responsibility of the University official hiring the teacher to raise the question of tenure possibly achieved elsewhere.

6. [Exclusion of prior full-time teaching service at another institution] When full-time teaching service at another institution of higher education does not meet the criteria recognized for service at New York University, that service may be excluded from the probationary period under paragraph 4, clause (3), or paragraph 5, clause (4), of this section. In determining whether prior service at another educational institution should not be included, consideration shall be given to whether or not the prior service: (a) was in an Association of American Universities institution or equivalent; (b) followed the attainment of the terminal degree; (c) was in a tenure earning position; and (d) related factors. Recommendations that service at another institution of higher education not be included within the probationary period should be predicated on a written agreement between the prospective faculty member and the dean, and should be submitted by the dean to the Provost for approval before the initial appointment is effective. The faculty member will be notified in writing by the Office of the Provost whether or not prior service will be included within the probationary period at New York University.

7. [Administrative posts; promotions] Appointment to administrative posts may be terminated or modified by the University Board of Trustees without prejudice to the teaching rights of officers holding such positions. If a teacher gains permanent or continuous tenure at New York University in one rank, his or her tenure will not be invalidated by subsequent promotions in rank.

VI. Termination of a Tenure Appointment

1. When a member of the teaching staff has permanent or continuous tenure or is serving an appointment for a term of years which has not expired, his or her services may be terminated by the University only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division.4

2. Termination for cause:

   (a) [Adequate cause] Adequate cause includes (but is not limited to) one or more of the following: incompetent or inefficient service; neglect of duty; repeated and willful disregard of the rules of academic freedom as set forth in this statement; physical or mental incapacity; or any other conduct of a character seriously prejudicial to his or her teaching or research or to the welfare of the University. [Cf. Bylaw 92, Removal of Tenured Faculty and Tenured Librarians.]

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4 The Board of Trustees has approved resolutions concerning “Procedures for Termination and Reorganization of Programs”, dated December 10, 1979 and December 1, 1997.
(b) [Rules; notice; record] Proceedings for termination of service for cause shall be conducted in accordance with such rules as may from time to time be adopted by the Board of Trustees, and shall be initiated by service upon the person involved of a written notice setting forth clearly and directly all charges preferred against him or her and informing him or her of his or her rights under this section and under relevant University bylaws and rules regulating proceedings on such charges. The person charged shall be entitled to a hearing before a hearing panel of the Faculty Tenure Committee of the University in accordance with the regulations pertaining thereto. A full stenographic record of the hearing shall be given to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers or other scholars, whether from this University or from other institutions.

(c) [Appeal to the Tenure Appeal Committee] Upon the request of either the faculty member charged or the charging party, the record, findings, conclusions, and proposed sanctions of the hearing panel of the Faculty Tenure Committee shall be forwarded to the Tenure Appeal Committee for review and final determination. In the absence of such request, the findings, conclusions, and proposed sanctions of the hearing panel shall be final.

(d) [Rules bind all parties] The rules regulating proceedings to terminate service for cause shall be binding upon all parties.

(e) [Summary suspension] Summary suspension pending termination proceedings is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor the dean of the college, school, or division involved with the assent of the President and Chancellor whenever, in his or her judgment, continuance of the person in service threatens substantial harm to himself or herself, to others, or to the welfare of the University. Unless legal considerations forbid, any such suspension shall be with full base pay. At any time during the pendency of termination proceedings, the President and Chancellor may lift or modify any suspension in the interest of substantial justice.

(f) [Review of suspension] In the event of summary suspension, the propriety and effect of such suspension shall be reviewed by the hearing panel of the Faculty Tenure Committee when it commences its proceedings on the merits of the charges made, and the panel may recommend to the President and Chancellor that the suspension be revoked or limited in its effects pending the outcome of the proceeding.

(g) [Salary following dismissal] A person having permanent or continuous tenure who is dismissed for cause may, upon the recommendation of the hearing panel of the Faculty Tenure Committee and, in the event of an appeal, upon the approval of the Tenure Appeal Committee, receive his or her salary for up to one year from the date of mailing to him or her, by registered mail, of a notice of such dismissal.

VII. Existing Commitments

This statement, while applicable generally to all members of the teaching staff of New York University at the time of its adoption, is not intended to modify existing commitments, as in the case of assistant professors previously appointed without reference to non-tenure restrictions.

II. Notification of Resignation

The following provisions shall apply to notifications of resignation:
1. [Early notice] Notification of resignation ought, in general, to be early enough to obviate serious embarrassment to the University, the length of time necessarily varying with the circumstances of the particular case.

2. [Minimum notice] Subject to this general principle it would seem appropriate that a professor or an associate professor should ordinarily give not less than four months’ notice and an assistant professor or instructor not less than three months’ notice.

3. [Notification before transferring] It is assumed that a teacher may answer an informal inquiry about whether he or she would be willing to consider transfer to another institution under specified conditions without previous consultation with University officials, with the understanding, however, that if a definite offer follows he or she will not accept it without giving such notice as is indicated in the preceding provisions. A teacher is at liberty to ask his or her superior officers to reduce, or waive, the notification requirements there specified, but he or she is expected to conform to their decision on these points.

IX. Whom Tenure Cannot Protect

Nothing in this statement is to be interpreted as giving the protection of tenure to anyone who advocates the overthrow of the government of the United States by force, violence, or any unlawful means.

Title II: Appointment and Notification of Appointment

X. General Appointment Procedures Affecting the Full-Time Tenure-Earning Ranks

1. [Recommendation by department] Recommendations of appointment or reappointment of full-time assistant professors, associate professors, and professors, who have not achieved permanent or continuous tenure, shall be made by the chief executive officer of each department to the appropriate dean. The chief executive officer is the head of an all-University department or the chairperson of a school or college department that is not part of an all-University department.

2. [Advisory body] In the preparation of his or her recommendation the chief executive officer of each department shall have the counsel of an advisory body of tenured faculty members of the department. In case he or she is not the chief executive officer of the department, the chairperson of a school or college department in which a recommendation for appointment is under consideration shall be a member of the advisory body of tenured faculty members.

3. [Establishing advisory body] Each academic department shall, in accordance with its own procedures, establish an advisory committee on appointments.

4. [Transmitting recommendations] The department head or chairperson shall transmit to the appropriate dean, along with his or her recommendation and reasoning, the recommendation and reasoning of the advisory body, together with their names, the method of their selection, and a report of the numerical vote.

5. [Recommendations by dean] In schools without a departmental organization, the dean, in the preparation of his or her recommendations of appointment, shall have the counsel of an advisory body of tenured faculty members of the school. The dean shall notify the faculty members of his or her school of the composition of the advisory body, and the method of their selection.
6. [Approval by dean] The dean shall approve or disapprove the recommendation, and shall notify the department head or chairperson if there is a departmental organization, and the advisory body, of the ultimate decision along with reasons therefor if the recommendation is disapproved.

7. [Other advisory bodies] Nothing in the appointment procedures described above shall be construed to preclude the possibility that other advisors or advisory bodies or student groups may be consulted to meet the needs of individual schools or specific situations.

XI. Notification of Non-Tenured Faculty Members

1. [Notification; prospects] During his or her probationary period, each full-time assistant professor, associate professor, and professor shall be notified annually by the departmental head or chairperson, or by the dean in schools without departmental organization, of his or her prospect of being recommended by the department on the evidence then available for an appointment resulting in tenure. Where it is unlikely that tenure will be achieved, such notification shall be in writing.5

2. [Notification; no reappointment] Notice of intention not to reappoint a full-time assistant professor, associate professor, or professor 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 December 15 of the second year of academic service, if the appointment is to be terminated on August 31.

(c) In all other cases, not later than August 31, if the appointment is to be terminated on the following August 31, or not later than one year before the termination of the appointment.

However, a faculty member whose period of appointment is due to terminate on a date other than August 31, after receipt of the notice required by this paragraph 2, shall have the right, upon written notification to his or her dean at least 120 days prior to the termination date of the period of appointment, to an extension of his or her appointment until the following August 31. That right shall be communicated to the faculty member in the notice required by this paragraph 2. Under no circumstances shall such extension of appointment, however described, be considered to create any right to further appointment nor shall it, or any other faculty appointment, carry with it a right of continuous or permanent tenure in the absence of written notice awarding such tenure after the carrying out of the procedures described above in Section X.

XII. Tenure Appointments

5 In addition to the current requirement of yearly notice to each faculty member, set forth in Title II, Section XI.1, a formalized early review on tenure prospects is to be completed in the third year of service in the probationary period for assistant professors whose probationary timetable is not shortened due to qualifying previous service. In the School of Medicine and any of its departments, the Leonard N. Stern School of Business and any of its departments, and the College of Dentistry and any of its departments including its College of Nursing, a formalized early review on tenure prospects is to be completed in the third and sixth year of service for all assistant professors and in the third and sixth year of service for assistant professors whose probationary timetable is not shortened due to qualifying previous service.
1. [Procedure] In addition to the general appointment procedures, the process of recommending an appointment that would result in tenure shall be as follows:

(a) The dean shall forward his or her recommendation by June 1 to the Provost, with a copy to the department head or chairperson and to the advisory body or, in schools without departmental organization, to the dean’s advisory body. The dean’s recommendation shall be accompanied by the recommendations he or she has received from the department head or chairperson and the advisory body.

(b) The Provost shall support or oppose the dean’s recommendation in his or her recommendation to the President and Chancellor, and shall notify the dean of the final decision, along with reasons therefor, if the recommendation is disapproved. The dean in turn shall communicate the decision to the department head or chairperson, if there is a departmental organization, and to the advisory body. The dean shall notify the affected faculty member of the decision.

2. [Negative recommendations] In the case of an appointment that would, if made, complete the stipulated probationary period and result in tenure, negative recommendations as well as positive ones shall be transmitted by the department head or chairperson to the dean, and by the dean to the Provost.

Title III: Rules Regulating Proceedings to Terminate for Cause the Service of a Tenured Member of the Teaching Staff, Pursuant to Title I, Section VI, of the Statement in Regard to Academic Freedom and Tenure

(Titles III and IV were adopted by the University Board of Trustees on October 24, 1960 and have been amended through December 8, 1986)

I. Initiation of Dismissal Proceedings

1. Whenever the President and Chancellor or the Provost, or the dean of a college, school, or division of the University with the assent of the President and Chancellor or the Provost shall deem such action is warranted, that person shall initiate proceedings to terminate for cause the service of a tenured member of the teaching staff. He or she shall formulate, or cause to be formulated, the charges in writing. A copy of such charges, together with notice of proceedings for termination of his or her service for cause, shall be mailed by registered mail to the person involved (“the respondent”).

2. The respondent shall serve a written answer upon his or her dean and the President and Chancellor of the University within twenty days after service of the charges and notice upon him or her admitting or denying each of the allegations contained in the charges and setting forth any defenses to the charges. The time for service of the answer may be extended by the President and Chancellor or the Provost in the interests of substantial justice.

3. Upon receipt of the answer of the respondent, the dean shall forward to the chairperson of the Faculty Tenure Committee copies of the written charges and of the answer to such charges.

4. If the respondent fails to serve a written answer within twenty days, or any extension of such time, the dean shall nevertheless forward the charges to the chairperson of the Faculty Tenure Committee with a statement showing that no answer has been served by the respondent.
5. Within fifteen days after submission of the charges and answer, or of the charges alone, as the case may be, to the Faculty Tenure Committee, the chairperson of such committee shall set a time for the commencement of a hearing, which shall not be more than thirty days thereafter unless further time is granted by the chairperson upon request of either party.

II. The Faculty Tenure Committee and Its Hearing Panels

1. The Faculty Tenure Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to establish a hearing panel to hear the charges against a tenured faculty member in proceedings for termination of his or her service for cause. Its powers are confined to such cases and do not extend to grievances concerning the terms of special contracts of employment, promotion, salary, conditions of work, or similar questions.

2. The Faculty Tenure Committee shall consist of a faculty representative from each school or college in the University. The representative shall be a former elected senator who is still a full-time teacher in the University and is not a dean or the incumbent of a comparable administrative position. The former senator whose term has most recently concluded shall be named first, and in his or her absence by reason of leave, illness, or other inability to serve, the next most recent former senator, and if he or she be unable to serve, then the next most recent former senator, and so on until the list of former senators has been exhausted. If two or more senators had their term of office expire on the same date, lots shall be cast to determine the former senator who shall first be eligible to serve. If there be no available and properly qualified member of the faculty of any unit, then a representative who is eligible to be an elected member of the Senate shall be elected by the faculty of the unit in the manner in which a member of the Senate is elected. The Faculty Tenure Committee shall, when the Committee is called upon to consider a case, elect a Committee chairperson who shall serve until a hearing panel has been selected and has elected its own chairperson.

3. Whenever a case has been referred to the Faculty Tenure Committee, the Committee shall designate from its membership a hearing panel of five members to hear and decide the case. One member of the panel shall be the faculty representative from the same school or college as the respondent. The remaining four members shall be selected by the Faculty Tenure Committee, and such selection shall proceed notwithstanding the unavailability to serve of any former senator from one or more schools or colleges. The hearing panel shall select its own chairperson. Once identified to serve in a particular case, the members of the hearing panel shall continue to serve until the completion of all proceedings, except as otherwise provided by these rules.

III. Conduct of Hearings before the Hearing Panel of the Faculty Tenure Committee

1. An arbitrator who is an attorney shall be the presiding officer at the hearing on the charges. The arbitrator shall be chosen from a list of 12 qualified attorney-arbitrators compiled by the American Arbitration Association. The charging party and the respondent each may strike up to four names from the list and each shall rank, in order of preference, the names of those whom they have not stricken. The Association shall then designate as the arbitrator the available person with the highest degree of joint preference of the parties. Should more than one available person have an equally high joint preference, the Association shall select the arbitrator by lot from those with the highest joint preference.

2. A calendar of hearing dates in a proceeding for dismissal shall be fixed by the chairperson of the hearing panel after consultation with the parties to the proceeding and the arbitrator; the
calendar shall be read into the record on the opening day of the hearing; it shall be adhered to unless the hearing panel orders exceptions for due cause. Whenever the interests of substantial justice appear to so require, the hearing panel may direct either or both parties to submit a summary of the evidence, a first list of witnesses to be called, or both. If the statement of the charges, or the answer thereto, appears to the hearing panel to be indefinite or obscure, the hearing panel may require a more definite statement. Where the respondent has failed to serve an answer to the charges and where it further appears that the respondent is unable to understand the charges and to participate meaningfully in the proceeding, the panel shall obtain the services of a qualified person to represent the respondent. In the absence of such circumstances or other good cause, upon the failure of the respondent to serve an answer prior to the commencement of a hearing or to appear at the hearing, the panel may, in its discretion, preclude the subsequent assertion of any defense or the introduction of evidence on behalf of the respondent.

3. The arbitrator shall conduct the hearing and rule on all procedural matters, including the admissibility of evidence, subject to the right of each party to appeal to the panel. Upon such appeal, the decision of a majority of the panel members shall control. The panel shall have the power to enlarge the time appointed in these procedures for doing any act or taking any proceedings, where the interests of substantial justice appear to so require.

4. The hearings shall not be restricted by the rules of procedure or of the admissibility of evidence which prevail in the courts of law. Subject to the provisions of section 3 of this article III, each member of the panel, at the hearing, may inquire into whatever is believed relevant to the inquiry. Whenever the proceedings originate from a finding of scientific misconduct in accordance with the separate rules governing such proceedings, the hearing panel shall deem the report of the earlier committee to constitute the facts as to the existence of such misconduct.

5. The respondent may be assisted by counsel of his or her choice, as may be the charging party. Counsel for both sides shall cooperate at all times with the panel and the arbitrator.

6. A request by either party to present witnesses shall be made to the panel, which may limit the hearing of witnesses at its discretion. If witnesses are called, each party shall have the right of cross-examination.

7. Each party may introduce exhibits, which shall constitute part of the record of the case. They shall be retained in the custody of a suitable person designated by the chairperson unless, after appropriate precautions to preserve a record of their purport, the chairperson shall order otherwise.

8. A stenographic record shall be made of all proceedings at the hearing. However, on order of the chairperson, procedural matters may be discussed in executive session, the minutes of which need not be included in the transcript of the record of the hearing. This transcript shall be available to all parties to the hearing.

9. Each party shall have equal opportunity at the final session of the hearing for the summation of the case, either in person or by counsel, but no new evidence or testimony may be introduced during such summation.

10. All five members of the hearing panel shall be present at the hearing. If, after the commencement of the hearing, a member of the panel becomes unable to continue to serve, he or she shall be excused from further service. Should a member of the panel repeatedly fail
to carry out his or her obligations as a member of the panel, he or she may be discharged from further service upon the vote of a majority of the remaining members of the panel. In no event, however, may the hearing panel proceed with fewer than three members, and should the number of panel members be reduced to fewer than three, the Faculty Tenure Committee shall designate a new hearing panel which shall commence a de novo proceeding. The members of the original panel who remained on the panel at the time that it ceased to function shall be eligible to serve on the successor panel. The affirmative vote of a majority of the panel shall constitute any action by the panel. Subject to the foregoing, the panel may adopt rules not inconsistent with the provisions herein set forth.

11. Upon completion of the hearing, the panel shall deliberate and make its report. The deliberations shall be conducted in executive session and shall be attended only by the members of the hearing panel. The decision of the panel must be supported by a majority of its members and no recommendation of dismissal shall be made based solely upon the failure of the person involved to answer the charges or appear at the hearing.

IV. Report of the Hearing Panel of the Faculty Tenure Committee

1. The report of the hearing panel of the Faculty Tenure Committee shall be in writing and shall consist of (a) a transcript of the record of the hearing and the exhibits offered or introduced into evidence by the parties; (b) such findings, conclusions, and proposed sanctions as the panel shall make, including a statement of the facts deemed essential to the findings; (c) a memorandum setting forth the reasons for any recommendations, including any recommendation for severance pay where dismissal for cause is recommended; and (d) any memorandum submitted by any member of the panel, at his or her own discretion, with reference to his or her opinion as to the matters in controversy.

2. Each finding, conclusion, and recommendation shall be reported with the numerical vote of the members of the panel but not with the names of the members who voted for or against the same.

3. Complete copies of items (b), (c), and (d) described in section 1 of this Article IV shall be transmitted to the President of the University and to the parties to the hearing. Either party may take an appeal from the findings, conclusions, and recommendations of the hearing panel by filing a written notice of appeal with the President of the University within ten days of the receipt of the aforesaid items. In the event of an appeal, the full report as described in section 1 of this article IV shall be submitted to the Tenure Appeal Committee as described below.

V. The Tenure Appeal Committee of the University

1. The Tenure Appeal Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to hear an appeal from the findings, conclusions, and recommendations of a hearing panel of the Faculty Tenure Committee in a proceeding for the termination for cause of a tenured faculty member. Its powers are confined to such cases and do not extend to any other matter concerning the award or the termination of tenure.

2. The Tenure Appeal Committee shall consist of three persons, none of whom hold a full time appointment in the same school as the respondent, as follows: the chairperson of the Faculty Council; the chairperson of the Academic Affairs Committee of the Board of Trustees; and a person designated by the President of the University, ordinarily a dean, having the status of a tenured faculty member. In the event that either of the first two persons is unable to serve in a
given case, a substitute person shall be designated, respectively, by the Faculty Council and the Board of Trustees. Any substitute for the chairperson of the Faculty Council shall be a member of the Faculty Council and any substitute for the chairperson of the Academic Affairs Committee of the Board of Trustees shall be a trustee of the University.

VI. Action by the Tenure Appeal Committee

1. Upon the request of either the respondent or the charging party, the Tenure Appeal Committee of the University shall consider the findings, conclusions, and recommendations of the hearing panel of the Faculty Tenure Committee on the record made at the hearing before the panel. If the Tenure Appeal Committee deems the record not complete, it may refer the matter back to the panel for further data, findings, and recommendations.

2. An opportunity for argument before the Tenure Appeal Committee shall be afforded to each of the parties or their representatives before the final vote on the merits of the controversy.

3. Upon appeal a tenured member of the teaching staff shall be removed for cause only by a vote of a majority of the Tenure Appeal Committee to affirm the findings of the hearing panel in support of one or more of the charges. A recommendation for dismissal for cause made by the hearing panel shall be upheld only if the Tenure Appeal Committee determines: (i) that the findings against the respondent on one or more of the charges are supported by substantial evidence in the record as a whole; (ii) that the hearing was conducted fairly and in substantial compliance with the rules set forth above for the conduct of such hearings; and (iii) that the sanction of dismissal is appropriate. If the Tenure Appeal Committee does not determine that the findings in support of one or more of the charges are supported by substantial evidence in the record as a whole, or determines that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules, or that the sanction of dismissal is not appropriate it shall, as the interests of substantial justice shall require: (i) dismiss the charges; (ii) remand the case for a new hearing before the same or a new hearing panel; or (iii) reduce the sanction, provided however that any decision to reduce the sanction must be upon the unanimous vote of the Tenure Appeal Committee.

4. Where the hearing panel has sustained one or more of the charges but has not recommended dismissal for cause and has instead recommended a lesser sanction, the Tenure Appeal Committee shall, upon appeal, similarly review the findings, conclusions, and recommendations of the panel. The Tenure Appeal Committee is empowered to make the final determination with respect to the appropriate sanction to be imposed provided, however, that any decision to increase the sanction recommended by the hearing panel must be upon the unanimous vote of the Tenure Appeal Committee. Where the hearing panel has not sustained any of the charges, the Tenure Appeal Committee shall, upon appeal, again review the findings, conclusions, and recommendations of the panel, and where it determines that the findings are not supported by substantial evidence in the record as a whole or that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules to the detriment of the charging party, it may, in its discretion, remand the case for a new hearing before a new panel of the Faculty Tenure Committee.

5. After the conclusion of its deliberations, the Tenure Appeal Committee shall prepare a report setting forth its findings and conclusions, stating the reasons therefor, including the dissenting views of any member of the Committee.

6. The secretary of the University shall provide a copy of the report of the Tenure Appeal Committee to the parties and to the President of the University.
7. The final disposition of the case shall be made public only after the parties to the hearing have been officially informed of the decision of the Tenure Appeal Committee. Until that time no information concerning the hearings shall be disclosed to the public.

VII. General Provisions

1. The members of the Board of Trustees, the President and Chancellor of the University and other officers of administration, the members of the Tenure Appeal Committee, the members of the Faculty Tenure Committee, the dean and members of the faculty, and all witnesses and other participants in any hearing shall be absolutely privileged as to statements or publications made in connection with the hearings, and shall have complete immunity for any decision, statement of fact, or comment relating thereto.

Title IV: General Disciplinary Regulations Applicable to Both Tenured and Non-Tenured Faculty Members on the Tenure Track

1. [General obligations] Quite apart from any question of tenure or the termination for cause of the service of a faculty member with tenure, all faculty members have an obligation to comply with the rules and regulations of the University and its schools, colleges, and departments. These rules protect the rights and freedoms of all members of the academic community.

2. [Particular obligation] In particular, the faculty member is obligated to live up to the standards of academic freedom as outlined in this statement. Disciplinary action may also follow when the faculty member engages in other conduct unbecoming a member of the faculty, such as violation of the New York University Rules for the Maintenance of Public Order, any action which interferes with the regular operations of the University or the rights of others, any serious violation of the law, or any other conduct prejudicial to the teaching, research, or welfare of the University, and so forth.

Disciplinary Procedures

A. The following procedure is applicable where a question arises concerning an alleged violation by any member of the faculty of a rule or regulation of the University, with the exception of the proceedings brought by the appropriate official to terminate the services of a faculty member with tenure.

B. Initiation of Disciplinary Proceedings

1. [Who may file a complaint] Any officer of the University, any member of the faculty or staff, or any student may file a complaint against a member of the faculty for conduct prohibited by the rules and regulations of the University, or its schools, colleges, and departments.

2. [Summary suspension] Summary suspension pending investigation and hearing is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor or the Provost or the dean of the college, school, or division involved with the assent of the President and Chancellor or Provost, whenever, in the judgment of either, suspension is necessary in the interest of the University community.
3. [Where to file a complaint] The complaint shall be filed with the dean of the faculty member’s school, except that a complaint against a dean shall be filed with the Provost. Complaints must be filed within a reasonable time after an alleged violation.

4. [Informal resolution at school level] When a complaint is filed against a member of the faculty, an effort shall be made to resolve the matter informally under the direction of the dean of the member’s school at the departmental level or with a committee of the faculty of that school. Where the charge is against the dean as a faculty member, the informal effort shall be under the direction of the Provost. Where the matter cannot be resolved in this manner, disciplinary proceedings shall proceed.

5. [Hearing committee for the non-tenured] Where the faculty member does not have continuous or permanent tenure, the matter shall be referred, with all pertinent information, to the Chairperson of the Faculty Council, who shall appoint a special committee of the faculty, either members of the Council or not, to hear the matter. The majority of the committee members shall be from the school in which the faculty member holds primary appointment. The Chairperson of the Faculty Council shall appoint the chairperson of the committee.

6. [Procedures and authority under Item 5] The special hearing committee shall adopt its own rules of procedure and shall have authority to impose any of the penalties, other than dismissal, listed in paragraph B.9 and to recommend dismissal. Decisions shall be by majority vote. A recommendation for dismissal must be approved by the dean (except where he or she is the subject of the charge) and the Provost.

7. [Hearing committee for the tenured] Where the faculty member has continuous or permanent tenure, and the proceeding or charge was not brought by the President, and Chancellor, the Provost, or the dean of the member’s school or college, specifically in order to terminate service (Title III), the matter shall be referred to the chairperson of the Faculty Tenure Committee, who shall appoint a special hearing committee and chairperson from the membership of the Faculty Tenure Committee. One member of the hearing committee shall be from the college or school in which the faculty member holds primary appointment.

8. [Procedures and authority under Item 7] The special hearing committee of the Faculty Tenure Committee shall adopt its own rules of procedure and shall have authority by majority vote to impose any of the penalties, other than dismissal, listed in paragraph B.9. If the possibility of dismissal should be at any time involved, the procedure must follow that in Title III.

9. [List of penalties] Penalties for violations of the rules and regulations of the University, or its schools, colleges, and departments shall include, but are not limited to, the following:

   a)  Reprimand
   b)  Censure
   c)  Removal of privileges
   d)  Suspension
   e)  Dismissal

10. [Appeal] A faculty member may appeal the decision by the hearing committee to impose a penalty. Appeal shall be to Provost. Grounds for an appeal shall be that the decision was not supported by substantial evidence in the record taken as a whole or that the proceedings were not conducted in substantial compliance with the principles enumerated herein. In cases involving scientific misconduct, substantial deviance from procedures set out for fact-finding within the affected school shall also be grounds for appeal. Any such appeal must be made to
the Provost within fifteen calendar days after receipt of notice of the decision of the hearing committee. The Provost may seek the advice of such individuals or groups as he or she deems appropriate.

In deciding the appeal the Provost may affirm or reverse the decision of the hearing committee, may remand the case for a new or further investigation by the same or a different committee, or may increase or decrease the sanction imposed as the interests of substantial justice appear to him or her to require. Where scientific misconduct is at issue, the Provost may also remand the case to the dean of the appropriate school with a request for a new or further fact-finding by the same or a new committee, appointed in accordance with the provisions of the rules governing such cases.
Additional Faculty Policies Applicable to Tenured/Tenure Track Faculty

Sabbatical Leave

**Purpose**

A sabbatical leave, as distinguished from a terminal leave, a leave without compensation, or a leave for reasons of health, is defined as a leave for the purpose of encouraging faculty members (including administrative officers who hold faculty rank) to engage in scholarly research or other activities that will increase their scholarly achievement or their capacity for service to the University. A sabbatical leave will not be granted for the purpose of taking regular academic or other employment of pecuniary advantage elsewhere. (A partial exception to this policy, applicable to certain kinds of research grants, is explained below.)

**Eligibility**

Except as provided by school policies that permit sabbatical leaves for Full-Time Non-Tenure Track/Contract Faculty, eligibility for a sabbatical leave is limited to full-time members of the faculty who have achieved tenure rights and who have completed six years of full-time service as members of the faculty at New York University. In general, at least six years must elapse between consecutive sabbaticals.

It is stipulated that at the conclusion of a sabbatical leave the faculty member will forward to the department chairperson and the dean copies of a report on activities undertaken during the period of the leave.

**Term and Compensation of the Sabbatical**

In general, a sabbatical leave is granted to the eligible faculty member, starting September 1, for the usual teaching terms (i.e., September to June inclusive) of one academic year, at three quarters of annual base salary. However, as an alternative, a faculty member who has qualified for a full year of sabbatical leave at three-quarters salary may apply for such sabbatical to be divided into two terms falling within a seven-year period, each such term representing a seventh semester at three-quarters of the base salary applicable thereto. As another alternative, a faculty member who is qualified for a full year’s sabbatical leave at three-quarters salary may elect, in lieu thereof, to apply for only one semester of sabbatical leave during the sabbatical year, at the full base salary for that semester. Appropriate variations apply in units, such as the College of Dentistry, the School of Medicine and the Libraries, in which active service is rendered on a 12-month basis rather than a 9-month basis.

The cost of replacing a faculty member during sabbatical leave will be kept as low as possible by arrangements such as rotating (“bracketing”) courses, employing part-time faculty members, and making internal adjustments in the departments concerned.

**Procedure for Granting a Sabbatical Leave**

Application for a sabbatical leave should be made in writing by the faculty member and submitted to the department chairperson no later than December 1 preceding the academic year for which the leave is sought. Because of the impact of a leave on departmental planning, early application is recommended.
The department chairperson must forward the application with an accompanying recommendation to the appropriate dean on or before the following December 15. The recommendation shall include a statement of the proposed method of handling the normal duties of the faculty member while on leave.

The dean must forward each application and the accompanying recommendation of the department chairperson, together with the dean’s own recommendation, to the Office of the Provost on or before January 15. The Office of the Provost, after such additional consultation with the dean as may be desirable, will announce the determination.

Sabbatical Leave and Sponsored Research and Related Activities

All sabbatical leave arrangements approved by the University carry the restriction that the faculty member is not permitted to engage in any form of regular academic or other employment to supplement the sabbatical salary. However, a member of the faculty is entitled to supplement the salary provided by the University during the period of leave with funding provided by an external sponsor for research and related activities, in an amount approved by the sponsor, so long as the total compensation is no more than the full base salary and the leave otherwise comports with the terms and conditions of the award. The faculty member must take the initiative to report plans for sabbatical leave to the sponsor and identify the salary supplementation explicitly in the proposal whenever possible, and must make known to the department chairpersons and dean at the time of request for sabbatical leave that such funding is being, or will be, sought from the sponsor.

Benefits During Sabbatical Leave of Absence

During a leave of absence, benefits may be affected. The Benefits Office should be contacted for details regarding how to continue benefit coverage and the length of time for which benefits may be continued.

It is a faculty member’s responsibility to contact the Benefits Office to arrange for continuation of benefits. More information is available in the benefits booklets or at the Benefits Office.

Tenure Clock Stoppage for Personal Reasons (Approved by the University Senate March 1, 2007)

Tenure clock stoppage may be granted automatically for a maximum of two semesters during the probationary period for any one of, or combination of, the following personal reasons:

1. Tenure clock stoppage may be authorized during a period of full service to faculty members who are primary caregivers of a child; and to primary caregivers of a parent, a spouse, or a domestic partner in a health crisis of extended duration. A domestic partner qualifies if he or she is registered with the University for benefits purposes. “Primary care” means day-to-day responsibility for the care of a child, parent, spouse, or registered domestic partner for a substantial portion of the period.

2. Tenure clock stoppage may be authorized to a faculty member who is granted one or more full semesters of leave for any one of, or combination of, illness/disability leave, maternity leave, or personal leave.

Tenure clock stoppage for up to two semesters will be granted automatically in the case of a parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, upon notification to the Chair of the Department or, in the case of Schools without departmental organization, the Dean.
In other cases, a request for tenure clock stoppage normally will require advance approval by the Dean and the Office of the Provost. Requests should be made as early as possible, and when feasible, approvals should be in place no later than the onset of the semester preceding the period of tenure clock stoppage.

Note: The granting of tenure clock stoppage does not influence granting of tenure in the future.

Faculty Grievance Procedures

(Adopted by the University Senate May 10, 1973, approved by the Board of Trustees May 21, 1973)

The purpose of these regulations is to establish University procedures by means of which Tenured/Tenure Track faculty members can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure under B, infra.

A. Faculty Grievances, General

Faculty grievances are classified into two main types:

1. Those connected with appointment, reappointment, promotion, or tenure.

2. Those concerned with other matters, such as duties, salaries, perquisites, and working conditions.

Although it may be preferable to treat all grievances as uniformly as possible, whatever the issue, those stemming from appointment decisions must be dealt with in a manner that conforms to the general appointment procedures. The initial protection for the faculty member is in the “Statement in Regard to Academic Freedom and Tenure” and the regulations and procedures on “Appointment and Notification of Appointment”. It is expected that most grievance cases, particularly those concerned with matters such as duties, salaries, perquisites, and working conditions, will be settled within each school or faculty. The schools and faculties have wide latitude in establishing procedures to meet their needs.

3. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

4. Each school or faculty shall establish a faculty committee to hear grievance cases in order to advise the dean. This grievance committee shall be elected by the voting members of the faculty and shall be a standing committee of the school or faculty. A majority of the committee shall be tenured members of the faculty. It shall not include departmental chairpersons or departmental heads or any faculty member whose primary assignment is administrative.

5. If a faculty member’s grievance is not settled informally at a level below the dean, or by the dean himself or herself, the faculty member may appeal to the dean to convocate the grievance committee of the school or faculty. The dean shall do so within 15 working days. 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 therefor, and information on the procedure for appeal.

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Explanatory note: In any instance in which the dean has not convened the school’s grievance committee within the mandated 15 working days, the faculty member has the right to bring it to the attention of the Office of the Chancellor.
6. If a faculty member has no grievance at a level below the dean but the dean makes a decision against the faculty member, the latter may request the dean for a hearing before the grievance committee of the school or faculty. The dean shall convocate the grievance committee within 15 working days. After receiving the recommendation of the committee, the dean shall then make his or her final decision and shall notify as in A-5.

B. Appeal from a Dean’s Decision on Appointment, Reappointment, Promotion, or Tenure

1. Appeals from such decisions can be made only on the following grounds:

   a) That the procedures used to reach the decision were 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.

2. A faculty member intending to make an appeal shall indicate such intention in writing to the Provost within 15 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.

3. Where such an appeal is made, the dean shall transmit to the Provost a report of the proceedings in the case at its earlier stages. The Provost shall in each case obtain the advice of a standing committee of no less than three tenured faculty members selected by the Tenured/Tenure Track Faculty Senators Council but not necessarily members of that body. This committee shall be called the Tenured/Tenure Track Faculty Senators Council Grievance Committee.

4. The Tenured/Tenure Track Faculty Senators Council Grievance Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations, preferably within 30 days of the close of the hearing, but in any case within 60 days.

5. The Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. Evidence that a decision appealed from is so arbitrary that it has no rational foundation may be considered on the issue of “inadequate consideration” (B-1-a above).

6. The Committee shall at all times follow the requisites of a fair and equitable hearing, but it is not to be restricted by the technical rules of evidence or the formality of the adversary proceeding as in a court trial. In each case the Committee shall determine its own procedure, adapting the requirements of the particular case to the equity of the situation. This shall include, for example, the question of a record of the hearing, the examination of witnesses, the schedule and public nature of meetings, etc. The grievant, however, may determine whether he or she shall have the aid of an advisor or counsel.

7. After receiving the advice of the Tenured/Tenure Track Faculty Senators Council Grievance Committee, the President and the Chancellor of the University and Executive Vice President for Academic Affairs shall decide the case and notify the grievant, the dean, and the

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7 See previous footnote.
Chairperson of the Tenured/Tenure Track Faculty Senators Council Grievance Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision.

8. If the dean’s decision is favorable to the faculty member and hence is not appealed and the Office of the Chancellor of the University and Executive Vice President for Academic Affairs reverses that decision without seeking the advice of the Tenured/Tenure Track Faculty Senators Council Grievance Committee as described in B-1 through 7, the faculty member may then invoke the appeal procedure.

C. Appeal from a Dean’s Decision on Matters Such as Duties, Salaries, Perquisites, and Working Conditions (A-2 above)

Where such an appeal is desired by a faculty member and the Chancellor of the University and Executive Vice President for Academic Affairs is so informed within 15 days after the member is notified of the decision, the Central Administration shall make informal procedures available.

Appeal from the dean’s decision can be made only on the same grounds as in B-1 above.

D. Copies of the Grievance Procedures

A copy of the school’s grievance procedure and of this appellate procedure should be given to each full-time faculty member.

Retirement

Retirement of Tenured Faculty and Tenured Librarians [Bylaw 91]

“The tenure rights of Tenured Faculty and librarians who have attained tenure will cease August 31 of the academic year, September 1 to August 31, in which they give notice of their intention to retire from active service, unless an alternative effective date is agreed upon, and there shall be no presumption of reappointment thereafter.”

Professor Emerita; Professor Emeritus

The titles of Professor Emerita and Professor Emeritus are given only to full professors who have served New York University with academic distinction for a long enough time prior to retirement to have become identified historically in the profession as New York University professors. This title is given only upon formal retirement from active service, or at least from full-time active service. It is not automatic; it must be recommended by a department and approved through the normal procedures applicable to other academic titles. Comparable principles apply to the use of the designation Emerita and Emeritus for administrative personnel.
FACULTY POLICIES APPLICABLE TO FULL-TIME NON-TENURE TRACK/CONTRACT FACULTY

Appointment, Reappointment, Promotion and Performance Assessment

The core principles and procedures for hiring, reappointment, promotion and performance assessment are found in the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty Appointments. In addition, Schools and units have their own internal rules, procedures, and policies, which may supplement the University Guidelines – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

Grievances Related To Reappointment and Promotion

The basic processes related to grievances related to reappointment and promotion are found in the University Guidelines for Full-Time Non-Tenure Track/Contract Faculty Appointments. In addition, Schools and units have their own internal rules, procedures, and policies, which may he University Guidelines – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.
SELECTED UNIVERSITY RESOURCES FOR FACULTY

Libraries

NYU Libraries is an 11-library, 5.9 million volume system whose flagship is the Elmer Holmes Bobst Library on Washington Square. To learn more about the extensive resources and services available to faculty and students throughout NYU's global network, please visit the Libraries.

New York University Press

New York University Press publishes over 110 new books each year with nearly 3,000 titles in print. NYU faculty members are highly encouraged to submit book manuscripts in those disciplines where the Press is actively publishing: anthropology, criminology, cultural and American studies, environmental studies, law, media studies and communication, politics, religion, and sociology. While the Press considers manuscripts from scholars everywhere, it gives particular attention to the work of NYU faculty members.

Office of University Relations and Public Affairs

The Office of University Relations and Public Affairs (URPA) is responsible for ensuring that the University’s message, agenda, and image are effectively and creatively projected to external and internal audiences. URPA provides assistance to NYU academic and operating units in dealing with the media; publications needs, both online and print; interaction with government at all levels; planning major events; and outreach to the community, including student volunteer efforts.

Office for University Development and Alumni Relations

The Office of Development and Alumni Relations (UDAR) is dedicated to soliciting the private funds necessary to support the strategic goals of the University in teaching, learning and research. UDAR raises funds for immediate University use and also for the University's endowment for such critical operations as student aid, faculty support, academic and research program development, and facilities and infrastructure. Alumni may access the Alumni site for alumni news and information about benefits and events.

Office of Faculty Resources

The Office of Faculty Resources (OFR) helps faculty navigate various programs and services that NYU has to offer them. Faculty can find information on programs and departments that assist in the pursuit of teaching, research, funding, or simply living and working in New York City. Resources and Support

Offices for Research

A number of University offices are dedicated to directing and supporting faculty research, including externally sponsored research. These include the Office of Sponsored Programs (OSP), Contract Office, Environmental Health and Safety, Entrepreneurial Institute, Government Affairs and Civic Engagement, Office of Postdoctoral Affairs, Office of Veterinary Resources, Sponsored Programs Administration (SPA), University Animal Welfare Committee, and University Committee on Activities Involving Human Subjects. NYU provides a large number of institutional funding opportunities, research residencies through the Provost's Global Research Initiatives program, and international research programs at the portal campuses and research institutes of NYU Shanghai and NYU Abu Dhabi.

Faculty Resource Network
NYU’s Faculty Resource Network (FRN), established in 1984, is an award-winning professional development initiative that sponsors programs for faculty members from a consortium of over 50 colleges and universities, which are designed to improve the quality of teaching and learning at its member and affiliate institutions.

**Center for the Advancement of Teaching**

Established in 2001, and renamed in 2013, the Center for the Advancement of Teaching supports and nurtures effective teaching and learning at New York University, providing practical resources to members of the NYU community to enhance their effectiveness in the classroom.

**Visiting Scholars Program**

The program for visiting scholars, visiting research professors, and visiting exchange professors extends specified courtesy titles and privileges to scholars of distinction who visit New York University in order to engage in research and scholarship, and in general scholarly and cultural interaction with New York University’s faculty and students. The courtesy titles may not be granted for the purpose of providing free courses or other privileges to graduate or post-graduate students, or for the sole purpose of providing library privileges.

Visiting scholars, visiting research professors, and visiting exchange professors are considered guests of the University who may visit for a temporary period of up to one year (renewable). As non-employees, they have no teaching or other responsibilities and are not entitled to salary or housing. Visiting scholars, visiting research professors, and visiting exchange professors covered by this program may not in any way perform in the role of an employee at New York University. For further information, faculty members may contact their Dean’s Office and can view the Visiting Scholar application form.
The Students

THE ADMINISTRATION OF STUDENT AFFAIRS

Each school makes provisions for the organization, conduct, and supervision of intraschool student affairs including its own student government and student service groups. The Student Senators Council, acting with the University Committee on Student Life, has special responsibilities for studying and making recommendations in areas of student concern.

The University also offers a wide range of extracurricular activities, programs, and support services for students under the jurisdiction of the Senior Vice President for Student Affairs. When relevant issues or problems arise in working with students, faculty members may find useful resources and expertise in the areas listed below:

- To help a student in trouble, faculty can contact Helping Someone in Trouble at https://www.nyu.edu/life/safety-health-wellness/wellness-exchange/helping-someone-in-trouble.html

The New York Division of Student Affairs encompasses the following offices and services:

- Athletics, Intramurals and Recreation at http://www.gonyuathletics.com/
- Student Resource Center at https://www.nyu.edu/life/resources-and-services/student-resourcecenter.html
- Wasserman Center for Career Development at https://www.nyu.edu/life/resources-and-services/career-development.html

Student Health, including
Student Health Center at https://www.nyu.edu/life/safety-health-wellness/student-health-center.html

Henry and Lucy Moses Center for Students with Disabilities at https://www.nyu.edu/life/safety-health-wellness/students-with-disabilities.html

Health Promotion at https://www.nyu.edu/life/safety-health-wellness/student-health-center/services/health-promotion.html

Live Well NYU at https://www.nyu.edu/life/safety-health-wellness/live-well-nyu.html

Counseling and Wellness Services at https://www.nyu.edu/life/safety-health-wellness/student-health-center/services/mental-health.html


Student Services at NYU Abu Dhabi and NYU Shanghai


Information is available for NYU Shanghai at http://shanghai.nyu.edu/campus-life/ss.

Academic Discipline

University Bylaw 80 provides that “the power of suspending or dismissing a student in any college or school is lodged with the voting faculty of that school, but the President and Chancellor or the dean of a college or school, or their respective representatives, may suspend a student pending the consideration of his or her case by his or her faculty. The Senate shall have power to act in situations involving more than one college or school.” In general, each school handles breaches of academic discipline, such as plagiarism or cheating on examinations. Matters involving breaches of the peace or disruptive disturbances may come within the jurisdiction of the Faculty or the Senate, depending on the nature of the circumstances. The Senate has approved a “Statement of Policy on Student Conduct at New York University” and the “Student Disciplinary Procedures”, as well as a general set of “New York University Rules for the Maintenance of Public Order”. For further information, contact the Dean’s Office in the appropriate school or the Office of the Vice President for Student Affairs.

Student Press

The general undergraduate newspaper is the Washington Square News, published daily and available online at http://www.nyunews.com and through a smartphone app.

Privacy of a Student’s Educational Records

Among its several purposes, the federal Family Educational Rights and Privacy Act of 1974 (FERPA) was enacted to protect the privacy of a student’s education records, by limiting access to student records and the disclosure of information contained in them, to establish the rights of students to inspect and review their education records, and to provide students with an opportunity to have inaccurate or misleading information on their education records corrected. See “Guidelines for Compliance with the Family Educational Rights and Privacy Act of 1974”.

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Selected University Policies

SELECTED POLICIES CONCERNING THE PROTECTION OF RIGHTS AND OTHER MATTERS

NYU Code of Ethical Conduct
NYU Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees
Affirmative Action Policy/Equal Opportunity Policy
Preventing Threatening or Violent Behavior in the Workplace
Legal Protection for Faculty Members
Procedures for Termination or Reorganization of Academic Programs
Policy on the Employment of Members of the Same Family
University Practice with Respect to Memberships and Subscriptions
Guidelines for Compliance with the Family Educational Rights and Privacy Act (FERPA)
Guidelines for Sponsored Research
Principles and Procedures for Dealing with Allegations of Research Misconduct
Policy on Academic Conflict of Interest and Conflict of Commitment
Statement of Policy on Intellectual Property
Educational and Research Uses of Copyrighted Materials Policy Statement
Statement of Policy on Honorary Degrees
University Calendar Policy on Religious Holidays

SELECTED POLICIES CONCERNING GOOD ORDER IN THE CONDUCT OF UNIVERSITY AFFAIRS

Guidelines for the Use of University Facilities
New York University Rules for the Maintenance of Public Order
Statement of Policy on Student Conduct at New York University
Student Disciplinary Procedures
Policy on Solicitation
Speakers and Other Campus Visitors
Guidelines Regarding Protest and Dissent
New York University Policies on Substance Abuse and Alcoholic Beverages
University Smoke Free Campus Policy
Memorandum

From: NYU Administrative Management Council  
To: The Senate Committee on Organization and Governance (SCOG)  
Re: Council Input To Senate Self-Evaluation  
Date: February 5, 2015

Last year as part of its recommendation for representation of the Full-time Contract Faculty, SCOG also recommended that over the course of two years the Senate undergo a major self-evaluation to examine its purpose and membership. At the same time, the Senate Executive Committee indicated that the Senate should be no larger 110-120 members, smaller than the 127 member Senate SCOG proposed as a temporary measure to achieve representation for the Full-time Contract Faculty within the time limit set by the Board of Trustees and in the absence of an opportunity to conduct a more complete evaluation.

SCOG has now begun to gather information relevant to the proposed self-evaluation, with a particular focus on the size of the Senate and how its size relates to its function. One of SCOG’s goals is to minimize any disruptions of Council functions that could occur as a result of the eventual recommendations that may result from the self-evaluation process. Accordingly, SCOG asks the Senate Councils for their input as follows by March 1, 2015:

1. Please consider your Council’s current size in relation to its functions.
   - How many Senators does your Council require to carry out its functions and effectively represent the different constituencies encompassed by your Council, both in your Council and in the Senate?

   The AMC has six senators and 11 alternate senators (including the AMC Chair and Vice-Chair), for a total of 17 people who represent the AMC on Senate and ad-hoc Senate committees. Only full senators are permitted to vote and sit on the AMC Executive Committee. We utilize all of our senators and nine of our 11 alternates to sit on senate sub-committees. The breakdown is as follows: SCOG: 1 senator, 2 alternate senators; Public Affairs: 1 senator, 1 alternate senator; Academic Affairs: 1 senator, 1 alternate senator; Financial Affairs: 1 senator, 2 alternate senators; Judicial Board: 1 senator, 3 alternate senators; Executive Board: 1 senator. There are six senate sub-committees and only six AMC senators. We just gained one additional senate seat in 2014-15, emphasizing the fact that we require one full senator on each of the sub-committees.

   The AMC functions differently than the faculty, dean and student councils in that we are comprised of Representatives and Alternate Representatives who are elected by their administrative unit (such as a school, division, or institute) for two-year terms. The number of Representatives and Alternate Representatives per unit is proportionate to the number of administrative personnel in each unit. We have 25
units with 131 representatives and 136 alternate representatives, for a total of 267 people. It is not necessary to be a Representative or Alternate Representative in order to be elected Senator; those are separate and distinct elections. However, there are eligibility requirements for election as Senator.

The primary functions of Representatives and Alternate Representatives are: (A) attending monthly Council meetings; (B) voting at Council meetings; and (C) sharing information with and getting feedback from constituents.

- Council members sit on Council Standing and Ad Hoc Committees, Senate Standing Committees, and several University Standing Committees, Ad Hoc Committees and Task Forces, requiring a substantial number of Council members.

Would a reduction in the size of your Council by one, two, or three Senators significantly hinder your Council’s ability to provide members to these various committees and task forces?

Yes, a reduction in size of our council by any number of senators would significantly hinder the AMC’s ability to provide members to these various committees and task forces. We really do not see losing Senate seats, as currently we utilize all of our senators and nine of our 11 alternates to sit on senate sub-committees. As mentioned above, the breakdown is as follows: SCOG: 1 senator, 2 alternate senators; Public Affairs: 1 senator, 1 alternate senator; Academic Affairs: 1 senator, 1 alternate senator; Financial Affairs: 1 senator, 2 alternate senators; Judicial Board: 1 senator, 3 alternate senators; Executive Board: 1 senator. There are six senate sub-committees and only six AMC senators. We just gained one additional senate seat in 2014-15.

2. Please elaborate on how members of your Council that represent the various constituencies encompassed by your Council are chosen.

- Does your Council have rules or procedures that ensure representation of the various constituencies your Council represents?

The AMC is represented on the University Senate by six Senators. The constituency of the AMC elects five of the six University Senators, as well as two Alternate Senators for each Senator except the chair. These positions are “at-large.” Two or three Senators are elected in May of alternate years to serve for the following two years. The Chairperson of the AMC holds one of the Senate seats for the duration of his/her term in office. The Vice-Chairperson holds the alternate position for the Chair.

3. How do Alternate Senators function in your Council?

- Do Alternate Senators have specified functions in your Council?
Yes, alternate senators attend Senate meetings (without vote unless they are substituting for a Senator) and sit on senate committees (with a vote in their own right).

- Do Alternate Senators have specified functions in the Senate, e.g., are they appointed to Senate Standing Committees and if so, what is the procedure to select those who are appointed?

Alternate Senators can attend Senate meetings and are assigned to Senate subcommittees. There is an attempt to match the Alternate Senators with the committee most appropriate to their interest and knowledge.

4. Please comment on possible mechanisms your Council could use to reduce its size in the event that the size of the Senate were reduced, e.g.:
   - a sudden size reduction at a time specified for the Senate size to decrease,
   - a slow size reduction by attrition as terms expire,
   - a reapportionment of the number of Senators that represent specific constituencies currently represented by your Council,
   - etc.

If forced to reduce, the AMC would consider reducing the number of alternate Senate seats by one. Since the AMC only recently gained a single seat to match the number of Senate committees, reduction in the number of Senators would be difficult.

5. Please comment on any other issues your Council believes to be a goal of the self-evaluation process or regarding the process itself.

The AMC feels that the current size of the Senate is acceptable we are functioning well and the size should remain. The AMC Senators have experienced no issues with the current, larger size. Some ideas to maintain this size would be to gain access to a bigger room for monthly meetings, allow for more remote attendance/dial-in access, and formalize the role of alternates on the Senate. As described above, the AMC utilizes both Alternate Senators and Alternate Representatives. Perhaps the other councils could establish this model to help reduce the number of full Senators.

Please feel free to reach out with any questions or concerns

Best,

Michael Hengerer
Chair, Senate Committee on Organization and Governance

email: michael.hengerer@nyu.edu
phone: 212-998-4948
RESPONSES TO SCOG QUESTIONNAIRE RE: COUNCIL AND SENATATE STRUCTURE

Question 1:
How many senators are needed to carry out your functions?

We have 27 elected Senators with one vacancy, and 36 elected Alternate Senators with nine open seats to be filled. We have placed representatives on all of the University Senate, university, and Tenured/Tenure Track Faculty Senators Council (T-FSC) committees that offered have our council representation. However, our true need is yet to be determined, as we have not yet fully developed our Full-Time Nontenure Track/Contract Faculty Senators Council (N/C-FSC) committee structure. We currently have a Steering Committee and five (5) ad hoc committees. The N/C-FSC has successfully filled 81 positions with Senators/Alternate Senators on the 28 aforementioned committees at the various levels. Given that additional N/C-FSC committees are likely to be needed with more slots to be filled, the need for our council’s representation far exceeds the size of our elected members, including both Senators and Alternate Senators.

Would a reduction hinder your ability to carry out your functions?

Given our current size and the need for representation on numerous committees as stated above, in addition to an expected increase once our N/C-FSC committee structure is developed, a reduction would likely hinder our council’s ability to carry out its work effectively and efficiently.

Question 2:
How are your representatives chosen?

The seven (7) Steering Committee members, including a Chair and Vice-Chair, were elected following nominations and elections at our second N/C-FSC meeting following the initial formation of our new council. The Steering Committee solicits and makes nominations and appointments for the aforementioned committees, as needed. The full council is then informed of all appointments at the subsequent N/C-FSC meeting.

Question 3:
How do Alternates function in the Council?

Alternate Senators are welcome to attend and participate in discussions at all meetings of the full N/C-FSC. They participate in consensus votes, and cast formal votes only if an Alternate Senator is in attendance in place of a designated Senator.
Alternate Senators having full voting privileges on committees upon which they have membership.

Do Alternate senators have specified roles?

Yes, Alternate Senators may serve on the various university, University Senate, T-FSC, and N/C-FSC committees.

Question 4: Possible mechanisms to reduce our Council?

As a new University Senate council in existence for only five months, it is premature for us to respond to this question until we have had an opportunity to fully develop our own governance structure.

5. Please comment

We strongly recommend that questions regarding the size and structure of the University Senate be addressed after we have had at least two years working with the existing new structure. The N/C-FSC has been working collaboratively with the T-FSC to find ways to streamline our common work and processes when it is feasible to do so.
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**Notes:**
Data on faculty counts are provided by the Office of Academic Appointments and Human Resources, as reported in the HRIS system. For any given year the count includes fall and spring semester of that year and the summer of the prior year. Thus, AY09-10 includes summer 2009, fall 2009 and spring 2010.

Chart updated by Office of Academic Appointments, February 2015 - Data as of November 2014
SFAC (Finance) Committee Meeting Report

February 7, 2015

Began at 12:30 pm; Adjourned at 1:30 pm

Physically present: Joseph Carter, Jamie Skye Bianco, Susan Stehlik, Ethan Youngerman

Absent: Tommy Lee

*Agenda

1. Reports from Committees on recommendations to 2015-16 budget

*Note: No approval of previous meeting minutes and no agenda item of follow-up on Fossil Fuel Divestment Working Group status report

Administrative Committee presented Budget Report

Recommended merit increase as a result of reductions in staff with increased workload.

Student Committee Budget Report

- Students requested numerous items to support their work on the Senate as well as support for student services with a main concern for printing services.
- Council recommended students redraft report and prioritize needs.

Tenure Faculty Report: in progress

- Will request a budget based on inflation, possibly 3.5%.
- Will poll tenure track faculty senators to request recommended percentage increase and strategic initiatives that may increase revenue or reduce expenses.
- Note: will consider AAUP rankings and average increase for continuing faculty

Non Tenure Track Faculty Report: in progress

- Will also poll faculty senators and consider the procedural lead of the Tenure Faculty process.

Reports are due before next meeting, March 5
TO: N/C-FSC Steering Committee  
From: Senate Finance Committee Members (Joseph Carter, Jamie Skye Bianco, Tommy Lee, Susan Stehlik and Ethan Youngerman)  

Date: February 10, 2015  

RE: Recommendation on comments to 2015-16 Budget for Full-Time Non-Tenure Track/Contract Faculty  

At the last meeting of the University Senate Finance Committee we were requested to prepare a memorandum offering budget comments on behalf of our constituents’ specifically addressing salary increases and other relevant budget issues for the upcoming academic year, 2015-16. All of our committee members met today and reached unanimous agreement on the issues and the need to poll our Council’s senators/alternates to assess their priorities.

Report to the Finance Committee  
While hard numbers are a good start, policies and guidelines can be as important if not more important, depending on the individual School’s issues. But, in all cases we agreed that a focus on getting clarity on contracts and parity on benefit rates between tenure and non-tenure faculty were of most importance. It is our recommendation that our Council supports the following requests in a report to the Senate Finance Committee:

1. Specific budget for a third party consultant to perform a compensation and contract survey of similar faculty within comparable universities  
2. Specific stand alone budget for the N/C-FSC work that we manage (with an added statement that it not be dependent on the T-FSC budget)  
3. Budget for course relief, compensation and/or service relief for Council Senators  
4. Budget for a separate office space for the N/C-FSC Council  
5. Other Issues as determined for our Senators’ issues

Request for a Poll of the Senate  
In order to complete the Report, we are requesting the Steering Committee approve polling our Council’s Senators in the following manner:

Question 1: Direct Compensation Issues  
Which of the following factors should be considered in a salary and merit budget?

Please distribute 10 points to indicate priority and importance on the following issues that affect your school:
   a) Cost of living  
   b) Inflation  
   c) Resolving compression issues (new hires coming in at higher rates than experienced faculty doing the same work)  
   d) Professional Development Funds, Conferences, Research, Travel or any cash supplements for professional development  
   e) Other

Question 2: Non Direct Compensation Issues related to performing your job professionally and effectively  
   a) Office Space  
   b) Equipment  
   c) Safety and Diversity Training  
   d) Standards for measuring teaching productivity  
   e) Teaching Release Time  
   f) Other