



NYU Shanghai
PROMOTION AND TENURE GUIDELINES
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1. Introduction

The NYU Shanghai Promotion and Tenure Guidelines (the Guidelines) set forth the principles and procedures for promotion and tenure at NYU Shanghai and reference the Promotion and Tenure Guidelines of New York University (NYU). The Guidelines are designed to support high academic standards in awarding promotion and tenure and aim to provide a comprehensive and fair review of the candidates. The successful implementation of the Guidelines depends on the leadership of the Vice Chancellor and Provost of NYU Shanghai and the Provost of NYU.

During its initial period of operation, NYU Shanghai will not have a sufficient number of tenured faculty to complete the review process without the participation of qualified tenured faculty at other NYU degree-granting campuses. These Guidelines recognize that in these initial years, NYU Shanghai will therefore require procedures for promotion and tenure that are transitional to permanent procedures. The Guidelines will be revisited in five years (2019-2020) or when NYU Shanghai gains sufficient permanent faculty strength across many or most of its programs, whichever comes first.

These Guidelines outline the promotion and tenure process and describe the roles played by the Faculty Review Committee (FRC), the relevant Dean at NYU Shanghai (the NYU Shanghai Dean), the relevant academic department or unit at NYU NY, the NYU Shanghai Promotion and Tenure Committee (P&TC), and the Provost of NYU Shanghai; and the Vice Chancellor of NYU Shanghai and the Provost of NYU, who together make the final decision of promotion and tenure.

2. Conferring Tenure: General Criteria

A high standard of excellence and effectiveness in research and teaching is a prerequisite for tenure at NYU Shanghai, as is the promise of effective contributions toward the mission and intellectual life of NYU Shanghai. In order to have a reasonable prospect of gaining tenure at NYU Shanghai, a candidate must have a record of excellent achievement - and recognition of this achievement by leading scholars in the candidate's field - in scholarly research and publication or in creative work, together with a record of outstanding teaching integrally shaped by leading scholarship or creative work. There also must be a reasonable expectation of sustained future accomplishment at the same high level. In the absence of such a record and prospects, tenure will not be granted.

It is neither desirable nor possible to define a universal standard of measurement for tenure or promotion. Each case must be examined in detail by making explicit comparisons, delineating special strengths, and acknowledging limits or weaknesses. Context may be a criterion in judging the strength of a particular candidate - context specific to the candidate's field and research aims and trajectory, and context specific to the mission and needs of NYU Shanghai.

The process of evaluating a candidate for tenure is an inquiry. Is the candidate for tenure among the strongest in his or her field, in comparison with other individuals in the same field at similar points in their careers, taking into consideration the goals of NYU Shanghai and the NYU Shanghai program(s) in which the candidate is appointed? Is the candidate well positioned for further high-impact contributions to the candidate's field and the scholarly mission of NYU Shanghai moving forward?

In short, research, teaching, and service to the intellectual community *in toto* will be used as the benchmark for granting tenure or promotion at NYU Shanghai. All these factors must be carefully and openly discussed and weighed, within appropriate and ethical limits of confidentiality, in reaching a recommendation on tenure or promotion.

3. Guidelines and Procedures for Promotion with Tenure

Promotion and tenure must conform to these Guidelines. The following sections lay out the responsibilities of the various committees and parties that participate in the assessment of the candidate's case. Questions of interpretation of these Guidelines will be determined by the Provost of NYU Shanghai in consultation with the Vice Chancellor of NYU Shanghai and the Provost of NYU.

3.1 Mandatory Nature of Review

All candidates for tenure will be reviewed in accordance with the tenure clock requirements set forth in Section 5 of these Guidelines. The tenure application review normally occurs in the year preceding a candidate's final non-tenure year.

If a candidate tenders a letter of resignation prior to the mandatory review, a Docket and recommendation need not be prepared or submitted. The letter of resignation must make clear that the resignation was freely tendered without duress.

3.2 Faculty Review Committee (FRC)

The FRC is appointed by the NYU Shanghai Dean in consultation with the candidate's relevant academic unit at NYU NY and is composed of 3-5 distinguished senior tenured faculty members who are not members of the NYU Shanghai P&TC and who will not participate in the subsequent assessment of the candidate by the candidate's academic unit at NYU NY. These members will be drawn from the NYU Shanghai permanent faculty in the candidate's field (if any), the NYU Shanghai permanent faculty in related fields (if any), and, as needed, faculty in the candidate's field at other NYU degree-granting campuses, and faculty from other universities. The Chair of the FRC is appointed by the NYU Shanghai Dean from among the members of the FRC and is responsible for overseeing the work of the FRC.

The FRC is responsible for preparing and reviewing the candidate's Docket (see Sections 3.3 and 3.6 below) and preparing a Report (see Section 3.5 below) that includes a summary of its examination of the Docket and a recommendation on promotion and tenure to the NYU Shanghai Dean. The duty of senior tenured faculty to give advice on tenure decisions is one of their highest responsibilities. The process is highly dependent upon their thoroughness, fairness, and rigor.

3.3 Preparation of the Docket

The FRC is responsible for preparing a candidate's promotion and tenure docket – an evaluation of the candidate's record (Docket). A Docket that is properly prepared, detailed, and well-documented is the most effective instrument for conveying the essence of the FRC's evaluation of the candidate. A Docket that provides a thorough and honest appraisal of the strengths and weaknesses of the

candidate is most useful to subsequent evaluators for it gives substantive meaning and texture to the evaluation.

The candidate's Docket includes (a) materials submitted by the candidate to the FRC, (b) materials collected and appended to the Docket file by the NYU Shanghai Dean, and (c) additional materials collected by or submitted to the FRC or the NYU Shanghai Dean.

Materials Provided by Candidate

The candidate must submit the following documents:

General

1. Current complete *curriculum vitae*, (CV)

Teaching

1. Candidate's personal statement on teaching philosophy and practice
2. List of courses taught
3. Course syllabi
4. List of NYU Shanghai and other advisees (if applicable)
5. List of Honors projects, Master's theses, and PhD dissertation candidates supervised or dissertation committees served on
6. Teaching evaluation from students and/or colleagues

Research

1. Candidate's personal statement on research accomplishments and objectives
2. Copies of the candidate's scholarly work and/or records of his or her creative work
3. Candidate also may submit such supplementary materials as readers' reports for unpublished manuscripts or creative works in progress, reports of grant review panels, published reviews of scholarship or curatorial works, etc.

Service

1. Candidate's personal statement on service (including work on committees and contributions toward the work and intellectual community of NYU Shanghai)
2. Candidate's contributions to broader profession or society

The candidate may provide a single personal statement that combines in clearly separated sections information on teaching philosophy and practice, research accomplishments and objectives, and service record or three separate personal statements.

Materials Collected by NYU Shanghai Dean

The NYU Shanghai Dean will collect, and append to the candidate's Docket, the following documents:

1. Student evaluations (if any)
2. Peer reports, including formal assessments of teaching effectiveness arrived at by direct observation by members of the FRC or other tenured faculty (if any)
3. List of highly qualified external evaluators contacted, and for those who provide an

evaluation, their scholarly or creative credentials and an explanation of why they were chosen

4. Letters of evaluation from at least five outside evaluators
5. Reasons given by the evaluators who decline to write letters
6. Text of the letters requesting evaluation sent to each of the outside evaluators
7. Form 106 (Tenure With or Without Promotion)
8. Form 101 (Promotion Only)
9. Course Listings Form

Additional Materials

In addition to the materials set forth above, the candidate may submit, and the NYU Shanghai Dean and FRC may request, any additional evidence to facilitate an assessment of the teaching, research, and service impact of the candidate. Materials submitted by the FRC, the NYU Shanghai Dean, and/or Provost of NYU Shanghai should appear in a section of the Docket titled “Supplementary Materials.” Examples might be readers’ reports for unpublished manuscripts, creative works in progress, reports of grant review panels, published reviews of scholarship or curatorial works, etc.

3.4 Evaluator Guidelines

The NYU Shanghai Dean in consultation with the FRC will solicit at least five letters, and typically no more than eight, from outside evaluators. These evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates. If the FRC learns later that it has inadvertently solicited an opinion from someone who was close to the candidate, this must be noted in the Report. Nor can these required evaluators be scholars that have been suggested by the candidate.

However, the FRC also may choose to include additional letters from additional evaluators that have been suggested by the candidate or who are co-authors or the thesis advisor or other close associates of the candidate, provided that this information is clearly noted in the Docket.

The candidate also may identify one or two scholars who he/she believes would not – for professional or personal reasons – provide a balanced evaluation. The FRC may in its own discretion accept the candidate's request to exclude a scholar as an evaluator, or it may take other steps based on the candidate's claim, such as seeking to obtain additional letters from outside evaluators that have been suggested by the candidate or who are co-authors or the thesis advisor of the candidate, provided that this information is clearly noted in the Docket.

These Guidelines and the evaluation process are subject to NYU's policy regarding the confidentiality of such external letters and other tenure decision materials can be found in Section C of the statement on [Legal Protection for Faculty Members](#).

Criteria for Selecting Outside Evaluators

Evaluators normally will hold a tenured position (as a full professor in the instance of cases of promotion to full professor) in an institution of recognized distinction as a research university, a position of equivalent rank in an academic unit that does not grant tenure, or a position of

equivalent rank in a non-academic institution (e.g., laboratory, research institute, museum, or arts company).

Evaluators must be recognized leaders in the candidate's discipline. They must be representative of their subject, broadly defined, and not be drawn exclusively from narrow specializations. At least one of the evaluators must be a scholar or artist identified with broader sectors of the discipline in question. The list of evaluators may include those at institutions located outside the candidate's home country.

The Docket must include specific explanations for the choice of the evaluators contacted. The explanations must include their CVs, and a statement as to why this particular evaluator's opinion matters (e.g., evaluator is the most widely published author in the candidate's field; evaluator is in a different discipline but edits the premier journal in the candidate's field, etc.).

Letter of Solicitation

Letter of solicitation to potential evaluators must come from the Chair of the FRC or the NYU Shanghai Dean and must follow the prototypes in Appendix B to these Guidelines. The letter must explicitly request comparative rankings with the candidate's peers, and it must not in any way imply that a positive or negative response from the evaluator is desired.

All evaluators must be provided with the same CV, personal statement, and copies or descriptions of the candidate's work. If unpublished work or creative work in progress is to be part of the Docket, the FRC must ask all evaluators to comment on its quality subject to their confirmation that the content of the unpublished or creative work in progress be kept confidential.

The confidentiality of letters from outside evaluators must be scrupulously preserved. Neither the names of evaluators nor the contents of their letters, including in summary form, may be communicated to the candidate or anyone else beyond individuals at NYU Shanghai and NYU who are involved in the process of evaluating the candidate for promotion and/or tenure at NYU Shanghai or NYU. Evaluators must be assured in writing that their letters will be held in confidence in accordance with these Guidelines, except as may be required by applicable law.

The Report must include a separate section consisting of a list of all potential evaluators who were asked to write on behalf of the candidate, including those who declined. All FRC communications with potential evaluators must be documented and included in the Docket, as well as an explanation for each of the declinations.

3.5 Faculty Review Committee Report

The FRC must undertake with utmost seriousness its examination of a candidate's Docket, including the scholarship or creative work, comparative evaluations, peer review, and faculty colleague consultations. Assessments must not ignore a candidate's shortcomings, because assessments that attempt to gloss over imperfections are more likely to arouse suspicion than support. It is far more helpful to have a balanced discussion of a candidate's strengths and weaknesses.

It is essential that tenured faculty members who participate in the promotion with tenure review process uphold high standards of responsibility and ethical behavior. Responsibility includes the obligation to give careful attention to the materials in the Docket and to share the FRC's report, but not the details of its discussions, with eligible NYU Shanghai faculty and other eligible NYU colleagues. Ethical behavior includes a clear obligation to maintain the confidentiality of all proceedings, since confidentiality facilitates honest and open discussion.

The Chair of the FRC has ultimate responsibility for ensuring that the FRC upholds these processes of inquiry in its recommendation to the NYU Shanghai Dean. A Report that is considered by the NYU Shanghai Dean to constitute weak advice will be returned to the FRC with a request that the problem be corrected.

A complete version of the Docket must be made available to each member of the FRC for examination. After the FRC has had sufficient time to review the Docket, the Chair of the FRC must present the candidate's case for promotion and tenure to the FRC in a special meeting, where not more than one member of the FRC may be absent. FRC members who participate in the special meeting by videoconference or telephone will be considered "present".

After the presentation of the candidate by the Chair and a discussion among the members present, the Chair will call a vote. Each member of the FRC has one vote. All balloting must be done in secret. Votes of absent members must be recorded and reported separately to distinguish them from votes made with the benefit of the open discussion of the case.

The FRC will prepare a Report that summarizes its analysis of the Docket, reflects the requirements of these Guidelines, and sets forth its recommendation and the numerical vote of the FRC with respect to promotion and tenure for the candidate. Each member of the FRC will sign the Docket and attest that he/she has read the Report and the Docket and that the Report accurately reflects the opinions of the members of the FRC. The Report along with a complete version of the Docket must be submitted to the NYU Shanghai Dean.

Reasonable Doubt

Reasonable doubt for granting tenure precludes a favorable recommendation. A common indicator of reasonable doubt is a Report that fails to achieve consensus. If reasonable doubt exists, the FRC must indicate as much to the NYU Shanghai Dean; and the NYU Shanghai Dean must indicate the same to the Provost of NYU Shanghai. Re-voting should occur only on new information that was previously not considered by the FRC. Re-voting must not be undertaken for the sole purpose of achieving near consensus or unanimity, or to avoid reporting a split vote.

Typical Timeline for Review Committee

Typically the completed Report and Docket must be forwarded to the NYU Shanghai Dean by October 15 and no later than six weeks before the P&TC will meet. For faculty with a mid-year tenure review (contract start date of January 1), the deadline for submission of the completed Report and Docket is August 15 and no later than six weeks before the P&TC will meet. Any questions regarding the progress of the completed Report and Docket should be referred to the NYU Shanghai Dean.

3.6 Review Parameters: Specifications and Considerations

Personal Statement

The review by the FRC of the candidate's personal statement in the teaching and research sections must consider the trajectory of the candidate's career, including a description of the relationships among works already published, distributed, performed, screened, or installed, a description of new projects planned or under way, and a description of the candidate's teaching mission as reflected in particular courses.

Scholarly and Creative Work

The candidate's scholarly and creative work must be carefully reviewed by the FRC. The assessment of a candidate's scholarly research or creative works must address issues of intellectual, scholarly, and creative quality, originality, significance, impact, and future development. The quality and significance of the journals or venues of distribution or exhibition in which the candidate's work has appeared must be appraised. If they are not the most prestigious, relevant and meaningful venues in the field, those must be named, and the absence of such achievements must be considered. The Report must indicate what parts of the candidate's work are based on the dissertation or thesis work, and for such work, what advances have been made since the completion of the highest degree. In fields where external funding is important and generally available, and if NYU Shanghai faculty are eligible to apply for such funding, the candidate's success at securing grants must be evaluated in relation to reasonable expectations for scholars in the same field and at the same stage of professional development. The assessment must list and appraise the relative competitiveness of grants and fellowships received by the candidate.

Scholarly Impact

The candidate's position in the field and the discipline as a whole must be described as precisely as possible. This appraisal must include comparisons with other scholars, both in the discipline at large and within NYU Shanghai when appropriate. While most comparisons should focus on scholars at a similar career stage, the relative promise of matching the accomplishments of more senior scholars must be addressed.

The Report and the recommendation to the NYU Shanghai Dean must explain the importance of the candidate's field of expertise to the discipline and the work of NYU Shanghai. In what ways does the candidate's strength in that field advance NYU Shanghai's current goals? How does the candidate's field supplement other existing or proposed strengths in the NYU Shanghai curriculum and research agenda, and vice versa? How does the candidate's field and performance affect the standing and visibility of NYU Shanghai, along with its attractiveness to top undergraduate and/or graduate students in the field?

Teaching

The assessment of teaching performance must appraise the quality and pertinence of courses taught

or developed, provide an assessment of teaching strengths, and evaluate the candidate's contributions to the teaching program of NYU Shanghai. Specific evaluation and an analysis of the effectiveness of undergraduate and/or graduate teaching must be provided in narrative form. Evidence should be obtained by first-hand observation of class sessions by either a member of the FRC or another tenured colleague and may be supported through review of such materials as course syllabi and student evaluations. A list of all PhD dissertations, Master's thesis projects, and/or undergraduate Honors Projects supervised by the candidate, including those in progress, should be appended, where relevant.

Service

The assessment of service must indicate the quality and significance of service to NYU Shanghai. Specific comments, including testimony from fellow committee members, specification of authorship of particular reports and the like, are helpful. The assessment of service may include a discussion of participation in professional organizations in the candidate's field.

3.7 NYU Shanghai Dean

The process for tenuring faculty shall be guided by the “[core and essence](#)” principles that ensure appropriate input by the NYU leadership together with senior leadership in NYU Abu Dhabi and NYU Shanghai. (See [Coordinated Faculty Hiring](#))

As part of that process, upon receipt of the Report and Docket, the NYU Shanghai Dean will consult with the relevant NYU NY unit (typically the relevant NYU NY department) and solicit an assessment of the file. This assessment by the NYU NY department is advisory, not dispositive. It is up to the chair of the relevant department or unit to determine how the assessment should be conducted, and that chair should communicate the assessment to the NYU Shanghai Dean in writing.

When drafting his or her own recommendation, the NYU Shanghai Dean will take into consideration the Report, including the vote of the FRC and the Docket, as well as the assessment of the relevant NYU NY unit. The NYU Shanghai Dean's recommendation must be a balanced assessment of the candidate's performance and promise. The NYU Shanghai Dean's assessment on the service contribution of the candidate, as well as how the candidate contributes to the evolving mission and needs of NYU Shanghai, should be particularly detailed. The NYU Shanghai Dean ordinarily may solicit additional reviews, subject to the confidentiality requirements for evaluation letters set forth in these Guidelines, for his or her own use from outside evaluators on scholarship or from within the university on teaching and service (or both). The NYU Shanghai Dean's recommendation must include a description for non-specialists of the candidate's work's relevance to his or her discipline or field. It may also be helpful for the recommendation to include information about the usual criteria for excellence in the candidate's discipline (e.g., quality of venues within which the work appears).

The NYU Shanghai Dean must forward the Report, including the vote of the FRC and the Docket, and the assessment of the NYU NY unit to the Provost of NYU Shanghai along with his or her own recommendation on the candidate. Recommendations that do not deal with evident weaknesses, in the case of a positive recommendation, or that do not note evident strengths, in the case of a negative recommendation, may be returned for revision to the NYU Shanghai Dean by the

Provost of NYU Shanghai.

3.8 Promotion & Tenure Committee (P&TC)

The Provost of NYU Shanghai will appoint a P&TC, which will be a standing committee consisting of at least five full professors, a majority of whom will be drawn from the faculties of NYU Shanghai and NYU NY, and may include full professors from other universities during the initial period of NYU Shanghai's operations. The Provost of NYU Shanghai may appoint two additional members to the P&TC at his or her own discretion. Typically, members of the P&TC will serve for a term of three years with potential extension for an additional two years (although initial appointments may be for a shorter period to facilitate staggering of the members' terms). The Provost of NYU Shanghai and the Senior Vice Provost and/or Associate Provost of NYU Shanghai may participate in meetings of the P&TC without vote and with voice confined to procedural issues or responses to questions by the P&TC.

The Provost of NYU Shanghai will provide to the P&TC for examination of a candidate the Report, including the vote of the FRC and the Docket, the assessment of the NYU NY unit, and the recommendation of the NYU Shanghai Dean. If there are questions in any particular case, the NYU Shanghai Dean and/or the Chair of the FRC may be asked to attend a meeting of the P&TC to clarify the Docket or to provide additional information. The P&TC may solicit additional information including external letters from experts in the candidate's field, but not from the one or two scholars the candidate believes would not – for professional or personal reasons – provide a balanced evaluation.

After the P&TC has had sufficient time to review the Docket and recommendations, the members will vote on the candidate in a special meeting, where not more than one member of the P&TC may be absent. P&TC members who participate in the special meeting by videoconference or telephone will be considered "present". Each member of the P&TC has one vote. All balloting must be done in secret. Votes of absent members must be recorded and reported separately to distinguish them from votes made with the benefit of the open discussion of the case.

The P&TC will submit to the Provost of NYU Shanghai its recommendation, including the numerical vote of the P&TC with respect to promotion and tenure for the candidate. Each member of the P&TC will sign the recommendation and attest that the member has read the recommendation and it accurately reflects the opinions of the members of the P&TC.

3.9 Provost of NYU Shanghai

The Provost of NYU Shanghai will review the Report, including the vote of the FRC and the Docket, the assessment of the NYU NY unit, and the recommendations of the NYU Shanghai Dean and the P&TC. The Provost of NYU Shanghai may solicit additional information and/or external reviews, but not from the one or two scholars the candidate believes would not – for professional or personal reasons – provide a balanced evaluation, and/or seek a consultation with the FRC. To ensure that the Provost of NYU Shanghai does not solicit evaluators already contacted by the FRC, the Provost of NYU Shanghai should consult the Docket, which includes the list of all evaluators who were solicited by the FRC.

The Provost of NYU Shanghai makes his or her recommendation on promotion and tenure for a

candidate to the Vice-Chancellor of NYU Shanghai and the Provost of NYU. If the recommendation of the Provost of NYU Shanghai is contrary to the recommendations of the FRC, the NYU Shanghai Dean, and/or the P&TC, the Provost of NYU Shanghai will provide the NYU Shanghai Dean and Chair of the FRC with the reasons. The NYU Shanghai Dean and the Chair of the FRC will then have ten days in which to provide further information or counter-argument before the Provost of NYU Shanghai's recommendation is made to the Vice Chancellor of NYU Shanghai and the Provost of NYU.

3.10 Vice Chancellor of NYU Shanghai and the Provost of NYU

In accordance with the “core and essence” principles, the Provost of NYU Shanghai will provide the Vice Chancellor of NYU Shanghai and the Provost of NYU with the Report, including the vote of the FRC, the Docket, the assessment of the NYU NY unit, and the recommendations of the NYU Shanghai Dean, the P&TC, and the Provost of NYU Shanghai.

All recommendations for promotion and tenure require the approval of both the Vice Chancellor of NYU Shanghai and the Provost of NYU. If either the Vice Chancellor of NYU Shanghai or the Provost of NYU does not approve, tenure will be denied. The Vice Chancellor of NYU Shanghai and the Provost of NYU normally communicate their decision on tenure to the Provost of NYU Shanghai within three months of receiving the candidate's materials but in any event not later than the deadline for a mandatory decision. The Provost of NYU Shanghai will inform the NYU Shanghai Dean and the candidate of the decision on tenure within three weeks of receipt of the decision of the Vice Chancellor of NYU Shanghai and the Provost of NYU.

If the Vice Chancellor of NYU Shanghai and/or the Provost of NYU disagree with the recommendation of the Provost of NYU Shanghai, they will discuss the case with the Provost of NYU Shanghai. If this process leads the Vice Chancellor of NYU Shanghai and/or the Provost of NYU to believe there are grounds for a review of the recommendation, they may decide to consult internal and/or external experts to advise them on the promotion and tenure decision.

3.11 Joint Appointments

Joint appointments are one category of [cross appointments](#) that can be across departments within schools, across schools, or across campuses. In the case of a faculty member jointly appointed between a unit of NYU Shanghai and another unit of NYU, the relevant department and/or program chairs and deans in both units, the Provost of NYU Shanghai, the Vice Chancellor of NYU Shanghai, and the Provost of NYU all must be involved in the review process. The process must comply with these Guidelines for the NYU Shanghai appointment and the New York or Abu Dhabi guidelines for the NYU appointment. The Chair of the FRC and the Chair of the unit at NYU NY or NYU Abu Dhabi must forward his or her unit's recommendation to the responsible deans of NYU Shanghai and NYU NY or NYU Abu Dhabi following mutual consultation. If the FRC and the relevant NYU NY or NYU Abu Dhabi unit arrive at significantly different judgments on whether to grant tenure, the two deans ordinarily will invite the Chair of the FRC and the Chair of the unit at NYU NY or NYU Abu Dhabi to discuss the case together. The relevant deans of NYU Shanghai and NYU NY or NYU Abu Dhabi will forward a joint decision to the Provost of NYU Shanghai, who will add her or his recommendation and forward the complete Docket to the Vice Chancellor of NYU Shanghai and the Provost of NYU. If the two deans in Shanghai and New York

find themselves in disagreement, they will discuss the case jointly and individually with the Provost and Vice Chancellor of NYU Shanghai, and the Provost of NYU. All recommendations for promotion and tenure require the approval of both the Vice Chancellor of NYU Shanghai and the Provost of NYU.

4. Additional Procedures for Promotion to Full Professor and Tenured External Appointments (Lateral Hires)

4.1 Promotion to Full Professor

For promotions to full professor, the inquiry and process is essentially analogous to that for a tenure-track candidate. Is the candidate for promotion among the strongest in her/his field, in comparison with individuals at similar points in their careers at comparable prominent institutions or in other relevant settings? In addition, there is a presumption that the candidate will have achieved a significant milestone or marker beyond the work considered at the point of awarding tenure. The normal expectation will be work that marks significant new scholarly research or artistic achievement since the conferring of tenure. The Docket must clearly indicate which work distinguishes the candidate's achievements since the last review for promotion.

The Provost of NYU Shanghai ordinarily will make a recommendation to the Vice Chancellor of NYU Shanghai and Provost of NYU within six months from the start of the review process. A final decision typically will be made by the Vice Chancellor of NYU Shanghai and the Provost of NYU within six weeks of receipt of the Provost of NYU Shanghai's recommendation.

4.2 Tenured External Appointments (Lateral Hires)

The tenure review of external appointees will follow the procedures outlined in Section 3. For appointments with tenure, the vote and authority reside with eligible professors on the FRC, which will consist of faculty with equivalent or higher rank. The vote should be taken by closed ballot.

It is helpful for the Report to include the justification for establishing a tenured position within the candidate's field of expertise. The Report also must include a summary of the recommendations of the Search Committee and must identify the external evaluators consulted by the Search Committee in the process. The Report also may include letters from other Search Committee evaluators as supplemental materials to the Docket. In all cases a full Docket must be submitted in accordance with Section 3.3.

The Docket may include a description of the candidate's teaching and an indication of how the candidate will meet the teaching needs of the department. If evaluations are not available, alternative assessment of teaching ability must normally be provided by the Chair of the FRC.

The Provost of NYU Shanghai will make his/her recommendation to the Vice Chancellor of NYU Shanghai and Provost of NYU. This constitutes the definitive recommendation and must be accompanied by the Docket, NYU Shanghai Dean's recommendation, FRC Report and vote, and the recommendation of the P&TC, in accordance with Section 3.6.

5. Tenure Clock

5.1 Tenure Clock

The tenure clock for faculty is set forth in rules adopted by the NYU Board of Trustees, which can be found in the [Statement on Academic Freedom and Tenure](#) and [Appointment and Notification of Appointment](#), Titles I and II, respectively, of the NYU Faculty Handbook. However, until these Guidelines are revisited, tenure-track assistant professors starting on a new tenure-track line with NYU Shanghai, either in Shanghai or New York, may be appointed as assistant professor faculty fellows for their first year, which will not count towards their tenure clock. In these cases, the tenure clock will commence in the second year.

A typical tenure clock can be found in Appendix A to these Guidelines.

Acceleration of Schedule

Proposals for early promotion to associate professor and for tenure will occur only under extraordinary circumstances. Indeed, it is not normally in the best interest of a candidate or of the institution to propose candidates for tenure ahead of schedule. The Provost of NYU Shanghai must be consulted prior to the preparation of an early case. The best reason for proposing early consideration is a record of extraordinary accomplishment that can be readily distinguished from other, more typical strong cases. It must be noted that external letter writers must be asked to comment specifically on the special grounds for an early decision. The NYU Shanghai Dean and the FRC also must specifically address this issue. Even with these affirmative recommendations, the Provost of NYU Shanghai will not recommend early tenure unless the case is extraordinary and compelling in relation to the already high expectations for candidates reviewed under the usual schedule.

Stopping the Tenure Clock

Tenure clock stoppage will be granted in accordance with the [Tenure Clock Stoppage for Personal Reasons](#) (Approved by the NYU University Senate March 1, 2007) in the NYU Faculty Handbook.

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 NYU Shanghai 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 NYU Shanghai Dean and the Provost of NYU Shanghai.

In other cases, a request for tenure clock stoppage normally requires advance approval by the NYU Shanghai Dean, the Vice Chancellor of NYU Shanghai, the Provost of NYU, and the Board of Trustees of NYU. [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.

The granting of tenure clock stoppage does not influence granting of tenure in the future.

6. Guidelines for Appeal

In the event of a negative decision, the candidate has the right to file a grievance in accordance with the [Faculty Grievance Procedures](#) in the NYU Faculty Handbook.

Appendix A. Typical Timeline

ITEM	ACADEMIC YEAR – September Start	CALENDAR YEAR – January Start
Candidate submits packet to NYU Shanghai Dean	June 15	November 15
FRC Report & NYU NY unit recommendation due to NYU Shanghai Dean	October 15	March 15
NYU Shanghai Dean submits Docket to P&TC	November 15	April 15
Provost of NYU Shanghai Notifies Candidate	February 1	July 15

Appendix B. Sample Solicitation Letters to Outside Evaluators

A. External Appointment of Associate or Full Professor with Tenure

Dear [X]:

Professor [X], currently [Title] at [Institution], is being considered for a tenured faculty position at NYU Shanghai. His/her appointment will be at the rank of XX with tenure. Because of your knowledge of the field, we would very much appreciate your evaluation of this tenure case.

NYU Shanghai is a portal of New York University's global network, a multi-site, organically connected network encompassing key global cities. Currently, the network has three degree-granting campuses - New York, Shanghai, and Abu Dhabi - complemented by many additional academic centers across six continents. Our goal is to be both a premier research university and a highly selective liberal-arts-and-sciences college. Hence, our faculty aspire to be outstanding researchers as well as transformative teachers. It is important to note that faculty seeking tenure in the first years since NYU Shanghai opened have been given the task of setting up new structures and institutional frameworks, in addition to the normally high expectations of research and teaching.

We are enclosing Professor [X]'s curriculum vitae and his/her teaching and research statements with this letter. Also enclosed are selected copies of his/her published work. If you need copies of any other publications or documents, please let us know as soon as possible, and we will forward these materials to you.

We ask that you provide a brief, but explicit and specific, description of Professor [X]'s major contributions to his/her field of research. We also ask that you provide a candid assessment of the strengths and weaknesses of Professor [X]'s research with respect to intellectual quality, originality, scope, and significance.

We also request an explicit comparison of his/her work with that of prominent individuals working in the same field who are at comparable levels in their careers. Any additional comments you consider pertinent would be welcome. If you have knowledge of Professor [X]'s teaching ability or service to NYU Shanghai and/or the professional community, we would appreciate your commentary on these matters as well.

Finally, we would appreciate your judgment of whether or not Professor [X] would be considered a strong candidate for tenure in other leading departments in the field.

We will need your letter by [X], or sooner if possible. We would also be very grateful if you could forward with your letter a current curriculum vitae.

Let me assure you that your letter will be kept confidential to the extent allowed by law. It will be available only to the professors charged specifically with the review of this candidate, as well as appropriate decision makers and review panels within NYU Shanghai and NYU.

Thank you for generously assisting us. We realize this is a time consuming task, but, as you know, it is a central element of the academic process of peer review.

Sincerely,

B. Promotion and Tenure Review

Dear [X]:

Professor [X] of NYU Shanghai is being considered for a tenured appointment at the rank of full professor in [Subject]. Because of your knowledge of the field, we would very much appreciate your evaluation of his/her research.

NYU Shanghai is a portal of New York University's Global Network University, a multi-site, organically connected network encompassing key global cities. Currently, the network has three degree-granting campuses - New York, Abu Dhabi, and Shanghai - complemented by 12 additional academic centers across six continents. Our goal is to be both a premier research university and a highly selective liberal-arts-and-sciences college. Hence, our faculty aspire to be outstanding researchers as well as transformative teachers. It is important to note that faculty seeking tenure in the first years since NYU Shanghai opened have been given the task of setting up new structures and institutional frameworks, in addition to the normally high expectations of research and teaching.

I am enclosing Professor [X] 's curriculum vitae with this letter. Also enclosed are copies or descriptions of his/her work.

We ask that you provide a brief, but explicit and specific, description of Professor [X]'s major contributions to his/her field of research. We also ask that you provide a candid assessment of the strengths and weaknesses of Professor [X] 's research with respect to intellectual quality, originality, scope, and significance.

We also request an explicit comparison of his/her work with that of prominent individuals working in the same field who are at comparable points in their careers. Any additional comments you consider pertinent would be welcome. If you have knowledge of Professor X's teaching ability or service to NYU and/or the professional community, we would appreciate your comments on these matters as well. Please indicate in your letter how long and in what specific capacities you have known Professor [X].

Finally, we would appreciate your judgment of whether or not Professor [X] would be considered a strong candidate for appointment as a tenured full professor in other leading departments in the field.

We will need your letter by [X], or sooner if possible. We would also be very grateful if you could forward with your letter a current curriculum vitae.

Let me assure you that your letter will be kept confidential to the extent allowed by law. It will be available only to the full professors charged specifically with review of this candidate, as well as appropriate decision makers and review panels within NYU.

Thank you for generously assisting us. I realize this is a time-consuming task, but, as you know, it is a critical element of the academic process of peer review.

Sincerely,