



## POLICY ON CONTINUING CONTRACT (“CLINICAL”) FACULTY

Effective February 1, 2017  
Revised May 3, 2019

### 1. Background

In response to NYU’s changes to its bylaws in 2015, Stern’s existing policy on clinical faculty was updated. The revised policy is consistent with, and incorporates by reference, the University’s Faculty Policies Applicable to Full-Time Continuing Contract Faculty, which may be found in the Faculty Handbook [here](#).

The Faculty Handbook requires that each school establish its own policies governing the appointment, review and reappointment of full-time continuing contract faculty, conduct a five-year review of the school’s policy, and establish a formal process for periodic reviews thereafter. Any amendment to this Policy must be in writing, and submitted to the Stern Faculty Council and to Stern’s representatives to the Full-time Continuing Contract Faculty Senators’ Council for discussion and approval.

This policy is being implemented by the Stern School of Business to supplement University policies applicable to full time continuing contract faculty (at the Stern School, bearing the “clinical” title) . If at any point the Stern policy is inconsistent with NYU policies, the NYU policies then in effect will control. As with all NYU policies, this policy is subject to change and it is the policies in effect at the time of the action that apply.

### 2. Titles and Qualifications

The Stern School has a limited number of full-time continuing contract positions for highly qualified individuals whose professional competence, teaching capabilities and experience support the educational mission of the School. All faculty members who hold these positions are expected to be actively engaged in teaching and service responsibilities, and to bring to the school and classroom important subject matter or industry expertise. Research is not usually part of a clinical faculty member’s formal responsibilities, yet formal administrative duties may be. Although clinical faculty do not have tenure, they are typically contracted for multiple years. In the Stern School, most new full-time continuing contract appointments are made at the rank of Clinical Assistant Professor, but initial appointments at higher ranks may be appropriate for individuals with noteworthy experience, as outlined below.

**Clinical Assistant Professor:** Typically the initial appointment for clinical faculty members who have limited prior teaching experience.

**Clinical Associate Professor:** Typically an experienced teacher with a strong record of either sustained achievement in the classroom or industry experience. Substantial service contribution to the school is expected.

**Clinical Professor:** Typically an experienced teacher with a record of either extraordinary achievement in the classroom or significant industry leadership experience, combined with significant contributions to the School’s reputation or significant exercise of administrative responsibilities.

Clinical Professors with the honorific designation of “Professor of Management Practice”: This title is reserved for faculty who join Stern after retiring from distinguished careers in fields related to business practice. These individuals contribute to the teaching and research mission of the school by bringing "managerial practice" into the classroom and serving as an important resource for their colleagues.

### **3. Responsibilities**

Clinical faculty members play a key role at Stern. Their primary responsibility is teaching courses that are critical and often required components of the School's curriculum, including both undergraduate and graduate core courses. By contributing to the academic process at Stern through their full-time commitment to teaching and through service activities, clinical faculty complement the tenured and tenure track faculty in attaining Stern's mission. Service activities include directing key academic programs and centers, initiating new programs, course coordination, committee work, advising students and working with student clubs. Their teaching load, and any service or administrative responsibilities that affect that teaching load, will be defined in their contract.

### **4. Governance**

In accordance with University Bylaw 82 (c), the clinical faculty at Stern may hold its own faculty meetings and may participate in joint meetings with Stern's tenured/tenure track faculty. At the department level, clinical faculty participate as members of the department faculty in department governance, including voting on matters of department governance, with the exclusion of matters related to promotion and tenure of tenure track faculty, the hiring of tenured and tenure track faculty, and matters affecting his or her own status on the faculty at NYU.

### **5. Terms of Appointment**

Appointments and reappointments of clinical faculty are made for fixed renewable terms. The contract will stipulate start and end dates of the appointment, an indication of whether the appointee is eligible to be considered for reappointment, responsibilities, compensation and agreement to be bound by applicable University policies. In accordance with University Bylaw 87 (b), the appointment of clinical faculty automatically terminates at the close of the period of time stipulated in the contract, unless there is an official notice of renewal.

The initial appointment term of clinical faculty of all ranks, including the Professor of Management Practice, is typically for one to two years, depending on prior teaching experience. Following their initial term of appointment, clinical faculty may hold renewable contracts of varying lengths: “short contracts” of one or two years, or “long contracts” of three years or longer. In most cases, renewals will be for three year terms. Short contracts may be used in situations where (a) there are questions or concerns about performance, (b) there is uncertainty about future needs and student demand for the courses that the clinical faculty member teaches, or (c) at the faculty member's request. In such cases, the individual will be notified of the reason for the shorter contract. Contracts for longer than three years may be offered to clinical faculty members with a demonstrated record of continuous exceptional teaching performance and an unusual level of service or academic contribution to the school. While such longer contracts may be offered at any time following the initial appointment, faculty will be considered for such contracts no later than the completion of two three-year terms.

Unless otherwise specified in the individual contract, clinical faculty appointments may be renewed indefinitely.

## **6. Establishing a Position**

The decision to establish a clinical faculty position as opposed to a tenure-track position requires consultation with members of the department concerned and approval of the dean, and is reviewed by the Provost as part of the annual staffing plan. All clinical faculty members occupy full-time faculty budget lines.

## **7. Initial Appointment**

Nominations for appointments of candidates to clinical faculty positions are put forward by the respective departments via the same channels as nominations for tenure-track appointments, and are subject to the same departmental review processes before they are forwarded to the dean. The activities in which a clinical faculty member is expected to engage will be included in the contract.

A candidate for a full-time clinical appointment must present evidence of a distinguished career as a practitioner and/or appropriate education or teaching experience in a field relevant to the appointment. Candidates are expected to show outstanding pedagogical skills or talent, as evidenced by past teaching performance, curriculum development and teaching innovation, or expertise in an area of strategic importance that is not otherwise available on the faculty. Depending upon their experience, in accordance with the guidelines set forth in Section 2 above, they may be appointed at the rank of clinical assistant professor, clinical associate professor, or clinical professor.

The honorific designation “Professor of Management Practice” (“PMP”) is reserved for candidates who have had distinguished careers in business or related fields. Candidates should hold certifications and educational credentials appropriate for the work done as a practitioner, and should be able to relate non-academic experiences effectively to teaching assignments within the Stern School. As this title is used to designate professionals who have distinguished themselves as widely recognized senior leaders in key line or staff positions in major firms, it is typically used only for new appointments and only at the full professor level; gaining academic experience does not lead to promotion to PMP.

## **8. Annual Merit Reviews**

Clinical faculty members are expected to adhere to the highest levels of performance and commitment to the university and the school and the highest standards of excellence in their fields. Specifically, they should demonstrate teaching excellence, as reflected by a combination of academically rigorous course content, teaching in courses of high strategic value to the school, pedagogical innovation, student ratings, student success consistent with high quality teaching, and enrollments. Evidence of teaching performance may include course materials (e.g. syllabi, lecture notes, assignments), course development and innovation, instructor development, peer classroom observations, self-presentation, samples of student writing evidence of continuing influence upon students, examples of learning beyond the classroom, student evaluations, etc. Clinical faculty members are also expected to make meaningful service contributions in their department and/or the school, by such activities as serving on committees, advising students, and attending school events. Service outside the school that supports Stern’s mission and brand is also encouraged. Conducting research is not required, but will be considered in cases where it is relevant.

All clinical faculty members complete a Faculty Activity Report (FAR) each year for review by the department chair and vice deans. During the rigorous Annual Merit Review process each spring, the department chair presents to the vice deans and deans the activity and achievements of each faculty member, using the completed FAR as one source of information, and discusses areas requiring improvement. The department

chair then provides written and oral feedback and recommendations to each faculty member. The feedback reflects the input gathered at the meeting with the vice deans and deans.

## 9. Reappointment

The review process and criteria for reappointment are such that only individuals who are continuing to make a significant contribution to the excellence of the school are reappointed. The specific criteria for evaluating performance are those set forth under [Annual Merit Review](#) guidelines.

Reappointment is also based on consideration of curricular and programmatic initiatives. Thus, the decision to reappoint may be influenced by curricular and structural changes and needs in academic programs (even in those cases in which a candidate may satisfy the appropriate standards of achievement). When a position is to be eliminated at the end of the contract term and no similar position is vacant, reappointment does not occur. The faculty member may, however, request a performance review for career development.

Reappointment Process:

- Candidate submits CV, most recent Faculty Activity Report, teaching materials and service statement to the department chair
  - Teaching materials provide evidence of high teaching performance and should include:
    - A thorough but concise teaching statement from the candidate explaining his/her teaching philosophy, learning goals for students, and strategies and methods employed to help students attain those goals
    - Student evaluations since the last review (both an aggregated summary across courses and complete Course Faculty Evaluations (CFE) reports for all course sections taught)
    - Sample syllabi (or access to online teaching sites)
    - List of advisees (graduate and undergraduate)
    - Where appropriate, reports of peer observations, including formal assessments of teaching effectiveness
  - A thorough but concise service statement that describes service to the department, school, university, and/or profession, particularly information that might not be evident from the CV.
- The department's Promotion and Tenure Committee\* reviews the materials and makes a recommendation. In conducting its review, the Promotion and Tenure Committee shall consider evidence of accomplishments in the areas of teaching, service and professional activity. Majority opinion will be determined by secret ballot. If there is a division of opinion, the dissenting opinion should be appended to the majority review. At least one clinical faculty member of the same or higher rank as those being reviewed must also serve on the committee reviewing clinical reappointments.

\*In the case of areas without P&T committees, the Vice Dean of Faculty, in consultation with the area Director, will appoint a 4-person ad-hoc advisory committee including the area Director, one clinical faculty member of the same or higher rank as those being reviewed, and at least two tenured Stern faculty members.

- The Department Chair completes a Recommendation for Clinical Reappointment form. This must include the outcome of the vote, a summary of the basic arguments for or against reappointment

and a statement of future potential. If the recommendation is for reappointment, this form, together with the materials submitted by the candidate, is forwarded to the Committee of Department Chairs and Vice Deans. If reappointment is not recommended by the department's Promotion and Tenure Committee, the candidate is notified both in writing and in person according to the deadlines set forth below under Contract Terms.

- The Committee of Department Chairs and Vice Deans, not including the dean, reviews all of the reappointment materials, discusses, and then votes to support or not support the recommended renewal. A majority vote of the Committee shall be required for approval. All votes of the Committee shall be by secret ballot and re-voting shall occur only if new material becomes available. This Committee will provide to the dean a list of all candidates considered at the meeting indicating which reappointments were approved and any additional comments, along with the reappointment forms.
- If the dean's decision on reappointment or length of contract is contrary to that of the Committee of Department Chairs and Vice Deans, the dean will provide reasons to the Committee. The Committee will then have ten days in which to provide further information or counter-argument before the dean's decision is finalized. If a reappointment is not approved, the candidate is notified both in person and in writing, including the rationale for the decision, according to the deadlines set forth under Contract Terms below.

## 10. Contract Terms and Review Schedules

Contract terms fall into two categories, each with different review and notification schedules:

### a. **Contracts of Three Years or Longer ("Long Contracts")**

Reappointment of a clinical faculty member currently on a contract of three or more years requires a formal process that is conducted in the penultimate year of the contract and is completed by the end of that year. When the decision is not to reappoint, the faculty member shall be notified of the decision no later than August 31 of the penultimate year, and shall continue to be under contract for the final year.

### b. **One- or Two- Year Contracts ("Short Contracts")**

Clinical faculty holding one- or two- year contracts will be reviewed for reappointment before the March 1 immediately preceding the end of their contract term. When the decision is not to reappoint, the faculty member shall be notified of the decision no later than March 15<sup>th</sup>, or at least 180 days prior to the termination date if the contract term ends on a date other than August 31.

Third Year Review: Though reappointment cannot proceed without a performance assessment, numerous factors render the sort of formal review appropriate for multi-year appointments unnecessary for clinical faculty on Short Contracts. That said, in the first semester of the third year of continuous appointments, and in the first semester of every subsequent third year, clinical faculty members with on-going Short Contracts shall be subject to formal review comparable to the review of faculty on Long Contracts.

## 11. Promotion

Clinical faculty can be promoted from Clinical Assistant Professor to Clinical Associate Professor or from Clinical Associate Professor to Clinical Professor, according to these criteria:

### a. Promotion Criteria

Promotion to Clinical Associate Professor: The candidate's record must indicate evidence of excellent teaching performance and contributions to Stern's teaching programs. Service to the school is also expected, through program development, committee membership, advising students and engaging in other activities that support Stern's educational mission.

Promotion to Clinical Professor: The candidate's record must indicate evidence of sustained excellent teaching performance and contributions to Stern's teaching programs. In addition, substantial service to the school is expected, through activities such as directing key academic programs or centers, initiating new programs, coordinating courses, serving on committees, advising students and engaging in other activities that support Stern's educational mission.

### b. Promotion procedure

- Candidate submits CV, most recent Faculty Activity Report, teaching materials and service statement to the department chair
  - Teaching materials provide evidence of high teaching performance, and should include:
    - A thorough but concise teaching statement from the candidate explaining his/her teaching philosophy, learning goals for students, and strategies and methods employed to help students attain those goals
    - Student evaluations since the last review (both an aggregated summary across courses and complete Course Faculty Evaluation (CFE) reports for all course sections taught)
    - Sample syllabi (or access to online teaching sites)
    - List of advisees (graduate and undergraduate)
    - Where appropriate, reports of peer observations, including formal assessments of teaching effectiveness
  - A thorough but concise service statement briefly describes service to the department, school, university, and/or profession, particularly information that might not be evident from the CV.
- Department chair prepares a report, summarizing the candidate's contributions and describing how the candidate meets the qualifications for Clinical Associate Professor or Clinical Professor, and submits it to the Department's Promotion and Tenure Committee.
- Department's full P&T committee\* meets to discuss and vote on the proposed promotion. The committee reviewing promotions of clinical faculty must also include at least one clinical faculty member in a higher rank than the candidate being considered, from the same or a different department.
- \*In the case of areas without P&T committees, the Vice Dean of Faculty, in consultation with the area Director, will appoint a 4-person ad-hoc advisory committee including the area Director, one

clinical faculty member of the same or higher rank as those being reviewed, and at least two tenured Stern faculty members.

- If the department committee supports proceeding with promotion, department chair submits the completed NYU Promotion application form, candidate's materials, his/her report and the committee vote to the Vice Dean of Faculty. If the committee chooses to retain the candidate at the same level instead of promotion, the candidate is notified in writing.
- If promotion is pursued, Committee of Department Chairs and Vice Deans meets to discuss and vote on the proposed promotion, and then makes its recommendation to the dean.
- Dean reviews the proposed promotion and informs the department chair and candidate of his/her decision.

Letters from external reviewers are not typically sought, as the responsibilities of a clinical faculty member are to teach and provide service, both of which are primarily internal activities.

## **12. Transfer between FTNTT/CF and Tenured or Tenure Track Appointments**

Clinical faculty positions cannot be used as a mechanism to retain tenure-track faculty members who have not been, or are not likely to be, granted tenure. Conversion to a clinical appointment is not an option for a tenure-track faculty member who has been denied tenure, or whose performance does not merit a full tenure review.

## **13. Relative Size of the Clinical Faculty**

While clinical faculty members make valuable contributions to the Stern School, excessive reliance on clinical faculty may gradually dilute the research mission of the School. Consequently, the size of the clinical faculty and their aggregate teaching responsibility will be subject to annual review by the Committee of Department Chairs and Vice Deans.

## **14. Contract Clock**

The contract for a clinical faculty member may be stopped for stipulated reasons, as per the University Guidelines for Full Time Contract Faculty Appointments. These reasons include medical, personal, as primary caregiver for a child, spouse, parent, same-sex domestic partner, or by contractual stipulation or negotiation.

## **15. Grievance**

Stern follows the grievance and appeal process as set forth in the NYU Guidelines. The Guidelines require that the grievance committee include at least "one senior full-time contract faculty member who shall participate in hearing and evaluating only those grievances that are filed by" clinical faculty members. At least one position on the Stern Grievance Committee will be filled by a Clinical Associate Professor or Clinical Professor, and that person will only hear grievances filed by clinical faculty.