



Date: May 25, 2022

Memorandum to: Katherine Fleming, Provost

From: Ethan Youngerman
Chairperson, C-Faculty Senators Council
A/Y 2021-2022

Subject: C-Faculty Senators Council Review: NYU Libraries Continuing Contract Faculty Guidelines for Appointment, Evaluation, Reappointment, and Promotion

The C-Faculty Senators Council submits the attached recommendations regarding the NYU Libraries Continuing Contract Faculty Guidelines for Appointment, Evaluation, Reappointment, and Promotion. These recommendations were approved by the Council at the May 24, 2022 meeting.

cc: H. Austin Booth, Dean, Division of Libraries
Kristen Day, Vice Provost
Peter Gonzalez, Associate Provost for Academic Appointments

C-FSC Steering Committee Members:

Scott Illingworth, C-FSC Vice Chairperson
Agnes Tourin, C-FSC Secretary
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Heidi White, C-FSC Personnel Policies & Contract Issues Committee Chair

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DRAFT

Continuing-Contract Faculty Council's Recommendations

Approved May 3, 2022

Recommendations of the C-FSC in regard to:

NYU Libraries Continuing Contract Faculty Guidelines for Appointment, Evaluation, Reappointment, and Promotion

BACKGROUND

On Oct. 25, 2021, Austin Booth, Dean, Division of Libraries, reported that the NYU Libraries Full-time Continuing Contract Faculty Guidelines for Appointment, Evaluation, Reappointment, and Promotion were adopted by majority vote of the Faculty on October 15, 2021 at a Libraries Faculty meeting. Dean Booth reported that these documents were drafted by members of a task force, which was charged by the NYU Library Faculty Council in 2019. Dean Booth added that multiple Full-time Continuing Contract Faculty were members of the task force and that the Guidelines were conveyed to the office of the Vice Provost multiple times in draft form for feedback.

According to Dean Booth, the documents were reviewed by the Libraries faculty in accordance with the existing Bylaws. In keeping with University protocol, which holds that only Tenure Track Faculty can vote to amend or revise policies that pertain to the process of tenure review, these two Guidelines documents were adopted by majority vote of the Libraries Faculty in the following manner:

- The 47 eligible Tenure Track Faculty in the Libraries voted accordingly:
 - 38 in favor, 5 opposed, 4 abstentions to adopt the Guidelines and Standards For Promotion and Tenure NYU Division of Libraries (a majority of 80 percent)
 - 42 in favor, 1 opposed, 4 abstentions voted to adopt the NYU Libraries Full-time Continuing Contract Faculty Guidelines for Appointment, Evaluation, Reappointment, and Promotion (a majority of 89 percent)
- The 4 eligible Full-Time Continuing Contract Faculty voted accordingly:
 - 4 in favor, 0 opposed, 0 abstentions to adopt the NYU Libraries Full-time Continuing Contract Faculty Guidelines for Appointment (a majority of 100 percent)

Dean Booth added the following: The Libraries did not previously have freestanding guidelines for Full-time Continuing Contract Faculty or Tenure and Tenure Track Faculty; instead, procedures were embedded within the Libraries existing Bylaws. Accordingly, the work of the task force implied revisions to the Bylaws. While the revised Bylaws are not to be sent to the Faculty Senate Councils, they were included. And although separate from the freestanding Guidelines, it is important to note that the entire 59 eligible members of the Faculty of the Libraries, which includes the rank of Library Associates, also voted 45 in favor, 8 opposed, 6 abstentions to adopt the current revisions to the Bylaws (a majority of 76 percent).

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As part of the process of finalizing the Libraries Division Guidelines for its Clinical Faculty, NYU Provost Katherine E. Fleming invited the C-FSC to comment on the document called: “NYU Libraries Full-time Continuing Contract Faculty Guidelines for Appointment, Evaluation, Reappointment, and Promotion”:

At NYU, our strong tradition is for schools to develop policies that are ‘consistent with school culture and history.’ Within that tradition, the NYU Faculty Handbook (hereafter Handbook) provides that school policies will be reviewed by the Provost to determine ‘whether the substance of the policy: (i) is consistent with general University policy; (ii) is compatible with the University’s commitment to excellence in teaching, research, scholarship, or artistic achievement and service within a community of respectful and respected academic professionals; and (iii) has no adverse implications for the University’ (Oct. 27, 2021).

NOTES FROM THE C-FSC COMMITTEE ON PERSONNEL POLICIES & CONTRACT ISSUES

1. The following document will enumerate various comments and recommendations to the submitted policy. The recommendations are made (in purple) within the body of the document for ease of review and discussion.
2. Our committee respectfully asks that responses to our recommendations be made within the body of this document for ease of review.

NYU Libraries Continuing Contract Faculty Guidelines for Appointment, Evaluation, Reappointment, and Promotion

Recommendation:

This document is an official contractual document; as such it should be called a “policy,” not a set of “guidelines.” The word “guidelines” throughout the document need to be replaced with the word “policy.”

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Date of faculty vote: October 15, 2021

Recommendation:

Although the number of continuing-contract faculty members is at present small, the numbers may increase in the future. We would like to note that The New York University Guidelines for Full-Time Continuing Contract Faculty (FTCCF), issued June 12, 2014, revised December 15, 2015, page 1, Section II., Formulation of School Policies, paragraph 2, sentence 1, states:

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

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

Recommendation:

We recommend that the Libraries' Bylaws be updated to reflect the active, essential and meaningful role of the continuing-contract faculty members in forming and approving any new policy, a policy that must necessarily include the grievance/appeal process.

This update needs to be added to the Bylaws and to this Reappointment and Promotion Policy.

Recommendation:

We recommend the addition of the following language:

“Continuing-contract faculty members will be granted self-governance with regard to their own policy (including the grievance policy) going forward.”

Recommendation:

We recommend that the following language be explicitly stated:

“Mechanisms for timely distribution to the faculty, faculty discussion, as well as the ability for ~~faculty~~ to present amendments, make recommendations to and vote on the Policy in a regularly scheduled faculty meeting following procedures outlined in the school's governance structure.”

NYU Libraries Continuing Contract Faculty Guidelines for Appointment, Evaluation, Reappointment, and Promotion

This guidelines document supplements NYU Libraries Bylaws and the NYU Faculty Handbook, including the [“University Guidelines for Full-time, Continuing Contract Faculty Appointments, Grievance Procedures, and Disciplinary Regulations”](#) section (cited hereafter as “Handbook”). If any part of this document is inconsistent with NYU policies, the NYU policies then in effect will control. As with all NYU and Division of Libraries policies, this document is subject to change, and the policies in effect at the time of an action will apply to that action.

Introduction

Librarians of Practice are full-time Continuing Contract faculty positions that provide coordination, continuity, and consistency in the teaching, learning, and research mission of NYU Libraries. The appointment, reappointment, and promotion of Continuing Contract faculty in the Libraries shall exemplify the University's commitment to retain and nurture the best faculty in all disciplines.

The Division of Libraries is without a departmental organization. The term "department" as used in this document refers only to an operational unit of the Division of Libraries, which functions as a single academic department. In this configuration, the elected Appointment, Reappointment, and Promotion Committee (ARP) performs departmental functions that exist in other schools at NYU, and the ARP Chair, who is a tenured, elected member of the ARP, is tantamount to the Departmental Chair for those processes dictated by NYU.

All aspects of appointment, reappointment and promotion of Continuing Contract faculty fall under the purview of faculty governance and are to be carried out by Libraries Faculty, including the Dean and elected members of the ARP. See NYU Libraries Bylaws for more information. However, Libraries Human Resources (HR) facilitates certain logistical elements of these processes, including the generation of reminder emails to candidates regarding review deadlines, the generation and management of cases on the online review platform, and the inclusion of candidates' Annual Performance Evaluations into candidates' review materials.

These guidelines reinforce that the professional roles and responsibilities of academic faculty librarians differ widely from faculty in other academic disciplines. Faculty at the Division of Libraries do not generally teach credit-bearing courses, and their work responsibilities often diverge from traditional divisions of labor among faculty in higher education. Furthermore, contributions to knowledge and practice in librarianship may not take the form or extent as expected in other academic fields. These guidelines acknowledge such uniqueness and intend to inform the process of evaluating job performance and academic contributions in order to facilitate an effective appointment, reappointment, and promotion process for Continuing Contract Faculty at the Division of Libraries.

All dates in this document reflect University policy but may change if they fall on weekends. Annual dates will be reflected in all Continuing Contract faculty contracts and on the published, widely available calendar on the [Libraries Wiki](#).

Statement of Academic Freedom

The New York University Faculty Handbook states, "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" ([Title I.ii](#)). Academic Freedom is essential for librarians, in research and in work supporting teaching and learning in the University. In 2006, the American Library Association passed a resolution in support of academic freedom stating that academic freedom is "indispensable to librarians, because they are trustees of knowledge with the responsibility of ensuring the availability of

information and ideas, no matter how controversial, so that teachers may freely teach and students may freely learn” ([ALA IR B.2.5](#)). Continuing Contract faculty librarians at New York University must have the freedom to research, develop collections, and provide access to information without fear of censorship or professional repercussions. They hold each of the rights and obligations as stipulated in the New York University Faculty Handbook.

Appointment

Although Continuing Contract faculty appointments are without tenure, they are typically multi-year appointments. Continuing Contract faculty are ineligible for sabbaticals and the Goddard Junior Faculty Fellowship Program.

Initial Appointment Criteria

Continuing Contract appointments can encompass a wide range of the roles and expertise that comprise librarianship. The appointment processes for Continuing Contract faculty of each rank (Assistant Librarian of Practice, Associate Librarian of Practice, and Full Librarian of Practice) shall reflect the University’s overriding commitment to enhance academic excellence and to provide students and faculty with the best available experience. Thus, each Continuing Contract faculty appointment shall be evaluated in the light of the contribution it makes to the distinct excellence of the Libraries, and for its ability to enable the Libraries to support its [Mission & Values](#).

Titles and Qualifications for Appointment

- Assistant Librarian of Practice - Master’s degree in library science from an ALA-accredited institution, or a recognized foreign equivalent formally evaluated in the U.S., or recognized equivalent master’s degree appropriate to the profession. Relevant work experience in an academic research library or similar environment.
- Associate Librarian of Practice - Master’s degree in library science from an ALA-accredited institution, or a recognized foreign equivalent formally evaluated in the U.S., or recognized equivalent master’s degree appropriate to the profession. At least six years of professional experience as an Assistant Librarian of Practice at NYU or as a librarian of comparable rank at an academic research library or another similar environment. Demonstrated contributions to the area of expertise. Contributions to the university at the Libraries-level or institution level. Active participation in appropriate professional and scholarly associations.
- Full Librarian of Practice - Master’s degree in library science from an ALA-accredited institution, or a recognized foreign equivalent formally evaluated in the U.S., or recognized equivalent master’s degree appropriate to the profession. A substantial, multi-faceted record of professional accomplishments while at NYU Libraries, an academic research library or another similar environment. Evidence of extraordinary contribution to the area of expertise and professional recognition for innovation in the field of expertise. Exceptional record of contributions to the university, at the Libraries-level or institution level. A distinguished record of involvement with

appropriate professional and scholarly associations. Appointees at the rank of Full Librarian of Practice must also possess the same qualifications as a person promoted to the rank.

Recommendation:

In order to gain promotion to Full Librarian of Practice (as noted above), additional support is necessary. The policy states that promotion requires the following:

Extraordinary contribution to the area of expertise and professional recognition for innovation in the field of expertise. Exceptional record of contributions to the university, at the Libraries-level or institution level. A distinguished record of involvement with appropriate professional and scholarly associations.

In order to ensure that all members of the contract faculty have opportunities for the above promotional requirements, we strongly recommend that the NYU Libraries offer a “fellowship” that that can be used to expand or refresh the faculty member’s expertise, allow for innovation in the field of expertise, and develop new skills and/or competencies to the field of practice.

This Fellowship is intended to allow continuing-contract faculty to engage in projects that are time and/or resource intensive and that typically cannot be accomplished while carrying a full-time workweek. A [“fellowship” model](#) can be found at The Steinhardt School: <https://steinhardt.nyu.edu/faculty-and-staff/faculty-affairs/continuing-contract-faculty-fellowship>

Areas of Responsibilities

Recommendation:

Since Continuing Contract faculty members are exclusively non-tenured, add language describing the differences between tenured faculty expectations and non-tenured faculty expectations. This is important because in some schools Continuing Contract faculty primarily have teaching responsibilities and/or administrative responsibilities, while in other schools Continuing Contract faculty are expected to maintain an active scholarly, research, creative and/or professional life.

A model for additional language might be the following:

“Continuing-Contract Faculty lines are typically multiyear and differ from tenure lines with regard to performance, service, and research, including but not necessarily limited to:

- Heavy teaching or instructional loads
- Significant administrative duties”

The scope of Continuing Contract faculty positions include some, but not necessarily all of the following, and need not be restricted to them:

- **Librarianship and Job Responsibilities** - The roles and core job responsibilities of professional academic librarians encompass many aspects of the university's teaching and research mission. Given the inherent operational and collaborative nature of librarianship, such job responsibilities can include reference, instruction, the design of physical and virtual spaces and discovery environments, the provision of programming, technological and systems development, and other endeavors to provide resources and information to enhance learning for the university community.
- **Institutional and Professional Service** - In many cases, Continuing Contract Faculty will participate in Division of Libraries committees and working groups and/or University-wide and profession-wide committees that are related to their job responsibilities. Continuing Contract Faculty are vital to the integrity of Libraries planning and governance. In many cases, it is also advantageous for Continuing Contract Faculty to serve on University-wide bodies whose work directly involves Libraries services and resources.
- **Research** - Although under no obligation to conduct research or engage in scholarly, creative, or artistic output, Continuing Contract Faculty are eligible to serve as Principal Investigators (PIs)/Project Directors (PDs) on proposals and awards for sponsored programs supporting training; pedagogical and curriculum development; basic, applied and experimental research; and public service and evaluation. See the [Continuing Contract Faculty as Principal Investigators of Sponsored Projects and Programs](#).
- **Administration and Management** - Continuing Contract faculty may fill job roles with program-related administrative duties, including but not limited to implementation of technologies, management of spaces and work projects (if applicable), supervision and training of faculty, staff, and student workers, including formal reports, and program management.

Recommendation:

Include for consistency that for faculty whose responsibilities are primarily administrative, greater weight will be given to performance in this area in reviews for reappointment or promotion.

Appointment Process: General Terms of Appointment

In the Division of Libraries, Continuing Contract faculty appointments should afford the possibility of extended employment, ongoing growth as a library professional, and job

security, which is appropriate and desirable. For Continuing Contract Faculty at all ranks, the initial appointment is normally three years. One-year and two-year appointments are exceptional and are not intended to address staffing for time-bound projects or work of a limited duration. If a Continuing Contract faculty is to be appointed on a one-year or two-year contract, the Dean shall provide a written rationale to the ARP, in keeping with the governance structure of the Libraries.

In all instances for Continuing Contract faculty, contracts specifying the terms and length of employment are issued by the Dean. For the purposes of reappointment and promotion timelines, Continuing Contract faculty contracts begin on September 1. If employment commences mid-year, the term of the appointment will be aligned to include the partial year and subsequent full academic year (i.e., the initial appointment length of a three year contract could theoretically be three years and eleven months).

According to the NYU Faculty Policies Applicable to all Full Time Continuing Contract Faculty, all appointment letters for Continuing Contract faculty include each of the following elements:

- Indication that it is a fixed term, to be signed by the parties to it, and filed with the Dean and University Office of Academic Appointments prior to commencement of employment
- Start and end dates of the appointment
- An enumeration of exact due dates for all aspects of the appointment and reappointment process
- Indication of whether the faculty member is eligible to be considered for reappointment upon conclusion of the current contract
- List of academic responsibilities, compensation, and obligations of the appointment
- Particular responsibilities and benefits
- Acknowledgement of agreement to be bound by applicable University policies
- Acknowledgement that current contract terminates at close of time stipulated, unless there is an official notice of renewal

Appointment Process

As part of the Annual Planning Report, each Department Manager (DM) forwards to the Dean a Faculty Staffing Plan with any requests for a Continuing Contract faculty position. The requests should include a justification that the need can best be met with a Continuing Contract faculty appointment as opposed to a tenured or tenure-track faculty member. Upon making a decision to pursue a Continuing Contract faculty hiring line, the Dean will communicate their decision-making process with the faculty.

Continuing Contract faculty are required to be involved in the search process in appointments for Continuing Contract faculty positions. The process for appointing faculty at the Division of Libraries is outlined in the Libraries' Guidelines documents, and the role of the Appointment, Reappointment, and Promotion Committee (ARP) in faculty appointments of all ranks is described in the Division of Libraries Faculty Bylaws.

Reappointment

There is no limit to the number of terms that a Continuing Contract faculty member at any rank can be reappointed. Assistant Librarians of Practice are normally reappointed for three year terms. Associate Librarians of Practice and Full Librarians of Practice are normally reappointed for five year terms.

Recommendation:

Add the following language after each rank:

“Subsequent appointments shall be at the same length.”

Recommendation:

As an appointment of at least five years is the norm for Associate Librarian of Practice, provide an increase, e.g., six years, in term of appointment for Full Librarian of Practice; this is the case at certain schools (e.g., Clinical Full Professors at Gallatin: six years after first five-year contract, and Full Art Professors at Tisch: seven years at time of promotion).

If a Continuing Contract faculty is to be reappointed on a one-year or two-year contract, the Dean shall communicate formally the rationale to the ARP, in keeping with the governance structure of the Libraries. In no case will a series of one or two year contracts exceed three total years. Appointments automatically terminate at the close of the period of time stipulated in the contract, unless there is an official notice of renewal.

Reappointment Criteria

Reappointment of Continuing Contract faculty is based on a record of excellent overall performance as library professionals. Reappointment criteria for each rank are described in the Continuing Contract faculty Titles and Qualifications section. The primary academic criteria that forms the basis of all elements of Continuing Contract faculty reviews, whether Short-Term Reviews, Formal Reviews, Annual Performance Evaluations, and applications for promotion, are as follows:

- **Job Performance:** Excellence as a librarian, which is evidenced by the continuing ability to perform core job duties at the highest professional level, particularly in areas of instruction, reference, programming, design of spaces, collections building and maintenance, and other avenues that contribute to the educational and research

mission of the university.

- **Service to the Libraries, the University, and the Profession:** Effectiveness of service, which is evidenced by engagement with committees and communities of practice at the local or national level, participation in institutional governance, or the provision of workshops, learning, writing, and other contributions that enrich the broad educational and research mission of the Libraries and librarianship as a profession.

Reappointment is subject to the academic and curricular needs of Division of Libraries and the University; thus, even in cases in which a candidate satisfies the appropriate standards of achievement and is reviewed favorably for reappointment, the decision to reappoint may be impacted by structural changes and improvements in academic programs and strategic priorities for Libraries services. Curricular or structural changes do not automatically warrant a denial of reappointment. Instead, non-reappointments should have a rational basis and should include a process for determining whether the Continuing Contract faculty can or cannot serve under a changed structure.

For all Continuing Contract faculty contracts, eligibility to be considered for reappointment does not guarantee reappointment. In such cases, the basis for non-reappointment will be clearly stated in the notice given to the faculty member by the Dean of Libraries.

Upon three years of consecutive employment under Continuing Contract faculty contracts, Librarians of Practice are subject to a Formal Review process conducted by a Panel, assembled from members of the Appointment, Reappointment and Promotion Committee (ARP). This Formal Review is equivalent to the third-year review referenced in the NYU Faculty Handbook. Upon successful completion of the Formal Review, the Continuing Contract faculty under consideration will be offered a multi-year contract. Assistant Librarians of Practice are normally reappointed for at least three years. Associate and Full Librarians of Practice are normally reappointed for at least five years.

Reappointment Process

The Dean's decision to reappoint is informed by either a Formal Review or Short-term Review by a Panel assembled from the Appointment and Reappointment Committee (ARP). Members of the Panel are tenured, or are Continuing Contract faculty. Upon receiving notification of all Continuing Contract faculty to be considered in a review cycle, the ARP will self organize into smaller groups, called Panels, which review each case. All review Panels must consist of three to five full-time faculty of equal or higher rank than the candidate under review, with at least one Continuing Contract faculty member.

Recommendation:

The number of contract faculty may increase in the future. For this reason, add the following language:

“When possible, the Appointment and Reappointment Committee shall include a majority of

elected Continuing Contract Faculty.

The Panel shall not include any Continuing Contract faculty who are themselves under review for reappointment that year. This contingency may necessitate the composition of a panel that does not include a Continuing Contract faculty member because one is not available to serve in this capacity. In such instances, the Dean will assemble the Panel by selecting a Tenure and Tenure Track Faculty member of the ARP. All Review deliberations must take place within a single academic year cycle to ensure continuity among ARP membership.

Recommendation:

Insert the sections pasted below from the Libraries Bylaws. This crucial information that describes the composition, organization, eligibility, and election of chair of the Appointment, Reappointment, and Promotion Committee belongs within the Reappointment and Promotion Policy and must be stated explicitly.

The inclusion of the information below is the norm for all NYU-approved Contract Faculty Reappointment and Promotion Policies.

Appointment, Reappointment, and Promotion Committee (ARP)

The Division of Libraries shall have a Committee on Appointment, Reappointment, and Promotion (ARP), which shall be elected annually by the Faculty of the Division of Libraries. Members are elected for a one-year term. The election must be held in the first week of the Fall semester. Prior to the election, the Nominating Committee will remove all members of the faculty who are scheduled for sabbatical, Goddard research leave, or other leave.

ARP Composition

The Committee shall consist of a minimum of thirteen and no more than twenty-four elected members. The Committee must include at least eight tenured faculty members. The tenured faculty members shall consist of equal numbers of Curators and Associate Curators when possible. The remaining Committee shall consist of at least one and up to four representatives from the Assistant Curator rank, at least one and up to three representatives from the Library Associate rank; and at least one and up to three representatives from each of the Full-Time Continuing Contract Faculty rank (Assistant Librarian of Practice, Associate Librarian of Practice, and Full Librarian of Practice) when possible. Each ARP member is elected to serve one year.

ARP Organization for Reviews

The Committee will be composed of panels, which operate on behalf of the Committee as a whole. Each panel normally consists of at least three and no more than seven members. Composition of the panels must meet the rank criteria (i.e., members of promotion panels outrank the candidate, and members of reappointment panels are to be of rank at least equal to that of the candidate under consideration). Panel members reviewing Continuing Contract Faculty applications for promotion must be Associate or Full Librarian of Practice or Associate Curator or Curator. Panel members considering Third-Year Review cases must be tenured members of the Committee. Panels shall advise the Dean on reappointments, promotions, and recommendations on the conferral of tenure.

Panel Eligibility

Any Committee member who is a spouse or partner to or closely associated with the candidate (e.g., thesis advisor, co-author, supervisors, reports), as enumerated in the *NYU Faculty Handbook*, should recuse themselves from the candidate's review Panel. Library Associates are not eligible to serve on any reappointment and promotion review Panel, but may serve on Appointment Search Committees.

ARP Chair for Reviews

The tenured members of the Committee shall select a chair who is tenured. The Chair shall forward to the Dean the completed review dockets for each candidate under review. Each docket includes a report that outlines the Panel's membership, process, recommendation, rationale for recommendation, and vote results.

ARP Contingency

If there is not the requisite number of members on the ARP to facilitate a review appropriate to the rank under consideration, then the Dean will assemble a panel of faculty of appropriate rank. In some cases these faculty may be drawn from other schools.

Formal Review occurs in the penultimate year of a multi-year contract or during the third year of consecutive one-year or two-year contracts. Short-term Reviews are reserved for those exceptional cases in which a Continuing Contract faculty has been appointed to successive one-year or two-year contracts.

In the event of non-reappointment, the Dean's letter must clearly articulate the basis and the degree to which the position held by the Continuing Contract faculty member under consideration is impacted by the concomitant changes in Libraries programming or services. Following a review, if the decision is not to offer a reappointment, faculty on multi-year contracts will be notified of the decision no later than August 31st of the penultimate year of their contract. Faculty on one-year or two-year contracts will be notified no later than March 1st of the final year of the contract. Should either the Formal or Short-term Review process lead to a decision to not reappoint, Continuing Contract faculty will serve

the remainder of their existing contract.

Recommendation:

Add language similar to the following:

“In all cases of an appeal to a negative decision related to reappointment or promotion by the Dean, the candidate will have access to the Review/Promotion Committee’s full report, including its recommendation with the expectation that the Committee will protect information provided in confidence.”

Reappointment Process: Formal Review

When a Continuing Contract faculty is being reviewed formally to be considered for reappointment, they should submit a packet to the ARP on or before September 30th. The review materials should normally include the following elements:

- Reappointment Letter reflecting deliberations of most recent Formal Review (provided by Human Resources)
- The most recent two supervisor evaluations (Performance Evaluations) completed and currently on file with Human Resources (provided by Human Resources) • A current curriculum vitae
- List of committee and other activities with roles played on each group, including committee chair’s name, etc. (provided by candidate in c.v.)
 - A personal statement, optional for Formal Reviews but required for Formal Reviews that are also applications for promotion. Personal statements should outline accomplishments in current role and a narrative of professional growth
- Additional documents to support renewal and or promotion as evidence of contributions to the profession.

In addition, candidates may also opt to include in their review materials copies of scholarly, creative or artistic work; though scholarly, creative or artistic work is not required for reappointment at any rank, for promotion to Associate Librarian of Practice, or from Associate Librarian of Practice to Full Librarian of Practice.

The University recognizes that COVID-19 may have had an adverse impact on faculty members’ teaching and research performance. To ensure that the review for reappointment and promotion reflects the impact of COVID-19, faculty have the option to include a COVID-19 impact statement in their reappointment and/or promotion dossier. The impact statement should include a short description of the impact COVID-19 had on their performance of their duties, including teaching (and research and creative work, where relevant). The impact statement should be incorporated into the statements on teaching (and research and creative work, where relevant). Note that any external evaluators

contacted by the department or the Dean's office will receive the statements of teaching and research as part of the materials to be reviewed. The information provided in this COVID-19 impact statement will not negatively affect the review. At a minimum, the information will be treated neutrally and at a maximum, it may positively impact the review.

The review materials will be augmented by the following:

- Peer assessments of job effectiveness (at least three letters solicited from NYU Libraries colleagues by the Appointment, Reappointment and Promotion Panel at its discretion). In soliciting letters, the Panel seeks perspectives from colleagues at NYU Libraries who have taken a leadership role on projects, working groups, or other endeavors in which the candidate has been involved. Such letters are meant to augment the candidate's application and speak to the effectiveness of job performance. The ARP Panel should seek to mitigate against conflicts of interest when soliciting letters. Candidates have the right to specify the names of individuals they do *not* want to be solicited for letter and provide a rationale. However, the Panel is not beholden to these requests.

The ARP Panel evaluating each case will consider all work activity, as listed above, since the candidate's last Formal Review, including materials from the final year of the previous contract.

Recommendation:

Specify that a majority vote of the Reappointment Committee and the Promotion Committee shall be required for a successful review for a recommendation for reappointment or promotion.

Recommendation:

We strongly recommend the inclusion of the following language:

“All votes of both Committees shall be by secret ballot.”

The ARP Panel should prepare a report of their evaluation and recommendation, which has been read, approved, and signed by all Panel members before it is submitted to the Dean. The report should represent a collective judgment of the Panel or, in the case of a divided opinion, a majority of the Panel. If there is any concern that a Continuing Contract faculty member at any rank is not fulfilling the requirements of the position, these concerns should be clearly outlined in the report submitted to the Dean. If there is a division of views, the dissenting opinion should be appended to the majority review. Formal Reviews reports are to be submitted by the ARP to the Dean by March 1.

Recommendation:

The process for choosing a chair should be included in this paragraph.

“The ARP Committee should choose its own chair, who then coordinates the creation of the committee’s report and recommendation for reappointment, which is then submitted to the Dean.”

Again, include this crucial information from the Libraries Bylaws within the Reappointment and Promotion Policy.

Recommendation:

The duties of the chair should be included in this paragraph, as well as the process of evaluating the review material. The process of the creation of the committee’s report should be explicitly stated with language similar to the following (from the FAS Website, “Recruitment of New Faculty, Section 1.7, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professors, Overview,” <http://as.nyu.edu/object/aboutas.pp.assocdean.recruitment.html>):

“The committee will prepare a written review for the Dean evaluating and summarizing the evidence of accomplishment, noting areas that require improvement, and making a recommendation regarding reappointment, and promotion and contract length (when applicable).”

Recommendation:

Add the following as a new paragraph (adapted from the FAS website, “PROCEDURES for Reappointment and/or Promotion” for clinical faculty: <http://as.nyu.edu/object/aboutas.pp.assocdean.recruitment.html>):

“If the Dean’s decision is contrary on appointment, title, or length of contract to that of the Review and Reappointment Committee or the Promotion Committee, the Dean will provide the committee with the reasons. The committee members will then have ten days in which to provide further information or counter-argument before the Dean's decision is finalized.”

The Dean, taking into account the ARP report alongside the curricular and programmatic needs of the Libraries, will reach a reappointment decision and will notify the Continuing Contract faculty member being considered for reappointment in writing of a decision by March 1 for Continuing Contract faculty currently on one-year or two-year contracts, or August 31 of the penultimate year for Continuing Contract faculty members on multi-year contracts. The letter should distill elements of the ARP’s report to give feedback to the faculty, as per the Faculty Handbook.

Recommendation:

Add explicit information:

“The Dean will provide the faculty member with a written summary that includes suggestions for professional development and a recommendation regarding appointment, and will meet with the candidate to discuss the committee’s evaluation, as well as his or her own assessment and continuing programmatic need for the appointment.

Reappointment Process: Short-Term Review

Continuing Contract faculty on one-year and two-year contracts are considered for reappointment through a Short-Term Review. No Continuing Contract faculty can be reappointed without a performance assessment, yet the compressed timeline of a one-year or two-year contract renders the process of review appropriate for Continuing Contract faculty on multi-year contracts inapt. Thus, Short-term Review is a truncated process. By January 31 in the final year of a Continuing Contract faculty’s expiring contract, their Supervisor should compose a written assessment that synthesizes the faculty’s job performance in terms of the academic criteria stipulated in the appointment section of this document. The assessment should include a recommendation on the reappointment decision to the Dean of Libraries. Continuing Contract faculty will have (in some cases) held their role for less than four months, yet the Short-term Review asks a Supervisor to proffer evidence of effectiveness in job performance and professional contributions. Supervisors should contextualize this dearth of time in their report and make every effort to situate the contributions of the Continuing Contract faculty accordingly when drafting the assessment and making a recommendation on reappointment. If a Continuing Contract faculty is undergoing a Short-Term review for the first time, there will be no completed Annual Performance Evaluation included in the file.

Upon receiving the Supervisor’s assessment, the ARP will review it and convey a reaction to the Dean. The Dean will communicate their decision about reappointment and the terms of reappointment to the Supervisor who will in turn have 10 business days to respond in writing to the Dean. The Dean, taking into account the Supervisor’s assessment, the ARP’s review, and the curricular and programmatic needs of the Libraries, will reach an appointment decision and will notify the Continuing Contract faculty member being considered for reappointment in writing of a decision by March 1.

Promotion

Promotion Criteria

In addition to the qualifications set forth in the Appointments section of this document, candidates must have been in their current rank for a minimum of three years and had at least one prior reappointment at the current rank to be eligible for promotion in rank. Beyond the consideration of core job responsibilities, service activities, professional engagement, recommendations regarding promotion also may be based on a candidate’s scholarly, creative and artistic output, achievements, growth, and overall evidence of contribution to the evolving mission of the Division of Libraries.

Recommendation:

Again, given that promotion is based upon “scholarly, creative and artistic output, achievements, growth, and overall evidence of contribution,” we recommend that all members of the contract faculty have opportunities to fulfill the above promotional requirements. We strongly recommend that the NYU Libraries offer a “fellowship” that that can be used to expand or refresh the faculty member’s expertise, allow for innovation in the field of expertise, and develop new skills and/or competencies to the field of practice.

This Fellowship is intended to allow continuing-contract faculty to engage in projects that are time and/or resource intensive and that typically cannot be accomplished while carrying a full-time workweek. A “fellowship” model can be found at The Steinhardt School: <https://steinhardt.nyu.edu/faculty-and-staff/faculty-affairs/continuing-contract-faculty-fellowship>

Promotion Process

There is no timeframe that compels Continuing Contract faculty to apply for promotion in rank. Continuing Contract faculty may apply for promotion at their discretion during their second Formal Review in rank and any year after. When Continuing Contract faculty applications for promotion sync with required Formal Reviews Libraries Human Resources (HR) will communicate in writing to Continuing Contract faculty a reminder of upcoming Formal Review by February 15. Candidates who meet the established criteria and who also wish to apply for promotion must inform Libraries HR and the Dean in writing within two weeks, by March 1. Continuing Contract Faculty who are not due to be reviewed formally but still wish to apply for promotion must notify Libraries HR in writing by March 1 in advance of the upcoming academic year review cycle.

Continuing Contract Faculty applications for promotion encompass all of the materials and elements listed as requirements for a Formal Review and a candidate statement that outlines a narrative of career growth and accomplishments. Applications for promotion will weigh the candidate statement against the criteria for rank in this document, and reports are expected to comment specifically on the warrant for the candidate to be promoted.

Promotion applications are reviewed by the same ARP Panel created for Formal Reviews with the following exceptions: in the case of promotion to Associate Librarian of Practice, Assistant Librarians of Practice are not eligible to serve; and in the case of promotion to Full Librarian of Practice, Assistant or Associate Librarians of Practice are not eligible to serve. Either of these contingencies may necessitate the composition of a Panel that does not include a Continuing Contract faculty member because one is not available to serve in this capacity.

Recommendation:

Add language similar to the following:

“In all cases of an appeal to a negative decision related to reappointment or promotion by the Dean, the candidate will have access to the Review/Promotion Committee’s full report, including its recommendation with the expectation that the Committee will protect information provided in confidence.”

Recommendation:

Specify that a majority vote of the Reappointment Committee and the Promotion Committee shall be required for a successful review for a recommendation for reappointment or promotion.

Recommendation:

Include the following language:

“All votes of both Committees shall be by secret ballot.”

Recommendation:

Add the following explicit information:

“The Committee should choose its own chair, who then coordinates the creation of the committee’s report and recommendation for reappointment, which is then submitted to the Dean.”

Include specific language from the Libraries Bylaws.

Recommendation:

The duties of the chair should be included in this paragraph, as well as the process of evaluating the review material. The process of the creation of the committee’s report should be explicitly stated with language similar to the following (from the FAS Website, “Recruitment of New Faculty, Section 1.7, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professors, Overview,” <http://as.nyu.edu/object/aboutas.pp.assocdean.recruitment.html>):

“The committee will prepare a written review for the Dean evaluating and summarizing the evidence of accomplishment, noting areas that require improvement, and making a recommendation regarding promotion and contract length (when applicable).”

The ARP Panel will present the Dean with a summary of the review, prepared by the chair

of the ARP Panel. The Dean, taking into account the ARP report, will reach a decision on promotion and will notify the Continuing Contract faculty member being considered for promotion in writing. The letter should distill elements of the ARP's report in keeping with the University's desire for schools to give regular, written feedback to Continuing Contract Faculty. In the event of non-promotion, the Dean's notification letter must clearly articulate the basis. The letter, which is a synthesis of the ARP Panel report, should redact names but convey the essence of the ARP's deliberations. The goal for feedback is to enrich the growth and development of Librarians of Practice.

Recommendation:

Add detailed information:

“The Dean will provide the faculty member with a written summary that includes suggestions for professional development and a recommendation regarding promotion, and will meet with the candidate to discuss the committee's evaluation, as well as his or her own assessment.

Recommendation:

Add specific language:

“In the event that the Dean follows the recommendation of the committee for promotion, the summary letter to the faculty member with notification of intent for promotion should include the length of appointment, and a signature block for the faculty member.”

Recommendation:

Add the following as a new paragraph (adapted from the FAS website, “PROCEDURES for Reappointment and/or Promotion” for clinical faculty:

<http://as.nyu.edu/object/aboutas.pp.assocdean.recruitment.html>):

“If the Dean's decision is contrary on promotion, title, or length of contract to that of the Review and Reappointment Committee or the Promotion Committee, the Dean will provide the committee with the reasons. The committee members will then have ten days in which to provide further information or counter-argument before the Dean's decision is finalized.”

In the event that a Continuing Contract faculty applies for and is granted promotion amidst a multi-year contract, the associated changes in rank and salary will take effect on the next September 1; however, the duration of the contract itself will remain intact.

Annual Performance Evaluation

All Continuing Contract faculty complete an Annual Performance Evaluation. The criteria for the Annual Performance Evaluation are core job performance, particularly in areas memorialized in the letter of appointment, contributions and service within the Library and its community of patrons, and relevant administrative or supervisory performance, when applicable. The process, documents, and timelines for Annual Performance Evaluations are posted to the [Division of Libraries Wiki](#). The Annual Performance Evaluation is used to determine annual merit increases. The amount of the increase will be determined by the pool set by the University. Any merit increase awarded will begin on September 1st.

Pausing the Contract Duration

Recommendation:

Stopping the contract clock should be made clear in the policy. Specify the grounds for and process of stopping the contract clock by adding language satisfying the following from the New York University Guidelines for Full-Time Continuing Contract Faculty, issued June 12, 2014, revised December 15, page 6:

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

Upon request, the timing of a Formal Review may be delayed by stopping the contract clock for reasonable cause that has been approved by the Dean. In such cases, it is incumbent on Libraries Human Resources to provide the Continuing Contract faculty member with an amended contract that reflects the agreed-upon contract pause and new terms of duration.

Governance

Full faculty meeting attendance and voting rights can be found under University Bylaw 82 (c). The Division of Libraries' practice is to hold joint full faculty meetings, inclusive of Continuing Contract faculty, Tenured and Tenure Track faculty, and faculty at the rank of Library Associate. Continuing Contract Faculty are eligible to participate and vote in Libraries faculty meetings and participate in matters of faculty governance, with the exclusion of matters related to promotion and tenure and the election of the Libraries' T-FSC Senator. Continuing Contract faculty are expected to serve on elected and appointed committees.

Faculty Grievances

All grievance procedures for Continuing Contract faculty conform to those described in the NYU Faculty Handbook. The Division of Libraries Grievance Committee is composed of members elected by the Division of Libraries. The membership shall include one Continuing Contract faculty member, who shall participate in hearing and evaluating only those grievances that are filed by Continuing Contract faculty.

Recommendation:

Add the section below from Libraries Bylaws. This information belongs in the Reappointment and Promotion policy and must be stated explicitly in the policy.

“The [Grievance] Committee shall consist of five elected members: three faculty with tenure, at least one Continuing Contract faculty, and one alternate faculty member who is either Tenured and Tenure Track or Continuing Contract Faculty. Each shall serve a three-year term, with one retiring each year. The annual vacancy shall be filled at the annual election.”

(Note that the Policy draft and the Bylaws are not consistent. The Bylaws state the committee shall consist of “at least one Continuing Contract faculty,” and the above states that membership “shall include one Continuing Contract faculty member.”)

Recommendation:

Add the following language:

“If the numbers of contract faculty permit, the majority of the members of the grievance committee must be elected contract faculty members.”

If a faculty member’s grievance is not settled informally at a level below the Dean, or by the Dean, the faculty member may appeal to the Dean to convoke the Division of Libraries Grievance Committee to hear grievances in order to advise the Dean. The Dean shall convoke the committee within fifteen working days of receiving the faculty member’s appeal.

Recommendation:

Add the following language (paraphrased from the Liberal Studies Reappointment and Promotion Policy, 2018 and Tandon School of Engineering, 2018).

“Having decided to consider the case, the grievance committee will then hear evidence and report to the Dean in writing on its findings of fact and its opinion on a fair disposition of the case. After

considering the advice of the committee, the Dean will inform the grievant in writing of his or her decision, and include a summary of the committee’s report provided by the committee.”

Recommendation:

Add the following language (paraphrased from the Liberal Studies Reappointment and Promotion Policy, February, 2018, and Tandon School of Engineering, 2018).

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

Recommendation:

Add the following language (quoted from the Liberal Studies Reappointment and Promotion Policy, 2018, Tandon School of Engineering Reappointment and Promotion Policy, and Abu Dhabi Reappointment and Promotion Policy, 2020).

“As a standing committee of the faculty, it must regularly report to the faculty on the number of cases heard or under study and the ultimate disposition of such cases, (for example, amicably settled, on appeal to the Provost or President, or committee report rejected by the Dean).”

Appeal

Following the review of the Division of Libraries Grievance Committee, in the event the decision of the Dean of Libraries is not to reappoint or promote, an appeal can be made to the Provost, following the procedures enumerated in the NYU Faculty Handbook.

Recommendation:

Add language similar to the following:

“In all cases of an appeal to a negative decision related to reappointment and promotion by the Dean, the candidate will have access to the Review/Promotion Committee’s full report, including its recommendation with the expectation that the Committee will protect information provided in confidence.”

Review Schedule for Guidelines

NYU Libraries shall review the policies and procedures contained within this document every five years according to the governance structures established by the NYU Libraries Faculty Bylaws. Working groups charged with reviewing guidelines will include Continuing Contract faculty. Continuing Contract faculty are to hold an active, essential, and meaningful role in drafting or approving any new policies, or revising existing policies.

Once changes to policy are identified, they are sent to the Office of the Provost for initial consultation, then sent to faculty for review and vote for adoption, and finally returned to the Office of the Provost and to other bodies as appropriate for formal review.

Recommendation:

The NYU Faculty Handbook requires a five-year review. Add language from the NYU Faculty Handbook that states that a review of this document is required every five years.