MINUTES OF THE T-FACULTY SENATORS COUNCIL MEETING OF MAY 7, 2020

The New York University Tenured/Tenure Track Faculty Senators Council (T-FSC) met at noon on Thursday, May 7, 2020 via video connection.

In attendance were Senators Battista, Cappell, Das, De Leon, Duncombe, Economides, Fenton, Frankl, Gyorgy, Hoffman, Irving, Kamer, Lapiner, Ling, Merritt, Mincer, Nonken, Ompad, Quinn, Schlick, Smoke, Sternhell, and Uleman; Active Alternates Alter, Dorsen, and Reiss; and Alternate Senators Branski (for Makarov), Partridge, Rosendorff, Sheen (for Geppert); and Observer Miao.

APPROVAL OF THE MINUTES

Upon a motion duly made and seconded, the minutes of the April 2, 2020 meeting were approved unanimously.

REPORT FROM THE CHAIRPERSON: NICK ECONOMIDES

Chairperson Economides thanked the NYU Health frontline faculty, students, and workers. He also congratulated the faculty who are retiring, including Senators Frankl and Uleman.

Proposals for Academic Year 2020-21

See attached Document F.

Economides reported on the academic set-up assumptions for 2020-21. The assumption is that NY State and/or City will be requiring social distancing in Fall 2020. There will be protection for those over 60 or 65 years of age and/or vulnerable pre-conditions, recommending minimal face to face meetings for those faculty. In terms of constraints, there will be a shortage of available classrooms since each face-to-face class will require at least two classrooms and dorms will operate with only one student per room.

Economides reported on the three proposals. In the first proposal, summer 2021 would become part of the academic year. He noted there is strong support for this proposal but some schools, especially Steinhardt, has raised issues of sequencing of courses and the difficulty of doing zoom classes because of hands-on requirements. There are also concerns that tenured/tenure track faculty may be coerced to teach in the summer 2021. It is suggested that the Provost and Schools provide incentives for volunteering to teach in summer 2021. There is strong support for two more intensive half-semesters in the summer rather than a long semester, although that may vary from school to school. This would allow students and faculty time for vacation in summer 2021 and may help with course sequencing issues. In addition, it was suggested that NYU should provide faculty with childcare or funding to help with childcare after the public schools end in mid-June.

The second proposal is some fall classes be face-to-face, some via Zoom. This would alleviate the squeeze on classrooms and allow vulnerable faculty to teach in Zoom. Economides noted there is generally strong support for this mixed solution but some schools (especially Steinhardt) are very concerned about Zoom classes. At Stern, there is strong support for doing mostly required (core) courses in classrooms, and electives in Zoom in the fall.
The third proposal is first year student arrive in the spring. This would allow them to have a more traditional experience, would alleviate classroom shortage, and allow NYU to run dorms with one student per room in the fall.

An EC member added the University plans to do regular testing of all students, faculty, and administrators. There is also a commitment to provide whatever equipment necessary to keep the community safe.

A Senator inquired on the policy at the School of Medicine for faculty over 65. A SOM Senator noted they offered those in the vulnerable population the option of working exclusively in the virtual environment, i.e. virtual urgent care.

A Senator noted in certain departments, such as performing arts, there are concerns over the feasibility of teaching via zoom when students rely on face-to-face instruction, instruments in the facilities, etc. She noted the workload of re-designing courses and also the issue of students not returning if not in person.

Economides noted the most effective way to address these school-based issues is through the Dean’s office.

A Senator inquired on the issue of commuting and if accommodations will be made to teach remotely for faculty concerned about commuting long distances via public transportation.

A Senator inquired on faculty needing special accommodations and the privacy protection of medical issues. Another Senator noted the privacy issues regarding COVID testing results.

These issues and concerns will be communicated to the University administration.

Financial Issues

See attached Document G.

Economides provided a summary of financial issues based on the Senate Financial Affairs Committee (SFAC) meeting of 4/28/20.

A number of faculty protested that the zero AMI decision was taken without consultation with the Senate Committee. Many Senators expressed their disappointment that it is effectively a salary cut for faculty that have put extra effort to converting to Zoom this semester and for the fall. Since AMI is not a fixed number, but can vary from 0.5-3%, it was noted that even a small AMI (for example 0.5%, amounting to about $7-8 million) would show appreciation to faculty and administrators. The administration should seriously consider the “Sexton solution” of a fixed $1500 that was given to all faculty and administrators in lieu of an AMI in 2005.

Losses this far from closing the dorms and the foreign campuses is $100-120 million. The total summer program income is $200 million and there are expect losses of additional $100 million if 50% of the students do not show up, however NYU does not have an estimate of the probability that losses will be that high. If the worst scenario for summer occurs, cumulative losses of revenue for NYU for this academic year will be up to $250 million. Information on summer enrollments will be available in May. The administration still does not have specific dollar numbers attached to the earlier mitigation actions and expects to have them in the next SFAC (extra) meeting at the end of May.

The Committee discussed the administration’s two mitigation scenarios for further possible losses in the fall. A “moderate losses scenario” would be graduate net tuition reduction in fall 35%, undergraduate net tuition reduction in fall 20%, auxiliary income losses, and reduction of fundraising that is directly used in the budget of $50 million (not from endowment). The total amount of anticipated loss in 2020-21 under the moderate scenario is $350 million. The mitigation actions include a discretionary OTPS freeze, full
administrative hiring pause, targeted academic hiring pause, freeze on temporary hiring and overtime, and zero AMI.

A “severe losses scenario” would be graduate net tuition reduction in fall of 50%, undergraduate net tuition reduction in fall of 20%, auxiliary income losses, and reduction of fundraising that is directly used in the budget of $70 million (not from endowment). The total amount of anticipated loss under severe scenario is $500 million. Mitigation actions would include all that is done in the moderate scenario, plus possible furloughs/layoffs and possible 403(b) NYU contribution reduction or suspension. Present contribution of NYU to 403(b) is $80 million per year.

Information on student fall enrollments will be on August 4, but students have until end of August to pay.

The Committee discussed the potential of stopping investments during this time of crisis. The administration said they have stopped all cash flow from this and next year’s budget to investment projects. However, four large projects (181 Mercer, 370 Jay, 440 Lafayette, and Cogeneration plant) have money derived from bond issuance that cannot be used for any other purpose and will continue with a spending of $400-500 million. Economides specifically asked both the officials at SFAC but also the President to find a way to renegotiate this bond requirement, given the emergency of the coronavirus. The President asked Terry Nolan, NYU’s General Counsel and Secretary, to look into that.

The C-FSC and T-FSC brought up the issue of “administrative bloat,” that is, too much spent on administration. They asked the top financial administration of NYU to act decisively to reduce spending in “surgical cuts” in administration rather than doing across the board cuts. At the EC of the Senate meeting President agreed and adopted the “surgical cuts” terminology.

They did not discuss salary cuts, but a salary cut of tenured faculty would be legally difficult if not impossible unless the University declares bankruptcy and NYU is very far away from such dire financial condition. Salary cuts of continuing faculty will be easier but there still may be legal issues.

The T-FSC stresses that research has distinguished NYU and allowed it to be more mildly financially hurt by the present crisis than other lower-ranked Universities. Despite tremendous uncertainty and fear, faculty have taken extra responsibilities, and teaching remotely is proceeding smoothly. On financial issues, it is important to take financial measures (cuts) that are proportional to financial losses, not over-react, and not harm the University in the long run.

A Senator reported on the issues in faculty housing and rent increases. The University has a long-standing practice of instead of increasing tenant’s rent every year, rent increases are tied to the renewal of the lease. Each year, about a third of the leases come up for renewal. Unfortunately, the group of faculty that received rent increase notifications this year did so in a year in which no AMI is planned. The EC will bring up this issue with the administration.

T-FSC Statement

Economides presented a proposed statement:

In this very difficult time for our central campus in New York City, our portal campuses at NYUAD and NYU-Shanghai and all our international programs, the T-FSC expresses its pride in how the greater NYU community, with the dedicated participation of faculty, has risen to the challenge of sustaining the research and educational mission at the core of this global university and its service. We support NYU leadership upholding the priorities of research and teaching and we express our special appreciation for the dedication and courage of NYU’s health and frontline faculty, students and workers contributing importantly to overcoming the challenge of the pandemic.
Senators suggested another review of the language by the EC. The EC will review and send around a draft to the Council. It will then be sent to the administration. This process was approved by vote of the Council.

**PRESENTATION, DISCUSSION, AND VOTE**

**Updated Draft Letter to Provost on the Policy on C-Faculty as Principal Investigators**

*See attached Document A.*

Committee Co-Chair Frankl noted the Committee presented a draft of this letter at the April meeting. Senators had expressed concern regarding the tone of the document and the Committee revised the language based on the Council’s feedback.

The updated letter was approved by vote of the Council.

**Summary of questions/suggestions regarding draft of proposed Faculty Tenure and Promotion Guidelines**

*See attached Document B.*

Frankl noted the Committee put together a summary of questions, concerns, etc. regarding the guidelines and first presented to the Council at the March meeting.

The summary of questions was approved by vote of the Council.

**Joint Recommendations of the T-FSC & the C-FSC in regard to NYU School of Professional Studies, Policies and Procedures for Reappointment and Promotion for Full-Time Continuing Contract Faculty**

*See attached Document C.*

Frankl presented the joint recommendations. A Senator expressed concern with the recommendation to move the following responsibility “developing, creating, and teaching new courses and developing new curricula” under “Service”.

The Senator also expressed disagreement with the following recommendation:

“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.”

Senators discussed amending the document to remove this recommendation. The amendment to the motion was moved and seconded. The amendment to remove this recommendation was passed by vote of the Council.

The amended recommendations, no longer joint with the C-FSC, were approved by vote of the Council.

**Recommendations for the Courant Institute Reappointment and Promotion Policies from the Tenured Faculty Senators Council**

*See attached Document D.*
Committee Co-Chair Frankl reported on the Committee review of the policy. The PPTM did an initial review of the document and found the process by which it was developed to be potentially problematic and the document itself to be deficient in some key areas. They considered sending it back to the Provost with a request for the Courant faculty to resubmit a thorough revision with guidance from your office, but decided to seek clarification about the process and other input from colleagues on the C-FSC Personnel Policies and Contracts Committee (PPCI) first. Due to the large number of policies each committee had to review this semester (along with delays due to the Covid-19 situation), we were not able to confer with the PPCC in detail until close to the end of the semester, after they had drafted their recommendations.

The Committees were concerned about the apparent lack of participation by Courant C-faculty in the development of the policy and general lack of participation of Courant C-faculty in faculty governance. In addition, in the PPTM review of the policy they noted the proposed policy mentions repeatedly that C-faculty may do research and that this may be considered in promotion/reappointment decisions, but lacks clarity as to how research by C-faculty would be considered in work-load assignments and in reappointment and promotion decisions and how any such expectations would be memorialized in appointment letters. These concerns are detailed in the draft of the memo to the Provost, see attached Document D.

The memo to the Provost was approved by vote of the Council.

**T-FSC COMMITTEE REPORTS**

*See attached Document E.*

There was no (additional) discussion or questions on the following submitted reports:

- EP & Faculty/Student Relations
- Faculty Benefits & Housing
- Finance & Policy Planning
- Response on Grievance Committee Request

**UNIVERSITY SENATE COMMITTEE REPORTS**

*See attached Document E.*

There was no (additional) discussion or questions on the following submitted reports:

- Public Affairs
- T-FSC Report to the Senate

**ADJOURNMENT**

The meeting adjourned at 2:00 PM.
TO: T-FSC

FM: PP&TM Committee

RE: For Your Consideration: Proposed revised letter to the Provost about the Policy concerning C-Faculty as Principal Investigators.

The T-FSC enthusiastically supports contract faculty engaging in research, and we warmly welcome their contributions to generating new knowledge and scholarship. However, we are concerned that the new provostial policy easing the authorization of C-Faculty to be principal investigators was introduced without discussion with the T-FSC, overlooking the centrality of research to the role of tenured and tenure-track faculty within the tripartite missions of the university.

These are our particular concerns:

1) The authorization for C-faculty to serve as PI's in "basic, applied, and experimental research" appears somewhat ambiguously open-ended for the community of C-faculty as a whole. We recognize that in many NYU schools there are non-tenured faculty who are exclusively supported by external research grants and whose appointments have been contingent upon continuity of funding. If the policy is conceived primarily for such contract research faculty in the sciences, engineering, and the health sciences, for example, we believe it would be prudent to so specify.

2) The assignment of responsibility for authorization to department chairs and deans identified that certain conditions must be met—but leaves others unstated. In particular, we regret that among the several enumerated conditions, the policy is silent on whether there is an expectation that the research project would align with or be distinct from other ongoing research projects in their departments or schools. While we understand that practice in most cases where C-Faculty are routinely engaged in research is already collegial and collaborative (and thus the alignment may be assumed), we believe that stipulating such expectations in the policy would better serve all faculty researchers in the following ways:
   a. It would reinforce the importance of protecting (and building on) established relationships with funding agencies and the global community of research scholars with whom all faculty conducting and overseeing research interact—as well as clarify differentiated responsibilities for mentoring of doctoral students and post-docs
   b. Given the constrained resources and exiguity of our research infrastructure in the sciences at NYU, it would help mitigate potential competition for adequate departmental resources, space, and personnel for the conduct of any new research activity.
3) We are also concerned that not clarifying the category of C-Faculty and Schools/Institutes for which the policy is primarily intended creates an ambiguity that might prove deleterious for some of our continuing contract faculty colleagues, especially in schools where C-faculty have a range of responsibilities, including teaching and administrative roles that do not normally include conducting funded research.

   a. This ambiguity could be remedied in part by having the policy require that the efforts of C-faculty as approved PI’s be *memorialized* in their letters of appointment, and include how much weight their serving as PI’s will represent in their reviews, consideration of promotion and/or renewal.

   b. In particular, we also think it would be prudent to affirm in the policy that creating a framework in which *some* C-faculty may serve as PI’s, does **not** mean that “evidence of original research, or securing external research-funding” will become a new threshold in the processes for the appointment, reappointment, or promotion for **all** C-faculty.

In short, in the spirit of shared governance, we would welcome the opportunity to work with the Provost’s office to develop a better articulated and more carefully delineated statement of policies in the contract research space, better to clarify the rights and intended expectations they are designed to codify.
P&T policy:
1. Section 3, paragraph 1: the PPTM committee prefers the original wording that was replaced. If revised wording is kept, suggest:
   a. Replace vague phrase “outstanding achievement”
   b. Replace “wide reputations” with “strong reputations” (?) or “national recognition” or some such
   c. Mention service here, as well, since it is expected
   d. Clarify that impact on policy is only expected in certain fields; overall clarify that there are different measures of scholarly success in different fields and that the candidate will be evaluated according to appropriate measures.
2. Section 4, Departmental Review Stage 1:
   a. Need clarification for schools that don’t have a department structure or other cases where pre-tenure faculty report directly to Dean. Similarly other situations where hierarchy is compressed (dean who is acting as dept head, etc)
   b. “The committee must not include scholars with whom the candidate has been closely associated, including but not limited to a thesis advisor, co-author or other close associate; such individuals are, however, eligible to participate in the full departmental discussion and vote on the committee report. “ -- this may be problematic for candidates who collaborate widely with colleagues in their department. In addition, here and elsewhere, perhaps there should be a “sunset” on old collaborations, similar to the rules NSF has for conflicts, e.g. no collaborations in the last 4 years. More generally, there are other kinds of conflicts of interest as well. It might be better to have a separate section defining conflicts of interest and refer to it here and elsewhere.
   c. “Depending on the P&T rules of the department or the school, the formal written report and recommendation of the Department P&T Committee may be…” Need to clarify what is in the formal written report. What artifacts should (or cannot) be evaluated in order to make a recommendation (e.g. scholarly works, letters of recommendation, etc.).
   d. Depending on the P&T rules of the department or the school, the formal written report and recommendation of the Department P&T Committee may be presented to the tenured department faculty of appropriate rank for a vote,” Suggest changing “may be presented” to “shall be presented”
3. Committee report
   a. Assessment of service: May want to minimize this component for Assistant professors up for tenure
4. External evaluators
   a. “The Department will solicit at least five (5) letters from outside evaluators who are recognized leaders in the candidate’s discipline.” Department should submit at least five letters, not just solicit them. [Suggest consideration of this formulation to clarify expectations: “The Department shall solicit letters from a
sufficient number of outside evaluators who are recognized leaders in the candidate’s discipline, to secure at least five letters constituting external testimony for the docket.....”

b. Co-authors: see comment above re co-authors from sufficiently distant past and other forms of conflict of interest

c. “In exceptional cases, the Department may also choose to include 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 letters may be included in addition to, but not instead of, the five letters from external evaluators not identified by the candidate. “ What kind of exceptional cases and how is it determined whether this will be permitted?

5. Dean’s Review : Stage II

a. “Such a committee may be either appointed by the Dean or elected by the school faculty or may be a combination of the two”. Suggest mandating that some portion of the committee (a majority of members?) be elected by the faculty.

b. It is unclear whether this section refers to the school-wide committee or some additional advisory committee that the Dean may form.

c. “The Dean will inform the Department Chair of the advice provided by the Advisory Committee on Promotion and Tenure, as well as of his/her own proposed recommendation to the Provost. In the case of a Dean's recommendation contrary to that of the Department, the Dean will also provide the dean’s advisory committee and the Department Chair with the reasons. The Department Chair will then have ten days in which to provide further information or counter-argument before the Dean's final recommendation is made to the Provost.” Does “contrary to that of the department” mean contrary to the department chair or contrary to the department P&T ? What about feedback and chance for further info for other kinds of disagreements, e.g. Dean disagreeing with advisory committee, advisory committee disagreeing with dept P&T or dept head, etc ?

d. “If the Dean has a reasonable doubt about the excellence of the docket, the Dean should share that information in his or her report and consider withholding a favorable recommendation. Indicators of doubt may include a split vote within the Department or School-Wide Committee, or a clear difference of opinion between the Department Committee and School-Wide Committee. The report should lay out, in substantive terms, the basis for the positive and negative votes.” Clarify. Distinguish between positive and negative recommendations and/or between Dean agreeing/disagreeing w/ recommendation from prior stages. [Suggest consideration of possible alternative language for the opening statement: “If the Dean has some reservations about aspects of an otherwise excellent docket,...”]
1. Section V.3: “A full-time assistant professor in any school, college, division, or department except the School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, the College of Dentistry and its departments, and the Rory Meyers College of Nursing and its departments, who is not promoted at the expiration of seven years as full-time assistant professor shall be ineligible for further full-time appointment in the University. … [goes on to say something similar for Stern, Langone, etc]"

Suggest striking this section, thereby allowing faculty who are denied tenure to apply for open contract faculty or administrative positions.

2. “A candidate for his or her first appointment in the rank of associate professor at New York University who has formally gained permanent or continuous tenure in another institution of higher education is subject to a tenure review at New York University at the department, school and university levels; a formal offer of an appointment with tenure can be made pending completion of the tenure review, and this condition shall be recorded in the appointment letter.”
   a. Consider rewording, changing “pending completion of the tenure review” to “contingent on a positive outcome of the tenure review”
   b. Similar issue later in document for full prof appointments
The School of Professional Studies has experienced turmoil in its leadership over the past few years, and the T-FSC Committee on Personnel Policies and Tenure Modification has had windows into the situation in the form of successive draft policies for its contract faculty sent to us for review.

Two previous iterations were recalled—the first because the former dean had unilaterally modified a version that had been elaborated with the school’s faculty council, and submitted his version to the Provost’s office without having presented it to the school faculty for a vote. The second version was put forward prematurely during a transitional period before the newly appointed acting dean had any opportunity to engage substantively with the policies, and she prudently requested that it be withdrawn. (A preliminary review—conducted separately by the T-FSC PPTM committee and our counterpart committed at the C-FSC—found the document excessively legalistic, suggesting that it was a product of an internal culture riven by reciprocal distrust.)

SPS is dependent on contract faculty and adjuncts to a greater extent than any other school. And it has been a source of contention that its policies governing C-Faculty appointment, review, and promotion have been so long in coming, leaving anomalous “provisional” rules in place that have been clearly prejudicial to its faculty community.

This background is provided because the policy document hereunder review projects an altogether different climate within the school. The cover letter from the SPS Dean accurately described the genuinely consultative process that produced the policies; and it is a measure of the institutional progress made that three-quarters of the eligible faculty voted on the policies, securing the support of nearly 90% of those who voted—and nearly two-thirds of all eligible C-faculty voters.

After careful review, the PPTM Committee members find the new policies to be generally well-crafted, straightforward, comprehensive, and consistent with many C-faculty policy frameworks found across the university on the whole. We did however note a few issues, which we hope can be addressed in the final version.

Once we had completed and made note of our own deliberations, we met jointly with our C-FSC counterparts to compare our perspectives and determine whether observations and resultant recommendations could be reconciled. That meeting was very constructive.
While it would normally be PPTM practice, as representatives of the T-FSC, in reviewing policies governing Continuing Contract Faculty to suggest (rather than specify) alternative approaches when we discern the need for re-consideration, we felt able to support the more directive recommendations formulated by the C-FSC because of their aspirational goals. For this reason, our two committees agreed to submit one set of comments and recommendations together.

In sum, it is the view of the PPTM that the policies submitted for our consideration along with the suggested clarifications and as many as possible of the joint recommendations that can be adopted will, once implemented, substantially improve the conditions of the C-faculty at SPS. Further, it is to be hoped that an approved faculty policies framework will help secure the truly constructive transformation in the relationship between that School’s faculty community and its administrative leadership—that appears already to be well underway.

We hope the T-FSC as a whole will support our analysis of and recommendations with regard to the proposed SPS C-Faculty Policies, to be found in the attached annotated document.
Joint Recommendations of the T-FSC & the C-FSC in regard to:

**NYU School of Professional Studies**  
Policies and Procedures for Reappointment and Promotion for Full-Time Continuing Contract Faculty

**BACKGROUND**

Dean Greenbaum initiated a review of the “School of Professional Studies Policies and Procedures for Reappointment and Promotion for Full-Time Continuing Contract Faculty.” On 11/4/19, the Faculty Council met and voted to advance the document to the entire Continuing Contract Faculty for review and comments. It was sent to our Continuing Contract Faculty on 11/11/19 followed by a faculty-only discussion at the full-time faculty retreat on 11/15/19. At the time of the retreat, faculty were invited to submit comments to the Faculty Council, which conveyed suggestions and concerns to Dean Greenbaum and the SPS Associate Dean on Monday 11/18/19. Dean Greenbaum and the SPS Associate Dean (name not given) addressed these concerns, incorporated suggestions, and finalized the document for a second Faculty Council vote. The Faculty Council voted on and endorsed the version attached here on 12/9/19 (9 yes, 2 no, and 2 abstentions). On 12/10/19 it was sent to the entire SPS full-time faculty for a vote. The full faculty vote concluded on 12/18/19 and the policy was endorsed. Of our 77 eligible faculty voters, 58 participated (75.3%), 51 (88%) voted yes, 6 (10.3%) voted no, and 1 (1.7%) abstained.

As part of the process of finalizing the SPS policy for its Clinical Faculty, NYU Provost Katherine E. Fleming invited the C-FSC to comment on the document called: “Policy for the Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty at the School of Professional Studies:

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” (December 19, 2019).

**NOTES FROM THE C-FSC COMMITTEE ON CONTRACTS & POLICY ISSUES**

1. The Grievance Process (provisionally approved by the Provost, 12/12/2018) was provided as a link. We have pasted this Grievance Process at the end of this document, so that we may present
our recommendations. That being said, the committee recommends that the Grievance Process be returned to the faculty for discussion, possible amendment, and for a confidential vote.

2. We note that Dean Greenbaum writes that the “collective goal was to produce a document that supports the unique mission of SPS while also being in alignment with the NYU Faculty Handbook and the Continuing Contract Faculty policies in place at other NYU schools.” For this reason, we have indicated when our recommendations align with the Continuing Contract polices in place at other NYU schools.

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

Our committee respectfully asks that responses to our recommendations be made within the body of this document for ease of review.

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Policy for the Appointment, Reappointment, and Promotion of Full-Time Continuing Contract Faculty at the School of Professional Studies

Minor Recommendation: Add date of approval of this policy.

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2 – 12.04.19
I. Preamble
This Policy Document is being implemented by the School of Professional Studies (SPS) to supplement NYU policies applicable to Continuing Contract Faculty as set forth in the Faculty Handbook and in the University Guidelines for Full-Time Continuing Contract Faculty Appointments, Grievance Procedures, and Disciplinary Regulations. The governing expectation in all the policies that follow is that the faculty will be routinely consulted in keeping with the principles of shared governance and the policies and guidelines of The Faculty Handbook. If any part of this policy document is inconsistent with NYU policies, the NYU policies in effect will supersede. As with all NYU policies, this policy is subject to change. The policies in effect at the time of an action will apply to that action. This policy will be reviewed every five years or sooner as necessary.

II. Introduction
The NYU School of Professional Studies is committed to an education that prepares students to apply and advance knowledge, creativity and innovation in real-world settings. SPS offers a professionally oriented curriculum that inspires the next generation of leaders to innovate, communicate, and succeed in evolving global environments and economies.

Singularly dedicated to this pedagogical mission, CCF members are essential to its fulfillment and vital to SPS. CCF support SPS through their commitment to teaching and pedagogy, their dedication to academic service and administration, and their scholarly, professional and/or creative achievements. Composed of scholars in traditional academic fields, experts in the teaching of languages, practitioners in the arts, and professionals in business, management, and other areas, the
CCF form the entire body of the full-time faculty at SPS, with the exception of a small number of tenured and visiting faculty.

III. Rights and Responsibilities of SPS CCF

CCF at all ranks are protected by academic freedom. CCF may serve as Principal Investigators for sponsored research with the support of the leader of their academic unit and the SPS Dean.1

All CCF are expected to provide service to the academic unit, the School, and/or the University in order to strengthen shared governance and advance SPS’s mission. CCF are expected to meet their professional and institutional commitments at the University on a regular basis throughout the academic year. These commitments include time spent on teaching, research, student advising, and various kinds of University or outside professional service on committees and in administrative or advisory roles.2 They should be active participants as committee members, student advisers, or in whatever other capacity they can render the best service in the affairs of their academic unit, SPS and the University.3

A. Teaching

CCF in the Center for Applied Liberal Arts, the Center for Global Affairs, the Division of Applied Undergraduate Studies, the Jonathan M. Tisch Center of Hospitality, the Preston Robert Tisch Institute for Global Sport, the Division of Programs in Business, the Center for Publishing, and the Schack Institute of Real Estate primarily teach in degree programs and hold the titles of clinical assistant professor, clinical associate professor, and clinical professor. It is common for these faculty to have multi-year contracts on a nine-month year and to teach three credit-bearing courses each fall and spring semester.4

CCF in the English Language Institute (ELI) primarily teach in non-credit programs and normally have multi-year contracts on an eleven-month year. ELI faculty typically teach 90 contact hours in the summer semester and 180 contact hours in each of the spring and fall semesters. ELI faculty commonly hold the titles of lecturer or senior lecturer. ELI faculty hired prior to 2018 may hold clinical faculty titles if converted to clinical status before September 1, 2020.

No additional compensation by reason of teaching overload may be paid to any CCF member during the period of a regular teaching assignment, except in emergency circumstances duly approved in advance by the Office of the Provost.5 With the approval of the academic unit leader and SPS Dean,

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1 Academic unit leader in this document refers to the highest-ranking member of the administration in each division and in the Center for Publishing. For revised policy on CCF serving as PIs, see: https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/continuing-contract-faculty-as-principal-investigators-of-sponso.html
2 The parameters of research include self-directed research expected of engaged disciplinary experts as well as PI status for approved research projects consistent with the Provost’s policy.
3 https://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/other-faculty-policies/responsibilities-of-the-faculty-member.html
4 Faculty in programs offering three-credit courses will teach a total of 9 credits and faculty in programs offering four-credit courses will teach a total 12 credits.
5 https://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/other-faculty-policies/responsibilities-of-the-faculty-member.html
CCF may teach executive education courses (non-credit and/or outside of SPS degree programs). The rate of compensation will be consistent with the terms authorized for executive education. Teaching responsibilities may also include, but are not limited to:

- Developing, creating, and teaching new courses and developing new curricula
- Engaging in program review and revision, accreditation compliance, and assessment
- Advising and mentoring students
- Supervising independent studies and internships

**Major Recommendation**

The current language is unclear with respect to teaching overload and compensation: “No additional compensation by reason of teaching overload may be paid to any CCF member during the period of a regular teaching assignment, except in emergency circumstances duly approved in advance by the Office of the Provost.”

We strongly recommend replacing the above sentence with the following language:

“In exceptional circumstances authorized in advance by the Office of the Provost, additional compensation shall be paid to any CCF member for teaching overload while maintaining a regular teaching assignment.”

**Major Recommendation**

The bullets identified as teaching responsibilities are in fact service. Remove the items below and insert under “Service”:

- Developing, creating, and teaching new courses and developing new curricula
- Engaging in program review and revision, accreditation compliance, and assessment
- Advising and mentoring students

**Major Recommendation**

At certain times faculty may be required to instruct a new course for the first time, and faculty should be given time to sufficiently prepare.

We strongly suggest the following language:

“At certain times, faculty may be required to instruct a new course for the first time, and should normally be given at least a semester’s lead time to prepare, or when necessary, release time from other duties or additional compensation.”
Major Recommendation

The supervising of independent studies requires the faculty invest additional time in teaching over their three/three course load and should be recognized.

We strongly recommend the following language:

“Faculty supervision of independent studies and internships shall be recognized either at the time through stipend or when the number of supervisions at the time or over time is equivalent to a taught course through course release.”

With the approval of the academic unit leader and the SPS Dean, CCF taking on additional teaching responsibilities may qualify for a reduced course load and/or stipend. Academic Director responsibilities, for example, would qualify.

B. Service and Administration

Service and administration are key components of faculty engagement and all CCF are expected to contribute in these areas. For faculty whose responsibilities are primarily administrative, greater weight will be given to performance in this area in both reappointment and promotion reviews. In providing service to SPS and/or the University, CCF may:

- Participate in administrative components of academic programs (admissions, committees, events)
- Serve on program, curricular, student affairs, or other SPS or University committees including task forces and working groups
- Participate in student recruitment, orientation, retention, and/or alumni activities
- Provide outreach to the community at large as a representative of SPS
- Contribute to policy-making, especially with regard to policies concerning to the mission of the School, program, and/or academic unit

With the approval of the academic unit leader and the SPS Dean, CCF participating in administrative duties on behalf of the program, academic unit, School, or University may qualify for a reduced course load and/or stipend. Academic Coordinator duties, for example, may qualify.

C. Scholarly Work, Creative Production, and Professional Activity

CCF expertise is crucial to teaching excellence in SPS and to the overall profile of its programs. SPS faculty are encouraged to be actively engaged in professional, scholarly, and/or creative work in their fields. Professional engagement includes a range of activities that may strengthen a faculty member’s professional profile, further fields of knowledge, enhance teaching excellence, and/or advance the mission of SPS.

Scholarly, Creative, and Professional activities may include, but are not limited to:

- Providing expert information about practice realities and new developments in the profession
- Producing scholarly and/or creative work in print, film, performance, or digital forms related to particular disciplines or fields of practice
- Contributing to policy-making locally, nationally, and/or globally in one’s field of expertise
Acting as a bridge to practice and academic communities by attending conferences; participating in professional associations; giving lectures, readings, performances, or presentations; serving on advisory boards or councils; and otherwise informing and/or shaping debates in relevant fields and/or disciplines

Success in applying for and receiving funding for authorized grant activity

Engaging in public intellectual activities, such as service to professional, non-profit, or community-based organizations on a local, national, or international level

With the approval of the academic unit leader and the SPS Dean, CCF pursuing scholarly, creative and/or professional activities that serve the program, academic unit, School, or University may qualify for a reduced course load and/or stipend. CCF participating in externally funded research programs, for example, may qualify.

D. Annual Faculty Activity Report (FAR)

All faculty are required to submit an annual report of activities and accomplishments to the leader of the academic unit following the form and process approved by the SPS Dean. Faculty must receive written feedback from their academic unit leader and/or SPS Dean about the report including a statement of whether or not the faculty member has met performance expectations required for reappointment. This statement will identify required areas of improvement as needed.

Faculty Activity Report Timetable:

Submissions for FAR follow a calendar rather than academic year and should include student evaluations and other materials from the previous January, Spring, Summer, and Fall terms.

| Written notification and distribution of the Faculty Activity Report (FAR) template to faculty | By November 1 |
| Faculty submit completed FAR to their academic unit leaders | By February 14 |
| Academic unit leader arranges one-on-one meetings and returns FAR with written comments that note whether expectations have been met or not | By March 31 |
| Faculty return the signed Faculty Evaluation Form to their academic unit leader | By April 14 |
| The academic unit leader submits all FARs and Faculty Evaluation Forms to OAFA | By April 28 |

Note: Minor Recommendation

It is unclear as to what OAFA is referring to in the sentence, “The academic unit leader submits all FARs and Faculty Evaluation Forms to OAFA.”

Suggested language: “The academic unit leader submits all FARs and Faculty Evaluation Forms to Office of Academic and Faculty Affairs (OAFA)”
IV. Appointment of SPS CCF

A. Search and Hiring
The SPS Dean solicits authorization from the Provost for faculty searches as set forth in annual academic planning documents. The rank(s) of the faculty member(s) to be sought is proposed by the leader of the academic unit, ideally following input from a unit-wide faculty meeting, and approved by the SPS Dean. Unless granted an exemption in the manner set forth in the University’s Recruiting and Hiring Policy, the leader of the academic unit must conduct a search to fill every approved full-time faculty position, whether a newly created or vacant line. SPS hiring practices for CCF shall be transparent and fair and should include CCF in the hiring process. In CCF recruitment processes, the name and title of all members serving on any search committee will be shared electronically with all SPS full-time faculty at the start of every search.

The search for all CCF positions should be managed by posting open positions using NYU’s online hiring system. All searches must include outreach to diverse candidate pools and must be publicized for a minimum of six weeks on the SPS website and in at least one external academic or industry-specific professional publication or website.

For each search process, the leader of the academic unit forms and charges an ad hoc search committee, which should include at least three CCF of whom the majority (if possible) must be from the affected academic unit, plus one ex-officio CCF member from outside of the academic unit. Every effort must be made to ensure that the search committee is diverse and inclusive. Each search committee will establish the desired qualifications and selection criteria appropriate to the position for which the search is being conducted, and the search committee will draw up a shortlist of candidates who meet these requirements. Efforts must be made to ensure diversity of candidates under consideration. Shortlisted candidates will be interviewed, and other means of assessing qualifications may be used, as appropriate, including review of applicants’ publications and teaching performance and a call for references. Shortlisted candidates should also be required to deliver a presentation that is open to the entire CCF of the academic unit. At the conclusion of the search process, the committee shall present a list of preferred candidates to the leader of the academic unit, who then submits their recommendation to the SPS Dean for approval. Candidates who accept offers of appointment may, with their academic unit leader’s support, seek elevated rank through the SPS Rank, Title, and Privilege (RTP) Committee process (See section V). The RTP Committee submits its recommendation to the SPS Dean for a final decision.

All contracts must include the following terms:

- Start and end dates of the appointment
- Academic responsibilities, including teaching load, benefits, and compensation

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8 Academic units with enough CCF should use a rotation system for search committee membership.
• Acknowledgement of release from part of the teaching load due to significant administrative responsibilities or due to receipt of grants
• Agreement to be bound by applicable University policies

Major Recommendation

We strongly recommend that contract should indicate whether appointment is subject to renewal.

Add the following bullet-point to the list above:

“Contracts should indicate whether appointment is subject to renewal.”

Major Recommendation

We strongly recommend that contracts or letters of reappointment indicate an explicit list of responsibilities.

Add the following bullet-point to the list above:

“Contracts will list explicit academic responsibilities and administrative responsibilities (if applicable).”

B. Terms of Appointments
Newly hired SPS CCF typically receive multiple-year contracts of two to three years. Initial appointments at the level of Language Lecturer, Senior Language Lecturer, and Assistant Professor (Clinical) are for two years; initial appointments for Associate Professor (Clinical) and Professor (Clinical) are for three years. These contract lengths allow SPS to recruit and retain high-caliber faculty while also supporting the School’s unique mission to provide innovative programs that not only recognize but also anticipate industry trends and emerging opportunities.

C. Ranks and Titles of Faculty
The definitions of ranks and titles below are intended as a framework for CCF appointments.

It is expected that CCF members are experienced and accomplished instructors, scholars, professionals, and/or artists in their disciplines or fields of practice, holding the highest degree appropriate to their field. Faculty at higher ranks are expected to demonstrate outstanding capabilities in their field and have nationally or internationally recognized achievements.

Visiting Appointments
Visiting appointments are given to individuals, including outstanding practitioners, who are teaching temporarily at SPS. These appointments are made by the SPS Dean and used primarily to address short-term programmatic needs. These appointments are usually for one single academic year but can be renewed for a second year, or, in rare circumstances, for a third year for a maximum of three
academic years in total. Visiting appointments cannot be converted to regular CCF appointments, but visiting faculty may apply to any position in an open competitive search.\(^9\)

**Language Lecturer**
Faculty appointed at this rank should hold a relevant advanced degree, demonstrate evidence of initiative in curricular development and language pedagogy, demonstrate an ability to engage in meaningful service or administrative work, and ideally have at least three years of language teaching experience and evidence of teaching excellence and effectiveness. Faculty at this rank should also demonstrate evidence of, or potential for, achievements in professional activities and research in their disciplines and/or areas of practice.

**Senior Language Lecturer**
Faculty promoted to the rank of Senior Language Lecturer should hold a relevant advanced degree and have at least six years of experience in and evidence of teaching excellence in higher education. Faculty at this rank shall have demonstrated strong contributions in curriculum revision or development, service and/or administrative work, and, where relevant, publications or other forms of scholarly, creative, and professional outputs in their disciplines and/or areas of practice.

**Assistant Professor (Clinical)**
Faculty appointed at the rank of Assistant Professor (Clinical) should hold an advanced degree (terminal in their field or discipline), have a significant industry or academic track record, and have at least three years of teaching experience and evidence of teaching excellence and effectiveness in higher education. Faculty at this rank should provide evidence of initiative in curricular development, demonstrate an ability or potential ability to engage in meaningful service or administrative work, and supply evidence of promise in scholarly or artistic work, and, where relevant, publications.

**Associate Professor (Clinical)**
Faculty appointed or promoted to the rank of Associate Professor (Clinical) should hold an advanced degree (terminal in their field or discipline), have a significant industry or academic track record, and should have at least six years of experience in and evidence of teaching excellence and effectiveness in higher education. Faculty at this rank shall have demonstrated strong contributions in curriculum revision or development, service and/or administration, and in their field of study or practice.

**Professor (Clinical)**
Faculty appointed or promoted to the rank of Professor (Clinical) should hold an advanced degree (terminal in their field or discipline), have a significant industry or academic track record, have at least six years of experience at the rank of Associate Professor (Clinical), and should provide evidence of teaching excellence and effectiveness in higher education. Faculty at this rank shall have demonstrated extraordinary contributions in curriculum revision or development, service and administration, in industry-relevant or artistic production, in academic and/or applied research, and in professional leadership. Clinical professors maintain national and international reputations in relevant areas.

### D. Voluntary Termination and Contract Stoppage

\(^9\) The hiring, reappointment and promotion policies and procedures covered in this document do not pertain to visiting faculty.
As required by the NYU Faculty Handbook, there are grounds for stopping or pausing the contract clock. Reasonable causes can include medical; personal; role as primary caregiver for child, spouse, parent, same-sex domestic partner; or by contractual stipulation or negotiation.

CCF members in the middle of a contract of two or more years may opt out of their contract provided they complete the current academic semester.

E. Special Academic Leave for Full-time Faculty, Professional Development Funds and Summer Session Teaching
Faculty may apply for Special Academic Leave in accordance with SPS Special Academic Leave policies for CCF. The School encourages faculty professional development and provides a modest annual support fund as well as opportunities to compete for small grants for research and to support continued growth in teaching, instructional design and curriculum development, scholarly activity, leadership, administration, and organizational development.

Summer (and January term) teaching appointments for faculty on nine-month contracts are optional and are made, subject to curricular needs and the faculty member’s desire to teach, for additional compensation provided that the faculty member has met their teaching load as agreed.

V. Reappointment of SPS CCF
Faculty peer reviews form an essential component of professional development and are intended to enable faculty to gain feedback, enhance their skills, and find new ways to contribute to the mission of the School. They also support the highest quality of teaching and performance. The process for review of full-time multi-year contracts shall include a peer review committee, which is advisory to the head of the academic unit in question and the SPS Dean.

A. Terms for Reappointment
Term eligibility: Language Lecturers are eligible for reappointment contracts of two years. Senior Language Lecturers and Assistant Professors (Clinical) are eligible in their first reappointment for a contract of two years. After the completion of two two-year contracts, Senior Language Lecturers and Clinical Assistant Professors are eligible for reappointment contracts of three years. Associate Professors (Clinical) are eligible for reappointment contracts of three years. Professors (Clinical) are eligible for reappointment contracts of five years. Shorter 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 program in which the clinical faculty member teaches, or (c) at the faculty member’s request.

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10 The policy may be found here: https://www.sps.nyu.edu/homepage/academics/office-of-academic-and-faculty-affairs/policies-and-documents/special-academic-leave.html
11 CCF on nine-month contracts who have not met their teaching load during the fall and/or spring semesters due to course cancellations will be given the option of teaching during the January and/or summer terms. CCF will only receive additional compensation for Summer or January teaching if they have met their regular semester teaching load.
Major Recommendation

With respect to the contract length of Language Lecturers, “Language Lecturer are eligible for reappointment contracts of two years.” This is in contrast to other schools’ terms of appointment at that level. It is also unclear as to the length of subsequent contracts. Subsequent appointments should be of at least the same length as the previous contract.

We strongly recommend the following language:

“Language Lecturer, Senior Language Lecturers and Assistant Professors (Clinical) are eligible in their first reappointment for a contract of two years. After the completion of two two-year contracts, Language Lecturer, Senior Language Lecturers and Assistant Professors (Clinical) are eligible for reappointment contracts of three years, subsequent appointments shall be for at least three years.”

Major Recommendation

The length of contract for subsequent contracts is unclear. Moreover, the length of contract for Associate Professors (Clinical) is not equitable to what is offered by the other schools:

Liberal Studies – “Five-year appointments: Five-year contracts are awarded upon promotion to Clinical Associate Professor.”

Tisch School of the Arts – “Associate Arts Professor: Six Year Term.”

Gallatin School of Individualized Study – “Clinical Associate Professors: First appointments are for five years; after the first appointment, reappointments are for six years.”

Institute for the Study of the Ancient World – “Five-year appointments: Normally, five-year contracts are awarded only upon promotion to Clinical Associate Professor.”

NYU Abu Dhabi – “Rank of Associate Professor: 4 years.”

We strongly recommend the following language:

“Associate Professors (Clinical) are eligible for reappointment contracts of five years, subsequent appointments shall be of at least same length.”
The length of contract for subsequent contracts is unclear. Moreover, the length of contract for Professors (Clinical) is not equitable to what is offered by the other schools:

Liberal Studies – “Five-year appointments: Five-year contracts are awarded upon promotion to Clinical Associate Professor.”

Tisch School of the Arts – “Arts Professor: Six Year Term. Unlimited reappointments; eligible for sabbatical and Emeritus status.”

Gallatin School of Individualized Study – “Clinical Full Professors: Appointments are for six years.

We strongly recommend the following language:

“Professors (Clinical) are eligible for reappointment contracts of six years, subsequent appointments shall be of at least the same length.”

Major Recommendation

We strongly recommend the following language:

“Faculty members on continuous two-year appointments who successfully complete two two-year contracts will undergo a formal review and shall move to at least a three-year appointment. Subsequent appointments shall be of at least the same length.”

Regular committee reviews of all CCF on contracts of three or more years take place in the penultimate year of their contracts. Regular committee reviews of all CCF on contracts of two years take place in the second year of their contracts. All faculty are reviewed annually by their academic unit leader. CCF contracts can be renewed a limitless number of times.

B. Process for Reappointment

All reviews of CCF are conducted by academic unit-specific Reappointment Committees (RCs). It is the responsibility of each academic unit leader to ensure that a RC is formed, that membership is regularly reviewed, and that it meets the standards and follows the procedures set out below. Annually in September, the Office of Academic and Faculty Affairs (OFAA) must supply each academic unit leader and each academic unit-level RC with a list of faculty eligible to be considered for reappointment.

The academic unit-level Reappointment Committee must:

1. Contain an odd number of full-time faculty (ideally, and at a minimum, three), each serving for two years
2. Include at least one alternate member in the event one member must be recused.
3. Exclude lecturers and clinical assistant professors with fewer than four years of full-time teaching experience at SPS.
4. Exclude individual faculty members that are applying for reappointment or promotion during the two-year RC cycle in question.

The Office of Academic and Faculty Affairs will work with academic unit leaders to hold an election and form a Reappointment Committee each year. Composition of committee and selection process must be on file with OAFA and updated annually. Members shall serve on the RC for two academic years and may not serve more than two consecutive terms.

**Major Recommendation**

*It should be clear that the election process is managed by the faculty.*

Add the following language:

“The process to elect members to the Reappointment Committee should be managed by a respective elected committee of the faculty.”

Where the academic unit is too small to generate a committee that meets requirements 1 through 4 above, academic units may identify a cognate academic unit with which to form a joint RC.

At least one member of the RC should be of equivalent or higher rank than any given candidate for reappointment. In cases where a clinical professor is reviewed for reappointment and there is no CCF of equivalent rank in the unit, the academic unit leader will make a request to OAFA to identify a clinical professor from another unit for the specific review. OAFA will maintain a list of all clinical professors and will randomly select an individual to serve on the RC. In such cases, a lower ranking member will not review this one case. The candidate in question must be informed of this in advance.

The RC in each academic unit chooses its own chair who serves as chair for two years and may not serve as chair more than two consecutive two-year terms.

A simple majority vote of the RC shall be required for a recommendation for reappointment or non-reappointment. The RC’s report should represent a collective judgment of the committee or, in the case of a divided opinion, the majority of the committee.

**Major Recommendation**

Add at the end of the paragraph language highlighting that all votes shall be confidential,

“All votes shall be by secret ballot.”

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13 In the event there are two lower ranking members, they will alternate reviewing cases such as these.

14 – 12.04.19
This is in line with other parts of the University, e.g., Center for Urban Science and Progress, Gallatin, Liberal Studies, Stern, Shanghai, and the Law School.

The RC report includes the outcome of the vote and a brief statement of the basic arguments for or against reappointment. The report will be provided to the leader of the relevant academic unit, according to the timetable in Section IV F.

**Major Recommendation**

Add language detailing the process governing the creation of the review committee’s report, similar to that found on the FAS website, “Procedures for Reappointment and/or Promotion” for clinical faculty (http://as.nyu.edu/object/aboutas.pp.assocdean.recruitment.html), adapted as follows:

“The review may be written by one or more member of the Review and Reappointment Committee, but all members of the committee should read the review before it is submitted to the Dean. The review should represent a collective judgment of the committee or, in the case of a divided opinion, a majority of the committee. If there is a division of opinion, the minority opinion should be appended to the majority review.”

This paragraph is in line with other parts of the University, e.g., Center for Urban Science and Progress, FAS Clinical Policies, FAS Language Lecturers, Gallatin, Institute for the Study of the Ancient World, Liberal Studies, Stern, Abu Dhabi, Shanghai, Law, and Tandon.

The RC is advisory to the leader of the academic unit. The academic unit leader must state in writing his, her, or their reasons for accepting or rejecting the RC’s recommendation to reappoint or not reappoint. The unit leader’s statement, along with the RC’s recommendation, must be submitted to the SPS Dean, who informs the candidate in writing of the Dean’s final decision, including a written rationale for the length of the new appointment. At their discretion, the SPS Dean may request additional information from the RC or academic unit leader. CCF on contracts of three or more years must be notified by August 31st or one year prior to the conclusion of the contract. However, all efforts will be made to notify faculty by May 31st, fifteen months prior to the conclusion of the contract. Faculty with two-year contracts must be notified by March 1st or 180 days prior to the conclusion of the contract. In the event of a decision for non-renewal, the SPS Dean will notify the faculty member in writing that the contract will be terminated at the conclusion of the contract.

**Major Recommendation**
Add detailed information that in line with other parts of the University, e.g., CUSP, FAS Clinical, FAS Lecturer, Liberal; Studies, and Stern:

“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.

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

Major Recommendation

In the case of schools where a division dean or an academic unit leader receives the committee report and passes that with a recommendation to reappoint or to promote to a school Dean (as at Liberal Studies and Tandon), add language to ensure that the school Dean receives the full record and recommendation of the Review Committee, as well as the recommendation of the divisional dean or academic unit leader, (similar to Liberal Studies and to the following language from Liberal Studies and Tandon):

“The Chair or the academic unit leader will forward the report of the promotion committee and closed vote to the Dean along with his or her own recommendation. The recommendations of the review committee, the voting faculty and the Department Chair are all advisory to the Dean. The Dean will make a decision on the promotion case and notify the Department Chair.”

Major Recommendation

We strongly recommend the following language:

“The academic unit leader must forward the full record and recommendation of the Review Committee, as well as the recommendation of the academic unit leader to the school Dean along with the committee's recommendation and any comments from the faculty.”

Major 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.recuitment.html):

“If the school Dean's decision is contrary on appointment, title, or length of contract to that of the Review and Reappointment Committee or the Promotion Committee or the divisional dean, 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.”

This is in line with other parts of the University, e.g., Center for Urban Science and Progress, Gallatin, and Abu Dhabi.

In the event a faculty member is not reappointed, the faculty member may pursue a grievance according to the Grievance Policy described in Section VII. Faculty members may not pursue a grievance for failure to meet the specific dates listed in the timeline in Section E as these dates are indicative. However, all parties (the candidate for reappointment, the RC, the academic unit leader, OAFA and the SPS Dean) should ensure that no part of the process deviates significantly (more than ten business days) from the suggested dates.

Major Recommendation

Clarify that on appeal of a negative decision regarding reappointment or promotion by the dean that the candidate will have access to the Review/Promotion Committee’s full report, including its recommendation and any comments from the faculty by adding language similar to the Center for Urban Science and Liberal Studies:

“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.”

C. Materials for Reappointment
The reappointment process consists of a thorough review of a portfolio of evidence of accomplishment in teaching, service, and professional activity submitted by the faculty member in question. This portfolio must include:

1. Current CV
2. Annual Faculty Activity Reports (with attachments, faculty evaluation summary, and any faculty response) for the current contract term and up to one year preceding the start of that term (see Section IV. F.)
3. Additional syllabi, sample assignments, student course evaluations, peer evaluations, observation reports, statement of teaching philosophy, etc. that are available but not included in recent faculty activity reports.
4. Personal statement

The portfolio may also include, if relevant, and at the discretion of the faculty member:

5. A professional file indicating publications, creative production, industry-relevant work, etc.
6. If applicable, indicators of accomplishment and contribution such as peer reviews of publications, citations and other ratings, recognition in conventional and social media, etc.

Due to variations in the nature of CCF contributions across the School, more specific evidence of excellence and achievement will differ by academic unit. Units are encouraged to develop their own written examples of activities relevant to the review process. These examples should be shared with and maintained by the OAFA to ensure high and comparable standards are upheld throughout the School.

D. Criteria for Reappointment

The Reappointment Committee shall consider evidence of teaching excellence, performance in areas of SPS and University service, and a faculty member’s professional activities in the context of teaching expertise and/or professional profile. In assessing these areas, the Reappointment Committee shall consider the candidate’s overall contributions to the mission of SPS. In assessing teaching, the committee shall consider a broad range of evidence and activities. These include, but are not limited to, statement of teaching philosophy; course and/or curriculum development in SPS and/or in other parts of the university; innovations in pedagogy; participation in teaching workshops and consultations within NYU or elsewhere; data from student evaluations; peer observations; evidence of student advising and mentoring; and evidence of faculty mentoring. In assessing service and/or administration to the program or the University, the committee shall consider a range of activities. These include, but are not limited to, service on committees; participation in SPS student affairs such as advising student activities; planning and offering events or programs; participating in student recruitment, orientation, retention, or alumni activities; and providing outreach to the community at large as a representative of SPS. For faculty whose responsibilities are primarily administrative, greater weight will be given to accomplishments in this area.

The committee shall assess accomplishments in a candidate’s field of practice and/or other relevant scholarly, creative and professional activities with a focus on the candidate’s professional profile, enhancements to a particular field or industry, and contributions to the overall mission of SPS. In assessing scholarly, creative and professional accomplishments, the committee shall consider a range of materials, including but not limited to: published books; articles; conference/workshop events and presentations; and creative exhibits, projects, productions, and products in any format. The committee’s written review shall indicate the strengths and/or weaknesses of the faculty member under consideration in relation to SPS criteria.

Major Recommendation

For clarity, we suggest that following phrase “For those faculty whose responsibilities include scholarship, creative work, and related activities,” be added to the first sentence of the previous paragraph, so that it reads, “For those faculty
whose responsibilities include scholarship, creative work, and related activities, the committee shall assess accomplishments ….”

Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint may be impacted by curricular and structural changes and improvements in academic programs. 13 When appropriate, the Procedures for Termination or Reorganization of Academic Programs as found in the Faculty Handbook should be followed as well as any school policies and by-laws. The review in such cases would focus, in addition to the assessment of quality and excellence described below, on whether the faculty member could teach in the revised curriculum and/or new academic structure. If non-reappointment takes place due to curricular or structural changes then that reason must be stated clearly in the written performance review of the faculty member. Efforts should be made to redeploy the faculty member in another area in which the faculty member has expertise.

E. Timeline for Reappointment
Review for reappointment occurs in the penultimate year of the contract for CCF on contracts of three or more years and shall be completed by the end of that penultimate year.

In the semester prior to the review, OAFA notifies the faculty member that they are scheduled for their committee review via letter with a copy going to the leader of the academic unit. In the event of a decision not to reappoint, the CCF member shall be notified of the intention not to reappoint no later than August 31st of the penultimate year (but preferably by May 1st) for those faculty on a contract of three or more years that commenced on September 1st. The faculty member may grieve according to the SPS CCF Grievance Policy referred to in Section VII. Any CCF member whose multi-year appointment is due to terminate on a date other than August 31st must be notified of the intention not to be reappointed no later than twelve months prior to the termination date.

In the case of a faculty member on a one-year or two-year contract the faculty member must be notified of the intention not to reappoint at least 180 days before termination of the contract, but for those on two-year contracts preferably one year prior to termination of the contract. Review date may need to be adjusted according to appointment dates. (These timetables represent guidelines and faculty may not grieve a failure to meet a School deadline set forth here.)

The Reappointment Process Timetable:
The guideline timetable for review of a faculty member with a multi-year appointment of three or more years that terminates on August 31 is as follows:

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>OAFA notifies faculty members who are scheduled for a penultimate year review</td>
<td>By November 1</td>
</tr>
<tr>
<td>Faculty submit their materials to the leader of the relevant academic unit and the Reappointment Committee</td>
<td>By February 1</td>
</tr>
<tr>
<td>The Reappointment Committee sends its written recommendation to the academic unit leader</td>
<td>By March 15</td>
</tr>
<tr>
<td>The academic unit leader submits recommendation to the SPS Dean.</td>
<td>By April 1</td>
</tr>
<tr>
<td>The SPS Dean provides written notification to the faculty member and the academic unit leader of the Dean’s final decision</td>
<td>By August 31 (preferred date May 31)</td>
</tr>
</tbody>
</table>
The guideline timetable for review of a faculty member with an appointment of two years that terminates on August 31 is as follows:

<table>
<thead>
<tr>
<th>Event</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>OAFA notifies faculty who are scheduled for a review</td>
<td>By September 1 of the second year of the contract</td>
</tr>
<tr>
<td>Faculty submit their materials to the relevant academic unit leader and the relevant Reappointment Committee</td>
<td>By November 1</td>
</tr>
<tr>
<td>The Reappointment Committee sends its written recommendation to the academic unit leader</td>
<td>By December 15</td>
</tr>
<tr>
<td>The academic unit leader submits a written recommendation to the SPS Dean.</td>
<td>By January 25</td>
</tr>
<tr>
<td>The SPS Dean provides written notification to the faculty member and the academic unit leader of the Dean’s final decision.</td>
<td>By March 1</td>
</tr>
</tbody>
</table>

VI. Promotion of SPS CCF
Promotion recognizes achievements in teaching excellence, contributions in service and administration in SPS and/or the University, and accomplishments in professional activities within a candidate’s disciplinary areas and/or fields of practice. The SPS Rank, Title, and Privilege (RTP) Committee reviews all candidates seeking promotion and considers the overall impact of the candidate’s accomplishments and contributions in furthering the mission of SPS.

A. Process for Promotion
All proposed promotions of CCF are conducted by the RTP Committee. Candidates seeking promotion submit a complete portfolio to their academic unit leader as outlined in section V. C. The academic unit leader reviews the portfolio and writes a report detailing their assessment of the promotion request. The portfolio and the academic unit leader’s assessment are then shared with the School’s RTP Committee.

The committee’s written review should indicate the strengths and weaknesses of the faculty member under consideration in relation to School criteria, and will recommend that the candidate be promoted or not promoted. A majority vote will be required to generate a recommendation. A dissenting opinion can be appended to the written majority recommendation.

The RTP Committee will vote on each case by closed ballot. The committee’s decision to recommend promotion or not, as well as the report detailing the recommendation, will be forwarded to the leader of the academic unit and the SPS Dean. The SPS Dean will review all material and recommendations. At their discretion, the SPS Dean may request additional information from the RTP Committee and/or the academic unit leader. The SPS Dean will make a final decision and will communicate the decision to the faculty member with a copy to the academic unit leader.

Major Recommendation

Add language detailing the process governing the creation of the review committee’s report, similar to that found on the FAS website, “Procedures for Reappointment and/or Promotion” for clinical faculty (http://as.nyu.edu/object/aboutas.pp.assocdean.recruitment.html). This is in line with other parts of the University, e.g., Gallatin, Liberal Studies,
Shanghai, and Tandon:

“The review may be written by one or more member of the RTP Committee, but all members of the committee should read the review before it is submitted to the Dean. The review should represent a collective judgment of the committee or, in the case of a divided opinion, a majority of the committee. If there is a division of opinion, the minority opinion should be appended to the majority review.”

Major Recommendation

We strongly recommend the addition of detailed information in line with other parts of the university, e.g., CUSP, FAS Clinical, FAS Lecturer, Liberal Studies, and Stern:

“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.

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

Major Recommendation

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

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

Major 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 school Dean's decision is contrary on appointment, title, or length of contract to that of the Review and Reappointment Committee or the Promotion Committee or the divisional dean, 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.”

Major Recommendation

Add language similar to the following (paraphrased from CUSP and Liberal Studies):

“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.”

The schedule of deadlines for promotions provided in Section VI. E. should be followed so that the Dean’s decision reaches the faculty member by May 21st. Following this deadline, the faculty candidate may respond in writing.

B. Criteria for Promotion

While some variation between academic units is to be expected in demonstrating how faculty meet the criteria for promotion, any faculty member seeking to apply for promotion must satisfy the following basic criteria:

Promotion to Associate Professor (Clinical)

A clinical faculty member ordinarily should hold an advanced degree (terminal in their field or discipline), where applicable have a significant industry or academic track record, and should have spent at least six years at the rank of Assistant Professor (Clinical) to be eligible for promotion to Associate Professor (Clinical). Promotion requires evidence of excellence and effectiveness in teaching. Faculty seeking this rank should demonstrate significant contributions to curricular revision and development, service and administration, scholarly and/or artistic work, and/or professional industry-relevant fields. Any faculty member at the rank of Assistant Professor (Clinical) has the option to request review for promotion to Associate Professor (Clinical) earlier if the individual can demonstrate exceptional achievements.

Promotion to Professor (Clinical)

A clinical faculty member ordinarily should hold an advanced degree (terminal in their field or discipline), where applicable have a significant industry or academic track record, and should have spent at least six years at the rank of Associate Professor (Clinical) to be eligible for promotion to the rank of Professor (Clinical). Promotion requires evidence of exceptional performance in teaching, curricular revision and development, service and administration, industry-relevant or artistic production, professional leadership, and academic and/or applied research. Faculty seeking this rank should demonstrate that they hold and maintain national or international reputations in relevant areas.
Any faculty member at the rank of Associate Professor (Clinical) may also request promotion to Professor (Clinical) earlier if the individual can demonstrate exceptional achievements.

**Promotion to Senior Language Lecturer**
A faculty member ordinarily should hold a relevant advanced degree and have spent at least six years at the rank of Language Lecturer to be eligible for promotion to Senior Language Lecturer. Promotion requires evidence of excellence and effectiveness in teaching, service and administration, and industry-relevant activity. Faculty at this rank shall have demonstrated strong contributions in curriculum revision or development, service and/or administrative work, and, where relevant, publications or other forms of scholarly, creative, and professional outputs in their disciplines and/or areas of practice. Any faculty member at the rank of Language Lecturer has the option to request review for promotion to Senior Language Lecturer earlier if the individual can demonstrate exceptional achievements.

At all ranks above, for faculty whose responsibilities are primarily administrative, greater weight will be given to performance in this area in promotion reviews.

**C. Materials for Promotion**
Candidates for promotion may apply according to the deadlines for application published by OAFA as long as they have met the criteria of mentioned in *Sections V. A and V. B*. Candidates will submit a portfolio to the leader of their academic unit. The portfolio must include:

1. Current CV
2. Annual Faculty Activity Reports (with attachments, faculty evaluation summary, and any faculty response) available for the current contract term, and up to five years prior to applying for promotion
3. Evidence of teaching excellence including additional syllabi, sample assignments, student course evaluations, peer evaluations, observation reports, etc.
4. A personal statement in support of promotion, including a brief essay describing and reflecting upon their contributions to their division, to SPS, and to the wider University, including teaching, student advisement, service, and/or scholarly or creative work
5. Three professional letters of reference, of which one must be external to SPS (the letters of reference are solicited by the candidate and uploaded into Interfolio; OAFA then includes them in the portfolio)
6. All previous review and promotion committee recommendations; all previous academic unit leader recommendations

The portfolio may also include, if relevant, and at the discretion of the faculty member:

1. Documentation of all scholarly and/or creative work and/or industry-specific practice, including publications, creative output, or commissioned work.
2. Indicators of accomplishment and contribution such as peer reviews for publications, citations and other ratings, industry or policy-relevant projects, recognition in conventional and social media, etc.

**E. Timeline for Promotion**
An annual schedule of deadlines for promotion review is published online by OAFA and a notice is sent to all faculty. (These timetables represent guidelines and faculty may not grieve a failure to meet a School deadline set forth here.)

**The Promotion Process Timetable:**

<table>
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<tr>
<th>Event</th>
<th>Deadline</th>
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<tbody>
<tr>
<td>Faculty member notifies the academic unit leader and OAFA of intent to apply for promotion</td>
<td>By December 1</td>
</tr>
<tr>
<td>The faculty member submits the portfolio to relevant academic unit leader for review.</td>
<td>By February 14</td>
</tr>
<tr>
<td>The leader of the academic unit assesses candidate’s portfolio, and submits their review and candidate’s portfolio to the RTP Committee</td>
<td>By March 23</td>
</tr>
<tr>
<td>The RTP committee makes a written recommendation to promote or not to promote to the SPS Dean</td>
<td>By April 21</td>
</tr>
<tr>
<td>The SPS Dean considers all material, including the academic unit leader’s assessment, makes a decision, and communicates it to the academic unit leader.</td>
<td>By May 15</td>
</tr>
<tr>
<td>The SPS Dean communicates the final decision to the faculty member in writing, with copy to academic unit leader, and provides the opportunity for the candidate to respond in writing.</td>
<td>By May 21</td>
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</tbody>
</table>

**VII. Grievance Procedure**

In accordance with the SPS Grievance Policy, CCF faculty may appeal the decision of the SPS Dean (or their proxy) regarding reappointment or promotion.14

**VIII. Amendments**

The SPS Dean, or SPS Faculty Council, or SPS CCF may suggest changes or amendments to this policy as outlined in the Faculty Council Charter. Any proposed changes are subject to a vote by the SPS CCF and review and approval by the SPS Dean and NYU Provost.

[PLEASE CONTINUE TO THE NEXT PAGE: GRIEVANCE POLICY]

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14 The policy may be found here: 
FULL-TIME CONTINUING CONTRACT FACULTY
GRIEVANCE POLICY

SECTION 1. INTRODUCTION

1.1 The purpose of this document is to establish the NYU School of Professional Studies (SPS) policy and procedures by means of which a Full-Time Continuing Contract Faculty member can seek redress for her or his grievance(s).

   This policy is responsive to the University’s commitment to academic excellence and its responsibility to provide students with access to an excellent education, and cognizant of its responsibility to faculty to afford them due process and a fair hearing of their complaints.

1.2 This SPS policy aligns with and incorporates University policy set forth in the Faculty Handbook under Faculty Policies Applicable to Full-Time Continuing Contract Faculty Grievance Procedures and specifies the process for SPS.

1.3 Grievances connected with reappointment and promotion are addressed in a manner that conforms to the general appointment procedures. The initial protection for the faculty member is documented in the New York University Faculty Handbook under Academic Freedom, which cites Title I ‘Statement in Regard to Academic Freedom and Tenure’ Section II. The Case for Academic Freedom, and Section IV. Academic Freedom; and the NYUSPS Faculty Handbook under ‘Terms and Conditions of Appointment and Reappointment.’

Major Recommendation

   The grievance/appeal process, of crucial importance to the faculty, should be developed by the faculty and needs to be added to the Policy document.

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

Major Recommendation

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

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

1.4 It is expected that most grievance cases, particularly those concerned with matters such as duties, salaries, perquisites, working conditions, and other matters will be settled within SPS.

1.5 SPS has established a Full-Time Continuing Contract Faculty Grievance Advisory Committee to hear grievance cases in order to advise the Dean. This grievance committee is elected by the Full-Time Continuing Contract Faculty and shall be a standing committee of SPS. The committee shall not include academic directors, associate deans, or any faculty member whose primary assignment is administrative within an academic unit or within the SPS Office of the Dean.

SECTION 2. APPLICABILITY

2.1 A grievant must be a faculty member of New York University when he or she initiates the appellate grievance procedure, described below “Appeals from a Dean’s Decision on Appointment, Reappointment, or Promotion” (Section 6).

2.2 Faculty members covered by this policy are Full-Time Continuing Contract Faculty as defined in the Faculty Handbook under Faculty Titles⁴ and who are covered by the NYUSPS Standards and Procedures for Appointment and Reappointment of Full-Time Continuing Contract Faculty (“FTCCF”) policies.

2.3 Faculty members whose primary assignment is administrative are covered by this policy insofar as the grievance concerns their faculty appointment. These faculty members serve in an administrative capacity at the Dean’s discretion; in accordance with the Faculty Handbook under Term of Administrative Appointments⁵ and they are not entitled to grieve the decision of the School to terminate their administrative or staff appointment.

2.4 This policy does not cover conflicts between faculty members, unless the faculty member against whom the grievance is lodged was in that case acting administratively. Resolution of questions concerning which capacity gave rise to the grievance shall be a jurisdictional matter for the SPS Dean.
2.5 A copy of the SPS grievance procedure should be made widely available and easily accessible to all Full-Time Continuing Contract Faculty members.

SECTION 3. CONFIDENTIALITY

3.1 Members of the Grievance Committee and participants in all proceedings of this policy are expected to maintain the confidentiality of the proceedings to the greatest extent possible, consistent with the Committee’s goal of conducting a thorough and complete review, and to the extent permitted by law. This expectation extends to any communications during the grievance process between the Committee and the SPS Dean.

SECTION 4. GRIEVABLE MATTERS

4.1 Types of Faculty Grievances

Following the Faculty Handbook, grievances can be made regarding matters in two general areas:

1. Reappointment and promotion
2. Other matters, such as duties, salaries, perquisites, and working conditions

4.2 Grievances relating to Reappointment and Promotion

4.2.1 Basis for Grievance

With respect to grievances related to reappointment and promotion, outcomes of the review process can be grieved only to the extent that they involve violation of University-protected rights of faculty members. Thus, a grievant must allege that the procedures used to reach the decision were improper, or that the case was not given adequate consideration; or that the decision(s) violated the academic freedom of the faculty member in question, as documented in the Faculty Handbook, in which case the burden of proof falls to the grievant.

4.2.2 Who Can Grieve:

Full-Time Continuing Contract Faculty on multi-year contracts of three years or more who are subject to a review process to determine whether they are to be reappointed, have a right to grieve the process in the event it leads to a negative decision with respect to reappointment or promotion or the terms of reappointment or promotion. He or she is entitled to grieve in that he or she is denied reappointment without review for reasons other than elimination of the position.

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1 This policy has been provisionally approved by the Office of the Provost as of fall 2018, pending the final approval of the Standards and Procedures for Appointment and Reappointment of Full-Time Continuing Contract Faculty.
The Faculty Handbook Faculty Policies Applicable to All or Most Members of The Faculty Including Tenured/Tenure Track Faculty, Full-Time Continuing Contract Faculty, and Other Faculty, Academic Freedom are available at: http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/other-faculty-policies/academic-freedom.html.


The Faculty Handbook Faculty Policies Applicable to All or Most Members of The Faculty Including Tenured/Tenure Track Faculty, Full-Time Continuing Contract Faculty, and Other Faculty, Term of Administrative Appointments are available at: http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/other-faculty-policies/term-of-administrative-appointments.html.

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

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

4.2.3 What Cannot Be Grieved:

Grievances cannot be made when SPS does not undertake a reappointment process for a position because the position will be eliminated at the end of a contract, and no similar position is open. Such cases will not be the basis for a grievance.

4.3 Allegations that discrimination on the basis of race, gender and/or gender identity or expression, color, creed, religion, age, national origin, ethnicity, disability, unemployment status, veteran or military status, sex, sexual orientation, marital or parental status, citizenship status, or any other legally protected basis, affected decisions on reappointment and promotion should be brought to the attention of NYU’s Office of Equal Opportunity.

4.4 Issues related to duties, salaries, perquisites, and working conditions

All Full-Time Continuing Contract Faculty, including faculty on one-year appointments, may grieve matters other than promotion and reappointment, such as duties, salaries, perquisites, and working conditions.

6 The Faculty Handbook Faculty Policies Applicable to Full-Time Continuing Contract Faculty are available at: http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/faculty-policies-applicable-to-full-time-continuing-contract-faculty.html.

7 The Faculty Handbook Faculty Policies Applicable to All or Most Members of The Faculty Including Tenured/Tenure Track Faculty, Full-Time Continuing Contract Faculty, and Other Faculty, Academic Freedom are available at: http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/other-faculty-policies/academic-freedom.html.
SECTION 5. PROCESS AND PROCEDURE: GENERAL OVERVIEW

5.1. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties. If a faculty member’s grievance is not settled informally at the level of the Associate Dean, Associate Dean of Academic and Faculty Affairs, or the SPS Dean himself or herself, the faculty member may appeal to the SPS Dean to convene the SPS Full-Time Continuing Contract Faculty Grievance Advisory Committee.

A grievant wishing to bring a matter before the SPS Full-Time Continuing Contract Faculty Grievance Committee must submit a Notice of Grievance to the Dean’s Office. The Notice of Grievance shall contain a concise statement of the substance of the complaint, and a summary of the faculty information in support of the complaint, together with documentation, if any.

The SPS Dean shall review the request to ensure it is considered a grievable matter as outlined in Section 4 and shall inform the faculty member accordingly. If the matter is grievable, the SPS Dean shall convene the SPS Full-Time Continuing Contract Faculty Grievance Advisory Committee within 15 working days of the receipt of the written request from the grievant. In any instance in which the Dean has not convened the School’s grievance committee within the mandated 15 working days, the faculty member has the right to bring it to the attention of the Office of the Provost. An exception to this may be made only with the consent of the grievant, the SPS Dean, and the Provost.

* Major Recommendation

The requirement that “The SPS Dean shall review the request to ensure it is considered a grievable matter” is not in line with other policies, of which none has such a requirement; moreover, it creates a conflict of interest when the grievant is grieving against the SPS Dean.

Delete the above phrase and insert the following language:

“The SPS Dean shall convene the SPS Full-Time Continuing Contract Faculty Grievance Advisory Committee within 15 working days of the receipt of the written request from the grievant.”

Major Recommendation

We strongly recommend the addition of the following language (paraphrased from Liberal Studies and Tandon):

“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 copy of the
committee’s report provided by the committee.”

52. The SPS Full-Time Continuing Contract Faculty Grievance Advisory Committee does not judge the professional merits of the case, but considers the grounds as specified above (Section 4.2.1).

53. The SPS Full-Time Continuing Contract Faculty Grievance Advisory Committee shall proceed to assemble the relevant facts and may seek additional information or evidence pertinent to the case from appropriate, informed, and relevant sources. The Grievance Advisory Committee shall assess the accuracy, credibility, and relevance of any information it collects. In soliciting information from any third party, rights of privacy and confidentiality shall be protected.

54. After considering the evidence, the Committee should reach a conclusion as to what it deems are the relevant facts, set these forth in writing, and then make a recommendation to the Dean for specific action.

55. After obtaining the recommendation of the grievance committee, the Dean shall decide the case and in writing shall notify the concerned parties and the grievance committee of his or her decision, together with reasons therefore, and information on the procedure for appeal.

Major Recommendation

We strongly recommend the addition of the following (paraphrased from the Liberal Studies and Tandon):

“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.”

56. The parties may reach a mutually agreed upon resolution to the grievance at any time. If they reach such agreement after the Grievance Advisory Committee has begun its work, the parties shall notify in writing the Chair of the SPS Full-Time Continuing Contract Faculty Grievance Advisory Committee. The specific terms of the mutually agreed upon resolution need not be shared. The Chair of the Grievance Advisory Committee shall inform the committee of the resolution. The Grievance Advisory Committee shall then cease work upon receipt of such notification and shall have no obligation to enforce the parties’ mutually agreed resolution.

Major Recommendation

Add the following language (quoted from the Liberal Studies and Tandon):
“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).”

SECTION 6. APPEALS

6.1. Appeals from a Dean’s Decision on Appointment, Reappointment, or Promotion

6.1.1. Appeals from such decisions can be made only on the following grounds:

• That the procedures used to reach the decision were improper, or that the case received inadequate consideration;

• That the decision violated the academic freedom of the person in question, in which case the burden of proof is on that person.

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

6.1.3. Where such an appeal is made, the Dean shall transmit to the Provost a report of the proceedings in the case at its earlier stages. The Provost shall in each case obtain the advice of an advisory committee – the Continuing Contract Faculty Grievance Committee – drawn from a standing committee that shall consist of the members of the Full-Time Continuing Contract Faculty Senators Council (C-FSC) Grievance Committee and the Tenured/Tenure Track Faculty Senators Council (T-FSC) Grievance Committee; in each case committee members shall be selected by the relevant faculty senators council but need not necessarily be members of the particular council. The Continuing Contract Faculty Grievance Advisory Committee shall consist of three members, none of whom are from the grievant’s school: one from the C-FSC standing committee, one from the T-FSC standing committee, and one senior administrator selected by the Steering Committee of the C-FSC.

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

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

6.1.6. After receiving the advice of the Continuing Contract Faculty Grievance Advisory Committee, the Provost shall decide the case and notify the grievant, the Dean and the Chairperson of the Continuing Contract Faculty Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The Provost’s decision is final and subject to no further review.

6.2. Appeals from a Dean’s Decision on Other Matters Such as Duties, Salaries, Perquisites, and Working Conditions

6.2.1. Appeals from such decisions can be made only on the following grounds:
- That the procedures used to reach the decision were improper, or that the case received inadequate consideration;
- That the decision violated the academic freedom of the person in question, in which case the burden of proof is on that person.

6.2.2. Where such an appeal is desired by a Continuing Contract faculty member, the faculty member must inform the Provost in writing within 15 days after he or she is notified of the Dean’s decision. The Provost shall then make informal procedures available.

SECTION 7. GRIEVANCE ADVISORY COMMITTEE COMPOSITION

7.1 In order to adjudicate formal faculty grievances there shall be established a Full-Time Faculty Grievance Advisory Committee to the SPS Dean in the following manner:

7.1.1. The Full-Time Continuing Contract Faculty Grievance Advisory Committee will consist of full-time faculty from across the SPS, with no more than one (1) member from each academic unit.

7.1.2. Members of the Full-Time Continuing Contract Faculty Grievance Advisory Committee shall be elected by the faculty at-large for a two-year term.

7.1.3. The Full-Time Continuing Contract Faculty Grievance Advisory Committee shall not include deans, department chairpersons or academic directors, or any faculty member whose primary assignment is administrative in an academic unit or in the SPS Office of the Dean and who are not covered by the NYUSPS Standards and Procedures for Appointment and Reappointment of Full-Time Continuing Contract Faculty (“FTCCF”) policies.

7.1.4. The Full-Time Continuing Contract Faculty Grievance Advisory Committee shall elect a Chairperson at the beginning of each academic year.

7.1.5. A member of the SPS Full-Time Continuing Contract Faculty Grievance Advisory Committee may not take part in a review when the grievant is from her or his academic unit.

7.1.6. Any member of the SPS Full-Time Continuing Contract Faculty Grievance
Advisory Committee who has a conflict of interest regarding a particular faculty grievance shall recuse himself or herself from serving on that grievance review. Any member of the grievance committee who has a conflict of interest regarding a particular faculty grievance shall inform the Chairperson of the issue as immediately as awareness permits and a determination should be made accordingly.

7.2 The SPS Full-Time Continuing Contract Faculty Grievance Advisory Committee shall consist of three standing members and two alternates of and elected by the SPS Full-Time Continuing Contract Faculty, as documented in the SPS Faculty Council Charter and who are covered by NYUSPS Standards and Procedures for Appointment and Reappointment of Full Time Continuing Contract Faculty (“FTCCF”) policies.

The Faculty Handbook provides that Tenured/Tenure-Track Faculty are to serve on the committee for FTCCF grievances; however, as the SPS Faculty is primarily Continuing Contract Faculty, it is not always possible to include Tenured/Tenure-Track Faculty. When possible, a Tenured/Tenure-Track Faculty member from SPS, if such person exists on the faculty and is elected by the voting members of the faculty to serve on the committee, shall also serve on the Full-Time Continuing Contract Faculty Grievance Advisory Committee.

All elected committee members will serve two-year terms (standing and alternate). To ensure continuity and overlap, a one-time exception will be made to initiate the committee. The first committee will have one standing and one alternate member who will serve a three-year term each. Annual elections will be conducted thereafter to elect new members. The sequence will be to elect two then three new members in alternate years (see Appendix 1).
# 8. APPENDIX

### NYUSPS Full-time Continuing Contract Faculty Grievance Committee Terms of Office

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<tbody>
<tr>
<td><strong>Standing</strong></td>
<td>1st Election</td>
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April xx, 2020
Dr. Katherine E. Fleming
Provost
New York University
Bobst Library, 70 Washington Square
New York, NY 10012

RE: Recommendations for the Courant Institute Reappointment and Promotion Policies from the Tenured Faculty Senators Council

Dear Provost Fleming,

The T-FSC PPTM committee received the proposed Policies and Procedures for Reappointment and Promotion of Full Time Continuing Contract Faculty (Courant C-Faculty Policy) from your office in December 2019 and added it to our docket for the Spring 2020 semester. The PPTM did an initial review of the document and, unfortunately, found the process by which it was developed to be potentially problematic and the document itself to be deficient in some key areas. We considered sending it back to you immediately with a request for the Courant faculty to resubmit a thorough revision with guidance from your office, but we decided to seek clarification about the process and other input from our colleagues on the C-FSC Personnel Policies and Contracts Committee (PPCC) first. Due to the large number of policies each committee had to review this semester (along with delays due to the Covid-19 situation), we were not able to confer with the PPCC in detail until close to the end of the semester, after they had drafted their recommendations.

The PPTM has done a cursory review of the PPCC recommendations. While, due to time constraints, we are not able to develop a single document to submit jointly at this time, we endorse the spirit and most, if not all, of the content of the PPCC recommendations, including those regarding contract lengths, inclusion of C-faculty on search/reappointment/promotion committees, and the importance of electing, rather than appointing committees. We are particularly concerned with the apparent lack of participation by Courant C-faculty in the development of the policy and by the low participation of both C-faculty and T-faculty in the vote to approve the document. Moreover, we share the C-faculty’s concerns about the more general lack of participation of Courant C-faculty in faculty governance and strongly suggest that this be rectified, either by including C-faculty more fully in existing Courant governance structures or by establishing a separate structure for C-faculty.

In addition, in the PPTM review of the policy we noted another area of concern. The proposed policy mentions repeatedly that C-faculty may do research and that this may be considered in promotion /reappointment decisions, but lacks clarity as to how research by C-faculty (or lack thereof) would be considered in work-load assignments and in reappointment and promotion decisions and how any such expectations would be memorialized in appointment letters. Furthermore, the statement that C-faculty may serve as PIs on educational grants (and the implication that they may not be PIs on research grants) is at odds with the current NYU policy on C-faculty as PIs.

Based on the serious concerns we have about this proposal, we respectfully ask that you send it back to Courant and ask them to do a major revision of the proposal, including C-
faculty in the process development and securing a clear endorsement from the C-faculty before submitting it to us for further review.
The T-FSC Educational Policy and Faculty Student Relations Committee has submitted a proposal to the T-FSC Governance Committee to create two separate committees with the following mandates:

**Educational Policies**

*acts as the T-Faculty Senators Council counterpart to the Academic Affairs Committee of the University Senate; interacts with the Center for Faculty Advancement.*

**Faculty Student Relations**

*acts as the T-Faculty Senators Council counterpart to the Student Senators Council; proposes, develops, and implements programs to enhance faculty student relations.*
To: Tenured Tenure Track Faculty Senators Council

From: Angela Kamer and Wen Ling, Co-Chairs, Benefits Committee

Date: May 4, 2020

Re: Administrator for Faculty Health Insurance Program

University Administration is reviewing vendors to administrator health insurance programs for faculty/administrators. Three companies (United Healthcare, Aetna, and Anthem/Empire) were selected as finalists. Angela and I attended presentations by Aetna and Anthem on May 4 and provided feedback to the University administration. A finalist will be selected in summer 2020 prior to the open enrollment period this fall.
To: Cathie Nadeau & Members of the Senate Financial Affairs Committee  
From: Finance & Planning Committee, Tenured and Tenure-Track Faculty Senators Council  
Re: Budget Planning Parameters for 2020-2021

This memo builds on efforts of this Committee in recent years that have sought to create a more equitable financial environment for the faculty. The main goals are to promote fairness in faculty compensation and to alleviate financial stress that may detract from faculty teaching, research, and service to the University. Given the COVID-19 situation, we understand that there are challenges and uncertainties that NYU must deal with. At the same time, the duties of tenured faculty have expanded, and we believe it is important that their annual merit increase stays on track.

TFSC has been raising concerns about equity in faculty compensation for the past few years and have asked for the data to help document the current situation on this front. The University has hired consultants to conduct a salary equity review related to gender or race/ethnicity for full-time faculty (both T/TT Faculty and CC Faculty) whose home school is in the NYU NY campus. The University is also undertaking an internal review of faculty salary inversion, a reportedly common condition around NYU in which junior faculty are hired at salaries greater than those of senior faculty who have served for many years.

Our hope is that these studies will facilitate the development of guidelines for NYU Schools to create a more equitable compensation environment. Unfortunately, the time frame for both of these reviews is unclear, and it may of course be affected by the COVID-19 crisis. Nevertheless, we still request that relevant data be shared with us, albeit in a form that does not explicitly highlight comparative performance of individual schools or departments.

Another core aspect of equity is the annual merit increase (AMI) allocated for faculty salaries. T/TT faculty are the engine of NYU’s standing as a global research university through their achievements not just in teaching and service but in research, interdisciplinary invention, and creative production and their primary roles in mentoring future generations of scholars. We therefore underscore the importance of maintaining levels of compensation that make NYU an attractive employer for talented scholars and educators. We recognize that the University provides significant non-monetary compensation to faculty beyond the official salary pool, including tuition remission and housing for some. Without discounting the value of such non-monetary compensation, we bring your attention to the following recent trends and historic data regarding faculty expenses:

- This year, the cost to faculty of health insurance plans has increased around 6%.
- The cost of NYU housing under the current three-year lease reflects a 3.1% annual increase.
- Faculty members who do not live in NYU faculty housing have experienced rent increases at an annual rate of 3.9% (Street Easy NYC Rent Affordability) in recent years. They receive no subsidy to cover their rent or support in purchasing a home.
• The NYU AMI last year was not aligned with the increase for private industry workers in the NYC Metropolitan Area. Total and wage compensation respectively increased 3.8 and 4.0 percent in 2019 (NY BLS Compensation Cost 2019).

The University has in the past used the NYC Metropolitan Area Consumer Price Index (the 12-month CPI increase reported in February 2020 is 2.5%) to justify the AMI that has been set. The NYC Metro Area, however, covers an area well beyond NYC, including several counties north of NYC and on Long Island as well as parts of New Jersey and Pennsylvania. The information provided above suggests that the NYC Metro CPI understates the cost of living in NYC. The University also uses national average increases in full-time faculty salaries as a benchmark in setting the AMI, but it is hard to accept these as appropriate for NYC.

More generally, New York City is one of the most expensive cities in the world (The Economist COL Survey) and it is the most expensive city in the United States (C2ER COL 2019). Our investigations also suggest that faculty salaries at NYU are not aligned with some other major research Universities located in less expensive cities. For example, the cost of living in Chicago is 42.9% lower than New York (2020 Cost of Living Calculator: New York and Chicago), yet both University of Chicago and Northwestern University offer higher average compensation to their faculty than NYU (Chronicle of Higher Education Faculty Salaries).

Given the above considerations and to support an equitable compensation environment for NYU faculty, we recommend an AMI pool increase for 2020-21 of 3.0% and the issuance to Deans of guidelines on how to distribute these funds. Deans must of course retain some discretion, but guidelines could improve awareness and fairness across the University. Additional funds to assist Deans to deal with the equity issues in the treatment of long-serving faculty outlined above would also be warranted, and there is a precedent for this in the early years of the Sexton administration. Such an approach can be part of a multi-year endeavor that should seek to retain and reward our faculty.
To: Nicholas Economides, Chair, T-Faculty Senators Council
From: Katherine E. Fleming, Provost
Subject: T-Faculty Senators Council Grievance Committee Request

I have reviewed the request from the T-FSC Faculty Grievance Committee. The role of the Faculty Grievance Committee is to advise the Provost on grievance cases, including grievances related to tenure decisions. Information on the number of negative tenure decisions at the University is outside of the purview of this Committee. I can say, however, that the tenure rate is about 90%. I will note that the Faculty Grievance Committees review all grievances received by the Provost’s Office. Also, per the Faculty Handbook, the Chairperson of the Tenured/Tenure Track Faculty Senators Council Grievance Committee is notified of the decision of the Provost for each T faculty grievance, after the Provost receives the advice of the Committee.

Cc: Kristen Day, Vice Provost
    Ellen Schall, Senior Presidential Fellow
    Darcey Merritt, T-FSC Vice Chairperson
    David Irving, T-FSC Secretary
    Wen Ling, T-FSC Immediate Past Chair
    Gwendolyn Quinn, T-FSC Grievance Committee Co-Chair
    Judith Zelikoff, T-FSC Grievance Committee Co-Chair
MEMORANDUM

To: University Senate
From: Regina Drew and Carol Reiss, Senate Public Affairs Committee Co-Chairs
Re: Senate Public Affairs Committee Report
Date: April 24, 2020

Attached please find the Senate Public Affairs Committee’s annual campus safety report. The report includes a summary presentation prepared by Teodora Hristovska, Student Senators Council representative on the Public Affairs Committee, followed by the full reports on the Student Health Center, mental health, residence halls, sexual misconduct prevention and response, and the Department of Public Safety.
Public Affairs Committee
Security Report

April 23, 2020

Student Health
Center
Access

- In 2018-2019 academic year, 31,341 students had at least one clinical visit at the Student Health Center (SHC), which is a sustained, significant increase over the past 15 years and represents improved access to health and mental health care for NYU students.

Communicable Disease Prevention and Response

- The SHC administered 10,845 flu vaccines to students between September 1-December 31, 2019. Last year, the SHC administered 9,783 flu vaccines.

Mental Health

- NYU Counseling and Wellness Services provided 44,209 visits to 9,114 unique students in the 2018 - 2019 academic year.

- At the Global sites there were 1349 unique patients and 7283 visits were provided.

- The 24/7 counseling and emergency Wellness Exchange hotline received 34,753 calls last year.
Staff Updates

- New full time satellite counselors in Dental/Nursing at Stern New clinician supporting sexual Misconduct Support Services.
- PT CMEP counselor has been made a permanent position and has been converted to FT.
- New mental health clinicians who have been hired to serve students at the Global Sites; Right now there are professionals in 12 cities.

Health and Wellness Orientation

- CWS assists in guiding the content for three versions of the award-winning health Orientation that comes in the form of a theatrical production: “The Reality Show”
- For the Global sites, CWS continues to have a uniform, one-hour long online orientation and an in-person debrief with the Student Affairs and Counseling staff on site.
Training

- Trainings continue to assist faculty and staff in detecting changes in a student’s behavior that may signal a more serious problem.
- About 300 faculty and staff receive training every year.
- Resident Assistants along with all health peer educators are trained to detect peers in distress and refer them appropriately to mental health services.
- This year, faculty in Chemistry, Journalism, FAS and the division of Libraries were among those trained.

COVID-19

- In February 2020, NYU launched a university-wide Travel History Survey in response to the Level 4 Travel Advisory for China.
  - Individuals who met certain risk criteria were quarantined, actively monitored by the Student Health Center, or self-observed for COVID-19 symptoms.
  - Students, staff, and faculty who required active monitoring received daily outreach from the Student Health Center to check whether or not they had developed symptoms of COVID-19.
- In March 2020, NYU launched a second Travel History Survey about recent and future travel plans and received over 3000 responses.
  - SHC provided guidance to individuals returning from travel tailored to the visited country.
COVID-19

- Changes Made by SHC in Response to Social-Distancing Measures
  - Anyone requiring in-person access to the Student Health Center is now screened for COVID-19 symptoms in the lobby.
  - Almost all medical, mental health, and administrative services were transitioned to virtual models, with limited onsite services available based on clinical necessity.
  - Between March 23-April 10, 2020, the SHC provided 3803 medical and mental health virtual visits.

- COVID-19 and Mental Health
  - On March 17, 2020, most of the mental health services moved to remote.
  - Services including individual treatment, group treatment, wellness workshops, psychiatry services, virtual drop ins, hotline, chat, and emergency response continue to be offered.
  - CWS has offered 2510 appointments remotely from March 22 - April 10, which is on par to the number of appointments that were offered last year during this period of time.
Alcohol and Other Substances

- During the Fall of 2018, there were 799 students found responsible for alcohol policy violations and 155 violations involving other substances.

- For Fall 2019, there were 760 alcohol policy violations and 129 violations involving other substances.

- This is the 7th consecutive year where alcohol related violations have decreased. The observed decrease is 4.9% from last year.

- The number of residential students transported to the hospital from the beginning of the Fall semester to March 31, 2020 for substance-related medical emergencies decreased to 60. The observed decrease is 4.8% from last year.
Informed Choices

- Since September 2019, 57 residents have been sanctioned to Informed Choices-Alcohol. This is a decrease from the 109 residents who were sanctioned to ICA during the same timeframe last academic year.
- Since September 2019, 5 residents have been sanctioned to Informed Choices-Marijuana. This is a decrease from 48 residents who were sanctioned to ICM during the same timeframe last academic year.

Assistance With Mental Health Concern

- During Fall 2019, there were 226 check-in requests approximately 14 check-ins a week (7.8% decrease from Fall 2018).
- There were 92 Wellness Services requests (8% decrease from Fall 2018); 29 check-ins to follow up on incident reports related to wellness and safety (31.8% increase); 22 requests from schools (52.2% decrease) to follow-up with students on the early alert program through NYU Connect.
- As of the end of March 2020, 86 residential students have been transported and admitted for inpatient psychiatric treatment. This represents approximately a 3.6% increase from the corresponding period from last year.
Fire Safety and Education

- The fire safety drills are conducted **three times per year** -- once in the fall, once in the spring, and once in the summer at a time during which students are likely to be home.

- Fire safety education is centered on two weeks in the fall semester during which Residential Life staff conduct passive and active educational campaigns designed to foster knowledge and safety strategies.

- During the fall semester, Residential Life staff also conducted fire safety inspections of each student room to remove hazardous objects from the residence halls and educate students on fire safety.

Sexual Misconduct Prevention and Response
Laws and Policies

- The NYU Sexual Misconduct policy applies to students, faculty, administrators, staff, and third parties at NYU’s campuses in New York, Abu Dhabi, and Shanghai, as well as all the global sites.

- A new policy on Consensual Intimate Relationships was posted in January 2018.

Assessment

- In accordance with NYS law, NYU implemented our second (2018) Campus Climate Survey to elicit students’ experiences as it relates to sexual misconduct. The results can be found at www.nyu.edu/sexual-respect.

- The third survey will be implemented in Fall 2020 and will also include an assessment of faculty/staff climate on this subject.

Communications

- **Website Presence** through nyu.edu/Sexual-Respect is the umbrella under which all information and resources related to sexual misconduct appear at NYU.

- **Sexual Misconduct Meetings** with key individuals in OCS, OEO, DPS, CWS/WE, and SPACE to formally review the progress and procedures related to sexual misconduct matters took place **twice each semester**.

- “**NYU Hearts Consent**” campaign by Wellness in partnership with the Office of Equal Opportunity continues to celebrate affirmative consent.
Ad Hoc Subcommittee

- The subcommittee now has new co-chairs -- Andrew Williams, JD, Director, Lawyering Program, NYU School of Law and Emma Levine, President, NYU Students for Sexual Respect, and NYU TSOA senior.

- On April 12, 2019 the committee met with SSC clarifying that the Ad Hoc Subcommittee should be reconstituted and established without an end date. This has been accomplished.

- The committee met two times in the Spring 2020 semester with an additional meeting scheduled prior to the end of the semester. The focus is on ensuring a sustainable process for all student leaders to be trained beyond the online module by participating in Consent Zone or Bystander Intervention training.

Training

- New Title IX and Enough is Enough guidelines require colleges and universities to educate their student body on their rights and responsibilities following a sexual assault.

- Devised an internal protocol within CWS to confidentially send students a written communication after they report a sexual assault to a counselor via the electronic health record.

- Constructed a Students' Bill of Rights advising and notifying students of their rights and resources, both internal and external to NYU.
Training

- Mandatory online educational program for all incoming NYU students (graduate, undergraduate and professional school except the SOM) including those at global campuses continues.
  - NYU will hold registration in the following semester if students do not comply with the requirement to complete the online module.
  - Approximately 17000 new students participate in this training every year.

Student leaders from certain designated groups are required to complete a version of the in-person training focused on sexual misconduct (either Consent Zone or Bystander Intervention).
  - These groups include: Resident Assistants and members of Residence Hall Councils, all Varsity Athletes, all members of Greek organizations, leaders of student clubs and organizations, and members of student government bodies.

- OEO, SPACE and OCS continue to offer Consent Workshops for the entire NYU student community.
- NYU responded to mandate from NYS requiring faculty and staff to be trained on sexual misconduct incidents and impact on students.
Clinical Services

- **Screening Protocol** for all Student Health Center clinical areas. This self-administered screening will proactively identify and support students experiencing sexual violence and/or dating or intimate partner violence.

- CWS now offers 4 support groups for survivors of sexual misconduct.
  - 2 sections for those who identify on the Female Spectrum;
  - 1 section for those who identify on the Male Spectrum;
  - 1 section for those who identify as Non-Binary/NonConforming so that they may offer a fourth support group for that population.

Clinical Services

- Sexual Misconduct Support Services has hired a **new Associate Director** in March 2020, Danielle Elleman coming to NYU from Bellevue Hospital where she directed the Victim Services Program.

- Hired a second clinical position for Sexual Misconduct Support Services, Colleen MacPhee, who previously was the Relationship Abuse Prevention Program Coordinator at STEPS to End Family Violence.
COVID-19

- Sexual Misconduct Support Services were converted to remote on March 17, 2020.
- All clinical services including the support groups continue to be offered remotely until further notice.
Highlights

- Completed its self-assessment, online review, and on-site assessment, and was awarded **CALEA Campus Security Accreditation** in March 2020.

- Launched a NYU-specific and all-abilities inclusive **Active Threat Video** in December 2019, designed to help the University community prepare in case of the unlikely event of an active threat on campus.

- Established **Key Performance Indicators** as part of its bi-weekly and semesterly CompStat accountability meetings to help measure progress in the short and long term.

Public Safety - New York

- The **Community Response Unit** registered over **1,000** items as part of the NYPD’s Operation ID program at more than **30** events during the 2018-19 academic year.

- **Victim Services** formed partnerships with New York City agencies to increase awareness about resources available to victims of crimes.

- Launched the **You Matter! Podcast** to inform the NYU community about resources that are available to victims, both on and off campus, and details first-hand experiences of victims and those in the community who assist them.
Public Safety Operations

- Redesigned NYU Traveler in 2019, making registering travel and providing support to community members abroad easier than ever.
- Developed and coordinated Tabletop Exercises with campus partners.
- Completing a THIRA (Threat and Hazard Identification and Risk Assessment) for NYU’s New York City facilities and locations, in partnership with NYC Emergency Management.

Global Security Operations Center

- Globally, the GSOC team continues to support every NYU school and sponsored research travel abroad.
- GSOC has conducted more than 400 pre-departure assessments, briefings, or responses to particular traveler questions in 2018 that covered travel for more than 10,100 travelers to 117 countries.
Public Safety Training Programs

- Over 300 DPS employees receive training annually, on topics selected and approved by the Department’s Training Committee.
- Conducted trainings at NYU’s portal campuses on the Clery Act and Campus Security Authorities.

Office of the Vice President

- Expanded Clery Act compliance program to include NYU’s new Long Island School of Medicine.
- Debuted the Brooklyn Overnight Shuttle fixed-route service to increase Safe Ride service reliability and efficiency for both Manhattan and Brooklyn riders.
Access
In 2018-2019 academic year, 31,341 students had at least one clinical visit at the Student Health Center (SHC), which is a sustained, significant increase over the past 15 years and represents improved access to health and mental health care for NYU students. Primary public health goals of the SHC are prevention and early detection of communicable diseases and mental health disorders; the increased utilization of SHC services by students has increased opportunities for a positive impact on both priorities. This, in turn, contributes to a healthier and safer campus.

Communicable Disease Prevention and Response:
Immunization Compliance
New York State Public Health Law 2165 requires all students taking six credits or more in a degree granting program to provide proof of immunization to measles, mumps, and rubella. The SHC, in collaboration with multiple offices across the University, continues to achieve over 99.9% compliance with the state-imposed deadlines. This level of vaccination coverage minimizes the risk of spreading vaccine-preventable disease to the NYU community.

Influenza
The SHC continues to have a proactive flu vaccine program with administration at clinical appointments and several outreach events held across campus. The SHC administered 10,845 flu vaccines to students between September 1-December 31, 2019. Last year, the SHC administered 9,783 flu vaccines.

COVID-19
- In February 2020, in response to the Level 4 Travel Advisory for China, NYU launched a university-wide Travel History Survey. Members of the University community who had recently traveled in China were stratified by their level of risk for contracting COVID-19. Individuals who met certain risk criteria were quarantined, actively monitored by the Student Health Center, or self-observed for COVID-19 symptoms. Students, staff, and faculty who required active monitoring received daily outreach from the Student Health Center to check whether or not they had developed symptoms of COVID-19.

- As additional hotspots appeared around the globe and in preparation for Spring Break, NYU launched a second Travel History Survey in March 2020 about recent and future travel plans and received over 3000 responses. The Student Health Center provided guidance to individuals returning from travel tailored to the country visited and sent proactive
guidance to individuals with future travel planned to countries with Level 2, 3, or 4 Travel Advisories.

- SHC’s Counseling and Wellness Services created a wellness group for students who were impacted by the coronavirus, including but not limited to students with families in the Wuhan region of China and students who were generally feeling anxious about the coronavirus outbreak.

- SHC’s Medical Services fielded numerous calls and emails each day from students, faculty, staff, and parents concerned about the coronavirus resulting in significant increases in volume of calls, emails, and walk-in medical visits. For example, there was a 240% increase compared to last year in walk-in primary care visits the day that the New Rochelle case was announced to the media. After a state of emergency was declared in NYC, call volume to the SHC’s main phone line increased by nearly 60% compared to last year. The newly created Coronavirus Health Alerts webpages have over 40,000 hits since its launch in February.

- As the number of cases in NYC have increased and the need for social distancing became paramount to the safety of students and staff alike, the SHC put into place a number of changes:
  - Anyone requiring in-person access to the Student Health Center is now screened for COVID-19 symptoms in the lobby.
  - Almost all medical, mental health, and administrative services were transitioned to virtual models, with limited onsite services available based on clinical necessity. Between March 23-April 10, 2020, the SHC provided 3803 medical and mental health virtual visits.

- The SHC created a system for members of the campus community to communicate with the SHC when they become aware of students who have probable or confirmed cases of COVID-19. The SHC then reaches out to the student to answer any questions they may have about their illness and to support them in receiving any care and/or academic accommodations that they may need.

**Alcohol and Other Drugs**

Incoming first-year undergraduate students are required to complete the two-part, three-hour online course, AlcoholEdu for College. The course provides students with information about high-risk drinking behaviors and associated harms, debunks myths about college drinking, and points students toward tools and resources for staying safe and looking out for friends (e.g. Bystander Intervention through Action Zone, Wellness Exchange hotline, etc.). In fall 2019, 6760 incoming students completed the course (parts 1 and 2) or a 92% compliance rate; holds were placed on students’ spring semester course registration until they completed the required AlcoholEdu for College modules.
In Fall 2018 and Spring 2019, Health Promotion (HPO) led 15 workshops reaching 266 students in the Higher Education Opportunities Program. These one-hour workshops, called "Dicey Decisions" and "Imagine That," are formatted as interactive quizzes and deliver health and safety information to traditionally underserved, low-income, first-year students. In addition to reinforcing risk-reduction strategies regarding various health behaviors and encouraging wellness and healthy living, these workshops also inform students about health and wellness resources available at NYU.

**Awareness and Relationship Building**

The **Wellness Expo** is an annual, fall outreach event that educates new and returning students about the many facets of their everyday health. The Expo provides opportunities to interact with healthcare professionals casually, get a free flu shot, and highlights resources available at the NYU Student Health Center. The Expo is a collaboration between many NYU departments, including the Student Health Center, the Wellness Exchange, Public Safety, NYU Athletics, Sustainability, Stern Events, and others. By partnering with these different departments to showcase various services, this event supports the SHC’s whole-person approach to health and wellness and demonstrates the interconnected and symbiotic relationship of wellness with safety, with the built environment.

1,400 students attended the Fall 2019 Wellness Expo. Of the 907 touchscreen survey responses, provided near the exit of our main event tent, 93.5% of students responded positively, 6.5% responded neutrally, and 1.4% of students responded negatively.

**Bystander Intervention:**

**Action Zone** is a bystander intervention initiative available to all members of the NYU community. Bystander Intervention is a promising effort to prevent sexual misconduct and binge drinking, as well as other safety and health-related topics. Action Zone consists of a 2-3 hour training program and provides a framework for understanding bystander behavior and tools for intervening safely on behalf of others. It is available through the Health Promotion Office upon request and through open trainings for the NYU community; staff, students, and faculty are encouraged to attend these open training sessions. Additionally, information about Bystander Intervention, including resources and tools on how to be an active bystander, is also available online.

HPO undertook a complete overhaul of the existing curriculum based on feedback they've received. HPO delivered their updated curriculum to Resident Assistants during their Fall 2019 training series. The September 2019 R.A. Survey found:

- 96% of survey respondents “agreed” or “strongly agreed” with the following statement - *Action Zone provides useful tools and information about understanding and dismantling rape culture.*
• 96% of survey respondents “agreed” or “strongly agreed” with the statement: *Action Zone provides a foundation of knowledge I need to effectively validate and support survivors.*

• 92% of survey respondents “agreed” or “strongly agreed” with the statements:
  • *Action Zone helped me understand the power I have as an individual to create a safer NYU.*
  • *The insight and resources I gained during Action Zone increased my motivation to intervene in moments of need.*

**Mental Health:**

To be provided as a separate report.
Mental Health

Report on Academic Year 18/19

April 15, 2020

Utilization:

NYU Counseling and Wellness Services provided 44,209 visits to 9,114 unique students in the ‘18-‘19 academic year. This data does not include utilization at global sites where we saw 1349 unique patients and provided 7283 visits.

Additionally, our 24/7 counseling and emergency Wellness Exchange hotline received 34,753 calls last year. In addition, there were 402 hospital transports in 18-19.

In 18/19, our chat service saw 4200 clinical cases.

Staff Updates:

We now have new full time satellite counselors in Dental/Nursing, at Stern and a new clinician supporting sexual Misconduct Support Services.

Additionally, our PT CMEP counselor has been made a permanent position and has been converted to FT. This counselor has a clinical specialty in working with students of color. We are currently recruiting.

Additionally, the Staff of Counseling and Wellness Services in NY now has colleagues in 12 cities (Paris, London, Florence, Shanghai, Berlin, Abu Dhabi, Prague, Buenos Aires, Sydney, Washington DC, Madrid, Los Angeles). These are mental health clinicians who are full employees of NYU who have been hired to serve students at our Global sites. These professionals are credentialed by the SHC and use our electronic health record. By having clinicians working at our sites abroad we are able to provide students with excellent continuity of care.

London and Paris have a second PT position at their sites due to higher student population and patient volume.

We also have a retained counselor in the community in both Tel Aviv and Accra.

All new global counselors are trained in New York for a minimum of two weeks when possible prior to beginning work at a site in order to ensure that they fully understand centrally established procedures and protocols and that they know how to appropriately access resources in New York for their students abroad. All global counselors also meet weekly as a group with a senior member of the CWS team based in New York to discuss high-risk cases.

Health and Wellness Orientation:

CWS assists in guiding the content for three versions of our award-winning health Orientation that comes in the form of a theatrical production: “The Reality Show” that teaches students about health and safety in their cities and on their campuses. For our global sites, we continue to have a uniform, one-hour long orientation for both upper class and freshman students in the form of an online module and an in-person debrief with the Student Affairs and Counseling staff on site.
Training:

Training continues to assist faculty and staff in detecting changes in a student’s behavior that may signal a more serious problem. We have delivered this training to a number of administrative units and academic departments at NYU. We estimate that 300 faculty and staff are trained annually. We also trained student leaders – all Resident Assistants along with many other student leaders – to be able to detect peers in distress and refer them appropriately to mental health services. This year, faculty in Chemistry, Journalism, FAS and the division of Libraries were among those trained.

COVID-19:

On March 17, most mental health services moved to remote. All services (individual treatment, group treatment, wellness workshops, psychiatry services, virtual drop ins, hotline, chat, and emergency response) continue to be offered. From March 22-April 10, CWS offered 2510 appointments remotely which is on par to the number of appointments we offered last year during this period of time.
In the fall semester, there were approximately 12,000 students living in 21 locations in Manhattan and 2 locations in Brooklyn, with around 7,000 students located around the Washington Square and Union Square areas. Each residence hall is staffed 24/7 with several levels of individuals involved in student safety, including public safety officers, Resident Assistants (RAs), Residence Hall Resource Managers, Residence Hall Assistant Directors, and Residence Hall Directors. Furthermore, student and live-in professional staff members are on call 24/7 to assist residents and respond to emergencies. Residence hall staff members are trained in crisis response protocols and work closely with the Department of Public Safety, the Counseling and Wellness Services, and the Student Health Center. Approximately 305 RAs received such training for the 2019-2020 academic year.

Role of Residence Life Staff in Regard to Key Health and Safety Considerations:

I. Access to residence halls: Access is granted only by showing hall-specific University identification or swiping through turnstiles. Turnstiles have been installed in all residence halls. The turnstile system allows a residential student to swipe into any residence hall. Any guest to a residence hall must have valid photo identification and be signed in and out by a resident of that building. Individuals whose presence in a residence hall is considered to jeopardize the well-being of the residence hall community are declared Persona Non Grata and, as enforced by the Department of Public Safety, are denied entrance to University residence halls.

II. Alcohol and Other Substances: The number of fall semester alcohol related violations and substance related violations decreased in the past year. During the fall of 2018, there were 799 students found responsible for alcohol policy violations and 155 violations involving other substances (mostly marijuana). For Fall 2019, there were 760 alcohol policy violations and 129 violations involving other substances. This marks the seventh consecutive year where alcohol related violations have decreased (a decrease of 4.9% from last year). Substance related violations have fluctuated in the past couple of years, last year there was an 9.2% increase in substance related transports from the year prior. This year we see a decrease by 16.8% which places the number slightly over the 118 reported number in 2017-2018.

1. Emergency Transports: The number of residential students transported to the hospital from the beginning of the fall semester to March 31, 2020 for substance-related medical emergencies decreased to 60 (down from 63 during the same time period last academic year). This is a decrease of 4.8%.

2. Informed Choices: Informed Choices Marijuana (ICM) and Informed Choices Alcohol (ICA) are group educational interventions for students who are found responsible for low-level alcohol or marijuana policy violations. The program was developed to assist students in making more responsible decisions surrounding their substance use to emphasize harm reduction at both the individual and community level. The student conduct data demonstrated that participants had lower recidivism rates than those who received only a written warning or probation as well as self-report data showed that students became more aware of the impact of their use of alcohol and marijuana upon the
community and have incorporated this into their related decision-making. Despite this, the numbers for students assigned to the program has decreased over the years. This has been attributed to the decrease in alcohol policy violations, challenges with scheduling, and possible inconsistencies with sanctioning. In the 2019-2020 academic year, the Office of Student Conduct changed their sanctioning process and requirements to address these factors. Prior to being sanctioned to ICA, residents are initially assigned to an online alcohol sanction module. ICA is then assigned if a second policy violation occurs or the resident is engaging in high risk drinking practices. Along with the continued decrease in alcohol policy violations, this change has also impacted the number of residents participating in the ICA and ICM sessions as reflected below.

A. Informed Choices Alcohol – Since September 2019, 57 residents have been sanctioned to Informed Choices-Alcohol. This is a decrease from the 109 residents who were sanctioned to ICA during the same timeframe last academic year, which is reflective of the continued decrease in alcohol policy violations over the past years and the changes in the sanctioning process that was implemented in Fall 2019. ICA still remains to be an effective opportunity for educating students about alcohol in a group setting.

B. Informed Choices Marijuana - Since September 2019, 5 residents have been sanctioned to Informed Choices-Marijuana. This is an decrease from 48 residents who were sanctioned to ICM during the same timeframe last academic year. This is reflective of the decrease in substance related policy violations and the changes in the sanctioning process that was implemented in Fall 2019.

III. Assistance with Mental Health Concerns: The Residence Life staff work in conjunction with other University offices to address matters involving concerns around students well-being and/or safety. The role of Residence Life involves referrals of students to wellness services [including students who may feel unsafe as the result of being a victim of an incident as well as for other reasons], “check-ins” to assure the safety of students, and assistance with transports to the hospital. During Fall 2019, we had 226 check-in requests approximately 14 check-ins a week (7.8% decrease from Fall 2018). There were 92 Wellness Services requests (8% decrease from Fall 2018), 29 check-ins to follow up on incident reports related to wellness and safety (31.8% increase), 22 requests from schools (52.2% decrease) to follow-up with students on the early alert program through the new student success platform, NYU Connect, 55 requests from parents contacting Public Safety or Residential Life staff (14.6% increase), and 28 from other university staff/administrators and peers (3.4% decrease). With respect to hospitalizations, as of the end of March 2020, 86 residential students have been transported and admitted for inpatient psychiatric treatment. At this point during the 2018-2019 academic year, there had been 83 such hospitalizations. This represents approximately a 3.6% increase in residential student psych hospitalizations from the corresponding period from last year and 11.7% increase from the 2017-2018 academic year.
IV. Fire Safety and Education: Each student is sent a fire safety plan which highlights evacuation procedures and fire safety information for their specific residence hall when they receive their room assignment. Annually, the office of Residential Life and Housing Services coordinate residential fire drills and fire safety education initiatives. Professional Staff and RAs are trained around fire safety and conducting fire drills. The drills are conducted three times per year; once in the fall, once in the spring, and once in the summer at a time during which students are likely to be home. The drills represent a collaborative effort between Residential Life and Housing Services, Moses Center, Public Safety, and Facilities. Fire safety education is centered on two weeks in the fall semester during which Residential Life staff conduct passive and active educational campaigns designed to foster knowledge and safety strategies. During the fall semester, Residential Life staff also conducted fire safety inspections of each student room to remove hazardous objects from the residence halls and educate students on fire safety. The staff also assists the departments of Public Safety and Facilities & Construction Management in tracking the number of incidents involving fire safety (numbers are maintained by Public Safety) that occur in the residence halls each year.

V. General Programs: Each year, the Residence Life staff educates residents on matters of personal and community safety through floor meetings, bulletin board displays, newsletters and social media outlets, and floor/hall workshops. A wide variety of related issues have been addressed in this way.
NYU is committed to fostering a community in which sexual misconduct, relationship violence, and stalking are not tolerated; in which all its members are well informed and feel safe in reporting prohibited misconduct; in which those reporting incidents of sexual misconduct, relationship violence, and stalking are thoroughly and compassionately supported; and in which the investigative and disciplinary processes are guided by fairness and respect for all individuals.

Laws and Policies

The NYU Sexual Misconduct policy – which applies to students, faculty, administrators, staff, and third parties at NYU’s campuses in New York, Abu Dhabi, and Shanghai, as well as all our global sites – can be found at nyu.edu/sexual-respect; and is effective as of September 30, 2014. A new policy on Consensual Intimate Relationships was posted in January 2018.


https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/policy-on-consensual-intimate-relationships.html

Communications

Website – nyu.edu/Sexual-Respect highlights key aspects of the policy, procedures, and resources and is the umbrella under which all information and resources related to sexual misconduct appear at NYU.

Sexual Misconduct Meetings where key individuals in OCS, OEO, DPS, CWS/WE, and SPACE come together to formally review the progress and procedures related to sexual misconduct matters took place twice each semester.

Wellness, in partnership with the Office of Equal Opportunity continue to offer the “NYU Hearts Consent” campaign and distributed heart pins featuring and celebrating affirmative consent.

Assessment

In accordance with NYS law, NYU implemented our second (2018) Campus Climate Survey to elicit students’ experiences as it relates to sexual misconduct. The results can be found at www.nyu.edu/sexual-respect.

The third survey will be implemented in Fall 2020 and will also include an assessment of faculty/staff climate on this subject.
Ad Hoc Subcommittee

The Ad Hoc Senate committee on the topic of sexual misconduct, allows us to evaluate our prevention and response programs and policies from the perspective of the faculty, administrators, and NYU students. The committee has been crucial in reviewing and advising on streamlining procedures, strengthening programs, and developing our Campus Climate Surveys.

On 4/12/19 we met with SSC clarifying that this committee should be re-constituted and established without an end date. This has been accomplished.

The subcommittee now has new co-chairs. Andrew Williams, JD, Director, Lawyering Program, NYU School of Law and Emma Levine, President NYU Students for Sexual Respect, and NYU TSOA senior.

The committee met two times in the Spring 2020 semester with an additional meeting scheduled prior to the end of the semester. The focus of the committee’s work is ensuring a sustainable process for all student leaders to be trained beyond the online module by participating in Consent Zone or Bystander Intervention training.

Training

New Title IX and Enough is Enough guidelines require colleges and universities to educate their student body on their rights and responsibilities following a sexual assault.

Rights and Resources: We have devised a protocol internally within CWS to confidentially send students a written communication after they report a sexual assault to a counselor via our electronic health record. We have also constructed a Students’ Bill of Rights advising and notifying students of their rights and resources, both internal and external to NYU.

Mandatory online educational program: for all incoming NYU students (grad, undergrad and professional school except the SOM) including at our global campuses continues. NYU will hold registration in the following semester if students do not comply with the requirement to complete the online module. Approximately 17K new students participate in this training every year.

Student leaders from certain designated groups are required to complete a version of the in-person training focused on sexual misconduct (either Consent Zone or Bystander Intervention). The student leaders include: Resident Assistants and members of Residence Hall Councils, all Varsity Athletes, all members of Greek organizations, leaders of student clubs and organizations, and members of student government bodies.
OEO, SPACE and OCS continue to offer Consent Workshops for the entire NYU student community, covering issues of affirmative consent, NYU policy, alcohol intoxication and incapacitation, and resources.

NYU responded to mandate from NYS requiring faculty and staff to be trained on sexual misconduct incidents and impact on students; NYU policies including the new Relationships Policy and the Anti-Harassment policy, procedures, and resources; and their role and responsibilities as employees in direct support of students.

Clinical Services:

Screening: We have a Screening Protocol for all Student Health Center clinical areas. This self-administered screening proactively identifies students experiencing sexual violence and/or dating or intimate partner violence. It is administered to students seeking clinical services at SHC, which will be followed by a clinical interview and referral to resources.

CWS now offers 4 support groups for survivors of sexual misconduct: There are 2 sections for those identifying as female, one section for those identified as Male and one for Non-Binary/Non-Conforming students.

Clinical Staffing: Sexual Misconduct Support Services has hired a new Associate Director in March 2020. Danielle Elleman comes to NYU from Bellevue Hospital where she directed the Victim Services Program. Additionally, in the 2019 budget process we were granted a recently hired a second clinical position for Sexual Misconduct Support Services. Colleen MacPhee, who previously was the Relationship Abuse Prevention Program Coordinator at STEPS to End Family Violence.

COVID-19

Sexual Misconduct Support Services were converted to remote on March 17, 2020. All clinical services including the support groups continue to be offered remotely until further notice.
Report to the University Senate
Public Affairs Committee

Jack Briggs, Vice President, Global Resiliency and Security
Fountain Walker, Vice President, Global Campus Safety

April 2020
Executive Summary

The NYU Department of Public Safety (DPS) is committed to providing safety and security for our community and property, enabling the pursuit of academic and professional goals. DPS seeks to achieve its mission by adhering to its core values:

- Professionalism: Exemplifying trusted, professional service with integrity, compassion and respect.
- Excellence: Providing exceptional service through strategic planning and high-level performance, advancing preparedness in our diverse environments.
- Community: Fostering diversity by cultivating strong partnerships with all members of our community.

In an increasingly complex safety and security landscape, NYU's Department of Public Safety, in partnership with the global University community, takes pride in serving as the friendly face and support network of our community, the steady hand in an emergency, the vigilant presence on campus ready to respond when called upon and a leader in campus security technology.

The Department has gone through a period of organizational change after the departure of its Senior Vice President in February 2020. DPS is now comprised of divisions and units led by the Vice President, Global Campus Safety, and the Vice President Global Resiliency and Security. The highlights below were achieved during the past 12 months (April 2019 - March 2020).

- Completed its self-assessment, online review, and on-site assessment, and was awarded CALEA Campus Security Accreditation in March 2020.
- Launched a NYU-specific and all-abilities inclusive Active Threat Video in December 2019, designed to help the University community prepare in case of the unlikely event of an active threat on campus.
- Established Key Performance Indicators as part of its bi-weekly and semesterly CompStat accountability meetings to help measure progress in the short and long term.

The Office of the Vice President enables consistent, responsible, and high-quality service delivery for the Department of Public Safety in support of the NYU community by preserving the integrity of the Department, optimizing processes and services, and cultivating relationships internally and externally.

- Leads the Department's efforts in the NYU Works Smart Initiative, seeking to create efficiencies and realize cost savings in operations and services.
- Expanded Clery Act compliance program to include NYU’s new Long Island School of Medicine.
• Debuted the Brooklyn Overnight Shuttle fixed-route service to increase Safe Ride service reliability and efficiency for both Manhattan and Brooklyn riders.

Public Safety - New York provides a safe and secure environment for the University community through well-trained staff, thorough investigations, and consistent service delivery in an evolving landscape.

• The Community Response Unit registered over 1,000 items as part of the NYPD’s Operation ID program at more than 30 events during the 2018-19 academic year.

• Victim Services formed partnerships with New York City agencies to increase awareness about resources available to victims of crimes.

• Launched the You Matter! Podcast to inform the NYU community about resources that are available to victims, both on and off campus, and details first-hand experiences of victims and those in the community who assist them.

Focused on the University missions of teaching, research and public service, Public Safety Operations is the go-to institutional office guiding global university constituencies as we prepare for, mitigate, respond to, and recover from any potential impacts to university governance, operations, and business.

• Redesigned NYU Traveler in 2019, making registering travel and providing support to community members abroad easier than ever.

• Developed and coordinated Tabletop Exercises with campus partners.

• Completing a THIRA (Threat and Hazard Identification and Risk Assessment) for NYU’s New York City facilities and locations, in partnership with NYC Emergency Management.

Enterprise Systems provides Public Safety and the NYU community with consistent, reliable, and advanced security technology solutions, services, and subject matter expertise to proactively enhance global campus safety while continuously pursuing industry-leading standards and maintaining strong collaborative relationships with partners throughout the University.

• Commissioned turnstiles at several locations across campus, including 7 East 12th Street, 370 Jay Street and the Midtown Center.

• Installed high-resolution cameras in large open spaces at Gould Plaza and MetroTech Commons to improve community safety.

• Supported the completion of 18 capital projects, including renovations at the Meyer Building, 665 Broadway, Bobst Library’s Special Collections, and 285 Mercer Street.
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I. Department of Public Safety

The NYU Department of Public Safety (DPS) is committed to providing safety and security for NYU’s community and property, enabling the pursuit of academic and professional goals. DPS seeks to achieve its mission by adhering to its core values:

- Professionalism: Exemplifying trusted, professional service with integrity, compassion and respect.
- Excellence: Providing exceptional service through strategic planning and high-level performance, advancing preparedness in our diverse environments.
- Community: Fostering diversity by cultivating strong partnerships with all members of our community.

In an increasingly complex safety and security landscape, DPS, in partnership with the global University community, takes pride in serving as the friendly face and support network of our community, the steady hand in an emergency, a vigilant presence on campus ready to respond when called upon, and a leader in campus security technology.

As NYU academic operations have expanded internationally, DPS continues to ensure the well-being of members of the NYU community as they study and travel abroad. DPS works in collaboration with many departments within the University and with external global, federal, state, and local partners to address crime and safety concerns across NYU.

As part of those collaborations, DPS continues to conduct threat, hazard, and vulnerability assessments at the Global Academic Centers to account for unique safety and security challenges and opportunities. These assessments are paired with ongoing capability reviews and technical design standards to prioritize and inform security enhancement efforts. In addition to providing safety and security enhancements, DPS has financial responsibility for contract security services at the Global Academic Centers.

DPS services reach beyond New York, supporting NYU’s global footprint through partnerships with Portal Campuses and Global Academic Centers. These partnerships are critical to creating consistent global security and emergency management operations, allowing DPS to be responsive to the needs of the University’s global network.

Organizational Change

DPS entered a period of organizational change after the departure of Senior Vice President, Campus Services and Safety Marlon Lynch on February 1, 2020. DPS is now led by Vice
President, Global Campus Safety Fountain Walker, and Vice President, Global Resiliency and Security Jack Briggs. While each Vice President has different responsibilities, the coordination between the Global Campus Safety and Global Resiliency and Security divisions remains similar to the previous organizational structure.

As part of the reorganization, the following units were joined under each of the divisions. Each division has created a purpose statement.

- **Global Campus Safety** provides a safe and secure environment for the University community through well-trained staff, the creation of and adherence to policies and procedures, and the optimization and innovation of engagement and service delivery.
  - Office of the Vice President
  - Public Safety - New York
  - Public Safety - Abu Dhabi
  - Public Safety - Shanghai

- **Global Resiliency and Security** supports the University community as it prepares for, mitigates, responds to, and recovers from potential impacts to the University through advanced monitoring and assessments, travel safety, emergency preparedness training, modern security technology solutions, timely informational updates and global security management.
  - Public Safety Operations
  - Enterprise Systems

Please See Appendix A on page 38 for the current DPS organizational chart.

**Accreditation**

Achieving major benchmarks this year, Professional Standards has successfully concluded the Self-Assessment Phase of the Commission on Accreditation for Law Enforcement Agencies (CALEA) Campus Security Accreditation program, with the Commission recommending the NYU Department of Public Safety for their initial accreditation award. CALEA is an independent, third-party, non-profit dedicated to the improvement of campus safety service delivery. The Department’s Assessment included a remote online phase in October 2019 and an on-site assessment and inspection in December 2019. The results of both assessments were compiled in a report, completed by third
party auditors, that included findings from the review and recommendations for improving Department operations. DPS is the largest agency to receive the Campus Security Accreditation award and has been identified as a leader in the program.

DPS created a webpage to introduce Accreditation to the NYU community, specifically through a video describing the process and managing the expectations for what community members and Department personnel might experience. Community members were also involved in a public information session, giving students, faculty, and staff the opportunity to address the on-site assessors with questions and comments about the process.

Planning for this effort began December 2016, with the launch of the Department’s Policy Review Committee. The PRC, comprised of representatives from DPS divisions and units, is responsible for the development of over 60 published DPS policies, procedures and written directives, and the collection of several hundred documents demonstrating compliance with the nearly 300 industry specific standards set forth by CALEA.

The PRC meets regularly to review and recommend policies and procedures, that are presented, reviewed and approved by Divisions, Unit leads, University partners, and ultimately signed into effect by the Vice President, Global Campus Safety. Once the review process has concluded, all policies are distributed to DPS employees through the Department’s digital document management system, PowerDMS.

Policies and procedures address many different aspects of DPS operations including oaths of office, training requirements, operational plans, and administrative processes. The Campus Security Accreditation program, similar to other accrediting organizations in the medical and academic industries, creates a comprehensive focus on risk management, requiring analytic process oriented approaches and heightened emphasis on:

1. Enhanced Training Programs,
2. Developing Appropriate Systems of Supervision and Review,
3. Event / Complaint Reviews, Investigations, and Early Warning Systems,
4. Community Relations, and,
5. Officer Safety and Wellness.

Applying the accreditation framework mitigates financial and reputational risks involving cases of employee misconduct. Risk is compounded by failing to enact and enforce policies and protocols that can withstand adversarial challenges.
**Accountability**

Implemented in spring 2017, CompStat accountability meetings have created a culture of information sharing, supported decision-making, and improved organizational culture through increased communication.

Modeled after the New York City Police Department’s (NYPD) accountability process, CompStat has been implemented in public safety departments across the country. Every division and unit within DPS participates in CompStat to evaluate trends, determine best practices, and continually implement and improve crime-control initiatives. CompStat meetings monitor and track changes on a weekly, monthly, and yearly basis. Through constant analysis and historical comparisons, DPS is able to identify and allocate resources to areas of concern quickly to improve the safety culture at NYU.

CompStat meetings assess public safety efforts through spatial and temporal analysis of crimes, stakeholder feedback and community engagement. The meetings help DPS identify deficiencies and recommend process improvements.

With two year’s worth of complete data stemming from bi-weekly CompStat meetings, DPS uses the material to analyze trends and proactively prepare for upcoming periods that have consistently presented safety and security challenges, including Welcome Week, midterms and finals, and others. Programs and messaging stemming from these meetings include Lock Your Door, Scam Alerts, and others.

**Behavioral Intervention Team**

DPS, in partnership with other University departments, leads the Behavioral Intervention Team (BIT) whose mission is to assess concerns that: an individual poses, or may reasonably pose; a threat of violence to self, others, or the University community; and to initiate an intervention designed to avert the threat if it exists. The purpose of the team is to respond appropriately to concerns expressed about behaviors exhibited by anyone - students, employees, tenants, visitors, and unaffiliated persons - before a critical incident so that the campus remains a safe and secure working and learning environment.

The BIT meets quarterly throughout the year, and as-needed when concerns arise. The team is comprised of members from DPS, Student Affairs, the Office of the Provost, Human Resources, the Wellness Exchange, Community Standards, the Office of General Counsel and the Office of Equal Opportunity.
Public Safety Advisory Committee

DPS continues to lead the Public Safety Advisory Committee (PSAC), a group of twelve NYU community members from all levels and areas of the University who are dedicated to improving public safety services. The PSAC meets once each semester to learn about DPS initiatives and priorities and provide input and feedback on how DPS can serve the NYU community in a more effective manner. The PSAC also reviews public reports, like this one, for input before dissemination to the broader NYU community.

Women in Public Safety Initiative

DPS continued its Women in Public Safety (WiPS) initiative throughout 2019 and into 2020, with a mission to provide an environment that encourages growth, wellness, professional development and success for women across public safety disciplines at NYU through education, volunteering, information sharing, and networking opportunities.

In October 2019, WiPS launched its Leadership Series with “Path to Promotion,” a panel and question and answer session with four Public Safety women team members who shared their stories and tips for succeeding in careers at Public Safety and within NYU. More than 80 community members from across the University attended the event, and more outreach opportunities are planned for Spring 2020.

II. Public Safety – New York

Through active community collaboration, Public Safety - New York strives to be the model public safety entity by providing a safe and secure environment for the University community through well-trained staff, thorough investigations, and consistent service delivery in an evolving public safety landscape.

Providing security and protection to the open, urban, multicultural and densely populated NYU environment requires, at its core, a strong commitment to the philosophy of community-based public safety practices. Additionally, the Division employs innovative crime prevention practices and state-of-the-art technology to provide effective security services to the NYU community. As NYU continues to grow, the unit must be prepared to meet the increasing service demands of such growth.
Public Safety - New York consists of approximately 275 Public Safety Officers and supervisors that work 24 hours a day, 7 days a week, 365 days a year to ensure the highest level of security across NYU. DPS maintains 96 posts throughout campus, including 24 residence halls and 72 academic buildings. Additionally, the unit includes roving patrols throughout campus and is responsible for regularly-posted contract security guards.

Public Safety Officers detect and deter unauthorized access to University buildings, direct community members in the event of an emergency, and routinely patrol the Washington Square and Brooklyn campuses and facilities.

Through several initiatives, DPS has seen improvement in key incident metrics.

Larcenies, the most widespread incident on campus, most-commonly occur when property is left unattended, whether in a public place, or a residence hall. DPS put in place initiatives in order to help remind community members to take belongings with them, or keep them safe.

- **Lock Your Door:** In partnership with NYU Residential Life, this campaign involves hanging door hangers on each residence hall room door and office door reminding community members to lock their doors when they leave. In 2019-2020, the program has become more sustainable, moving to stickers affixed to the inside of each residence hall room door. Sustainable door stickers are now in four residence halls, the goal being to add stickers to all NYU-owned residence halls in future years.

- **Regular Patrols:** DPS uniformed personnel regularly patrol high-traffic areas to ensure that belongings are not left behind, and take the opportunity to educate community members before they leave items, even for just a few minutes.

- **Education Programs:** Safety in the City presentations have been updated to include specific points regarding larcenies and how to prevent them from a personal preparedness level.

Through these efforts, while the total amount of larcenies from September to February 2019-2020 has remained steady from the same time period last year, there was a reduction in reported larcenies at Bobst Library and from bicycle racks across campus in AY 2019-20.
Community Response Unit (CRU)

The CRU was formed in April 2018 with a multifaceted charge of providing operational support, enhancing response to calls for service and leading crime prevention and community engagement activities.

Consisting of five Sergeants First Class, the CRU reports to the Assistant Vice President, Field Operations.

The unit seeks to proactively reduce crime on campus by formulating security strategies and strengthening community partnerships. It is also responsible for the implementation of a community relations program, the development of solutions for community safety, analysis and mitigation of identified problems, and the creation and delivery of presentations to students, faculty, staff and community members.

Unit members provide immediate and dynamic response to ongoing critical incidents and in-progress disruptive activity on campus and direct operational support on standard calls for service. So far in AY 19-20, the CRU has conducted 2,294 directed patrols, an increase of 61 percent over AY 18-19 during the same time period.

The CRU received specialized training in order to carry out its charge, including incident management, classification, and communications strategies.

Community Outreach

DPS provides training and programs to educate students, faculty, and staff on a variety of topics aimed to increase personal security and awareness across campus space. "Safety in the City" presentations educate community members on best practices that include, but are not limited to, protection of personal property, transportation safety, identity theft protection, internet safety, criminal schemes, and general tips on staying safe in New York City. In AY 19-20, CRU provided 75 crime prevention programs and presentations to 5,865 students, faculty, and staff in New York City.

The CRU has also made significant efforts to bring programs into residence halls, specifically Operation ID, and Chew with CRU.
In partnership with the NYPD, DPS recommends participation in the Operation ID program, allowing community members to register valuable items so if these items are reported lost or stolen, and are recovered by the NYPD, proper contact information is on file to identify the owner. Since the program’s inception in September 2018, the CRU has registered more than 1,500 items with the NYPD.

To provide an informal opportunity for community members to interact with DPS personnel, the CRU manages Chew with CRU events, including National Coffee with a Cop Day. This more informal setting, primarily hosted in residence halls, provides students specifically with knowledge about how to stay safe and allows them to learn more about who DPS team members are and how they can help in a variety of situations.

**Investigative Services**

The DPS Investigative Services (IS) team is responsible for investigating crimes that happen on campus or that impact the members of the NYU campus community. Investigative Services has increased its caseload from 265 cases in AY 2017-18 to 608 in 2018-19. IS employs more than 50 years of experience and expertise that focuses on aiding the University community in incidents such as larcenies, harassment, social issues and special victim cases.

Investigative Services is responsible for the investigation of crimes committed against students, faculty and staff, occurring both on- and off-campus. While IS does not conduct investigations that fall under the purview of Title IX, the team actively investigates assaults, larcenies, fraud, incidents of harassment and/or domestic violence, and investigations of property damage and vandalism to University buildings. IS reviews all investigative reports and factual determinations reached by DPS staff members for accuracy and completion in order to effectively manage workflow, ensure optimal case outcome, and partner effectively with University stakeholders.

IS reviews reports of incidents and related materials to assist in determining the appropriate response; collecting surveillance camera footage, card access information, and audio recordings; and interviewing involved parties within an immediate time frame. IS prepares factual, accurate, thorough, and timely investigative reports on all cases.
**Special Victims Services**

DPS assists victims of sexual assault, relationship violence, harassment, stalking, assault and other crimes. DPS ensures that any NYU student, faculty, or staff member who has been victimized, either on or off campus, is treated in a supportive and respectful manner throughout the criminal justice, and University judicial processes.

**Special Victims Services** delivers information and assistance to victims of crime with regard to the criminal complaint process, and their rights as victims. In partnership with NYU’s Wellness Exchange, the Title IX Office, and the Office of Community Standards, DPS addresses the needs of victims and acts as an advocate for victims with law enforcement agencies in jurisdictions where NYU has campuses. Specifically, Special Victims Services works closely with sex crimes and/or special victims units within law enforcement.

![Special Victim Cases](chart.png)

Special Victim Services represents DPS in University and external community committees related to victims’ rights and services, and conducts presentations related to victims’ rights and victim liaison services for internal NYU audiences, including students, faculty, staff, and external audiences.
You Matter! Podcast

Launched in August 2019, the You Matter! podcast informs the NYU community about resources that are available to victims, both on and off campus, and details first-hand experiences of victims and those in the community who assist them.

Hosted by Assistant Vice President, Field Operations, Karen Ortman, the weekly podcast goes in depth with survivors of incidents. A retired law enforcement professional, Ortman has been at NYU for five years, coordinating field operations, investigations, and special victims services within DPS. As part of her role, she meets with victims of incidents and assists them in obtaining resources and assistance from NYU offices and local law enforcement.

The podcast is a collaboration with students from many different schools across NYU’s campus, including co-host, and pre-med graduate student Sabah Fatima. The podcast is self-produced and new episodes are released weekly. Seasons 1 and 2 of the podcast include conversations with survivors of domestic violence, attempted murder, and cyberstalking and bullying. They also detail resources available to the NYU and New York City communities, including the Safe NYU app, Safe Horizon, and the Family Justice Center.

The You Matter! podcast is available on Apple Podcasts, Google Play, Spotify, and Stitcher.

Therapy Animal Archie

Certified in early 2020, Archie is DPS’ Therapy Animal, available to provide comfort to victims as they seek assistance from the Department. Archie was certified by the Good Dog Obedience Program, which included training sessions and assessments for dogs more than one year old. When he’s not assisting victims at NYU Public Safety, Archie provides therapy services at local nursing homes.
Public Safety Events

The Public Safety Events Unit (PSE) is responsible for maintaining event security and logistics for DPS. The PSE includes a Director and three Sergeants. The PSE coordinates with event organizers to review safety and security logistics, develop Event Action Plans (EAPs), and manage departmental staffing needs necessary to maintain the safety and security logistics of the NYU community at on campus events.

For the period of April 2019-March 2020 PSE oversaw:

- 169 Events Staffed
- Approximately 5,081 total hours worked (+800 over 2018-19)
- 874 DPS personnel and contract guards hired, along with 22 NYPD officers. This is a reduction from 981 DPS personnel and contract guards and 22 NYPD officers during the previous year.

Functions staffed include University-wide events such as the Children’s Halloween Parade, Strawberry Festival, Grad Alley, and many others.

External Affairs

External Affairs (EA) develops, matures and sustains partnerships with city, state and federal law enforcement agencies (i.e., NYPD, FBI, U.S. Secret Service). These partnerships lend support and resources to help implement new innovative safety measures, meet crime reduction goals, and achieve the overall objectives of DPS. To accomplish these goals, EA routinely engages our external stakeholders in promoting an awareness of DPS, our interdependence, and the mutual benefit in collaboration. EA works to align its agenda with DPS priorities and both the short and long term strategic programs, projects and operational goals of each division. Through EA’s direct and consistent outreach and efforts to build mutual trust, we have organically cultivated alliances and deepened relationships with external partners to develop a coordinated response to the safety concerns of the NYU Community. Our efforts have resulted in access to sensitive information involving University interests, increased resources, and opportunities to help build and elevate brand awareness with both internal and external members of the NYU ecosystem.

NYU has primary functions within the boundaries of 13 NYPD precincts. DPS has been able to establish a direct line of communication to command staff within the precinct or office of the borough chief, wherever there is an NYU entity in NYC. These partnerships provide support with intelligence to University interests and resources for the short and long term strategic programs, projects and operational goals of each division.
Examples of successful outcomes due to the established partnerships include:

- Specialized support from NYPD for on-campus crime trends, quality of life conditions and university events.
- Additional subway trains at Yankee Stadium, making it more convenient for NYU community members leaving Commencement ceremonies.
- Coordination with city services to improve safety and the experience during other university events (e.g., Grad Alley, Strawberry Festival, etc.).
- Planning support and city resources for on campus events (e.g., Speaker appearances, First Amendment gatherings, etc.). This advancement in partnership has allowed DPS to be more proactive in providing safety for all members of the NYU community.
- A behind-the-scenes tour of NYPD 911 and FDNY Operations Call Centers. Top leadership of these organizations discussed ways to possibly enhance synergy with NYU DPS Communications to improve response to NYU emergency calls.
- Opportunity for DPS leadership to develop internal best practices for response during crisis by observing NYPD / FDNY tabletop exercises.

The list below represents a sample of the planning sessions held with the executive leadership of partner agencies. An increase in access to law enforcement resources and professional courtesies have been realized from these meetings.

- 6th Pct. – (Washington Square Campus)
- 9th Pct. – (2nd most significant amount of NYU residence halls within this command)
- 84th Pct. – (Brooklyn MetroTech Campus)
- NYPD Transit Bureau – Office of the Chief (all subway stations serving NYU campuses)
- NYPD Community Affairs Bureau – Office of the Chief (Crime Prevention, Bias Incident awareness presentations, outreach to immigrant & LGBTQ communities)
- NYPD Patrol Borough Brooklyn North – Office of the Chief
- NYPD Patrol Borough Manhattan North – Office of the Chief
- FDNY – Office of the Chief Counterterrorism/Emergency Preparedness
- Federal Bureau of Investigations (FBI) – NY Field Office - University and College liaison
Protective Services

The Protective Services Unit utilizes proactive digital, physical, and intelligence practices to help mitigate risk to University Principals and visiting dignitaries.

This uniquely-qualified and well-trained unit - six sergeants and one protective services assistant - uses an Executive Protection (EP) platform to help manage and secure controversial speaker appearances, corporate and governmental VIP campus visits, and the daily movement of the NYU leadership throughout the local area. This specialized accommodation helps to optimize safety outcomes, but also elevates the range of DPS services available to our campus partners. NYU hosts many national and international dignitaries throughout the academic year. Through productive and cooperative working relationships with school administrators, and the use of advance site inspections to develop strategic plans, the unit produces comprehensive safety plans designed to ease the threat of personal harm. Often, this unit collaborates with external law enforcement agencies during campus visits associated with these VIPs - the U.S. Marshals Service, U.S. Diplomatic Security Service, United Nations Department of State, and the U.S. Secret Service, to name a few. Their mutually aligned methodologies in EP have helped to increase campus safety for the entire NYU community.

III. Public Safety Operations

Focused on the university missions of teaching, research and public service, Public Safety Operations is the go to institutional office guiding global university constituencies as we prepare for, mitigate, respond through, and recover from any potential impacts to university governance, operations, and business.

Emergency Management

The DPS Emergency Management (EM) team is committed to providing robust, all-hazards emergency management functions to the NYU global community, aimed at reducing disaster risk, improving response capability, enhancing individual preparedness, and protecting lives.
Institutional Level Capabilities

Emergency Management has been building upon initial assessments conducted during AY 2017-18 to create a resilient enterprise.

DPS has engaged with partner New York City Emergency Management (NYCEM) as it conducts a Threat and Hazard Identification and Risk Assessment (THIRA) for NYU’s NYC facilities and locations (bottom left).

The THIRA is a three-step risk assessment process that helps communities answer the questions:

- What threats and hazards can affect our community?
- If they occurred, what impacts would those threats and hazards have on our community?
- And based on those impacts, what capabilities should our community have?

It will help DPS, campus partners and city stakeholders understand risks and determine the level of capability needed in order to address them.

DPS is set to complete its THIRA in 2020 and has partnered with NYCEM on several initiatives throughout the last few years, including becoming a Partner in Preparedness.

Completed in Fall 2017, NYU’s Comprehensive Emergency Management Plan (CEMP) was updated with minor changes in 2019. This plan lays out a university-wide approach to all-hazards incident management. It creates activation levels and outlines overall responsibilities to ensure an effective response. The CEMP also aims to further reduce duplication of effort.

The CEMP called for the creation of two new structures to support incident operations, the Executive Policy Committee (EPC, see right) and the Incident Management Team (IMT). Each team has a unique requirement and role in the university’s response. The EPC is strategically focused, providing policy level decision making. The IMT is focused on the tactical level operations designed to respond to the incident at hand. Both teams leverage the National Incident Management System (NIMS) and the Incident Command System (ICS) to respond to any incident that may impact the University.
EM is currently creating annex plans for the CEMP, ensuring that departments, divisions, schools, global academic centers, and portal campuses have a structure and process in place to make decisions during emerging events.

EM is planning to continue conducting tabletop exercises with the Fire Department of New York (FDNY) to test our preparedness efforts. The tabletops include NYU’s IMT and EPC as well as outside agencies such as the NYPD, New York City Emergency Management (NYCEM), Con Edison and Hebrew Union College. These unique exercises allow for tremendous learning opportunities for all involved parties.

EM is employing industry-leading systems to help improve our incident response coordination efforts. DPS utilizes VEOCI, a virtual emergency operations center on the internet, to allow the IMT and EPC to collaborate and solve issues no matter where responders are throughout the global enterprise. VEOCI is also used to assist with emerging events, such as protests, vigils and other on-campus events, as well as for continuity planning and day-to-day operations.

Recognizing that NYU may not be able to handle a large disaster on its own, EM enrolled NYU into the National Intercollegiate Mutual Aid Agreement (NIMAA). This agreement, signed by more than 100 colleges and universities throughout the country, is designed to ensure that higher education institutions can share resources effectively and efficiently during large-scale emergencies. NIMAA was crafted in a way that will aid in cost recovery should the University experience a Presidentially-Declared Disaster.

On the organizational level, EM is certified by NYCEM as a Partner in Preparedness. NYCEM’s Partners in Preparedness program is a nationally-recognized program that supports organizations in preparing their employees, services, and facilities for emergencies. It requires partners to show progress in five areas including emergency notification, planning, and exercises.

Emergency Management Advisory Council

The Emergency Management Advisory Council (EMAC) provides strategic advice on the direction of the University's Emergency Management Program, ensures continued input representing local stakeholder groups, and supports Emergency Management Accreditation Program (EMAP) efforts.
The council meets once per semester with key stakeholders to create synergies between divisions and departments within NYU, and provide updates on specific initiatives important to fostering a more resilient NYU.

**Emergency Coordinators**

The Emergency Coordinators are a collaborative team of colleagues from schools and departments who serve as liaisons to improve preparedness within their individual units.

As a subject matter expert of their environment, the Emergency Coordinators represent their schools and departments during times of emergency providing critical information and assisting with decision making. They may also be a part of the Incident Management Team.

The Emergency Coordinators meet once per year to review past events, share training opportunities, and collaborate on how to improve communications between the University and stakeholders.

**Fire and Life Safety**

Public Safety Operations partners with Professional Standards to oversee the placement and training of Fire Life Safety Directors (FLSD) at 20 specified buildings across the New York City campuses.

The current training program, consisting of an in-person class, a computer-based test, and an on-site exam administered by the Fire Department of New York, includes 49 members of DPS. Thus far, 24 are fully certified, ten are temporarily certified and awaiting permanent Emergency Action Plans (EAP) to be adopted by FDNY, and 15 are working toward certification.

To create a more robust program, DPS has partnered with Environmental Health and Safety (EHS) and Facilities and Construction Management (FCM) to ensure that fire safety plans across campus are maintained and updated as facility information and standards change. EHS and FCM also help facilitate fire drills and monitoring alarms.
Individual Level Capability

While continuing to make significant progress on the institutional level, EM also focused on enhancing individual level preparedness for University community members. This focus is critical to ensuring that our students, faculty, and staff have the knowledge and tools to keep themselves safe.

The Safe NYU app provides safety capabilities in more than 190 countries, including location-specific preparedness tips, emergency numbers, and transportation information. Safe NYU is critical to advancing the safety and preparedness of students, faculty, and staff by providing updated alerts, emergency procedures, and other important information. The app also:

- Improves your safety: through mobile blue light, friend walk, real-time chat, and transportation and Safe Ride information
- Keeps you informed: through push notifications, campus emergency procedures and a global directory for emergency services.

The subscriber base for the Safe NYU app continues to grow, and has surpassed 31,000 users as of March 2020. This base is the highest number of users of any one safety app deployed by the Safe NYU app’s vendor host.

EM has continued to partner with the Student Health Center (SHC) to train all of their staff in active threat preparedness. This helped reduce their fear about such incidents while also meeting a critical accreditation item for the SHC. Similar sessions have been provided for other schools and administrative departments.
Overall, the benefits of these preparedness efforts are evident when it comes to responding to critical incidents affecting the NYU community. For the 2019 calendar year, EM has responded to more than 50 incidents ranging from bombings and terrorism to snow, severe thunderstorms, protests, and utility failures. Most notably, the team was an active participant in the University’s response to the COVID-19 pandemic outbreak. Improvements continue to be seen as overall efforts are tracked, ensuring that we are learning important lessons.

**Active Threat Preparedness Video**

Working with filmmaker and NYU Tisch School of the Arts faculty member Anthony Artis, Public Safety developed an active threat preparedness video for NYU that is reflective of the campus and inclusive of people with disabilities, access and functional needs. The video is posted on the Public Safety website and the webpage includes a form for community members to request training, answers to frequently-asked questions, and additional resources from government agencies.

The video webpage has been viewed more than 5,000 times and is available on the Department’s website.

Schools, Departments, and Units may also request customized in-person training sessions for their particular unit, division, school or organization. Additionally, an updated online Preventing Campus Violence training is due to be finalized in 2020, and will accompany the new video through NYU’s iLearn platform.

**Communications Center**

Located in 370 Jay Street, the Communications Center is staffed 24/7/365 by a team of dedicated Public Safety Dispatchers. They answer calls for service, dispatch DPS resources, maintain situational awareness of threats or incidents that could affect the University community, and monitor various systems to proactively address and prevent incidents. These individuals received training and certification as Public Safety Telecommunicators by the Association of Public Safety
Communications Officials (APCO), the same standard used by many 911 agencies. For the time period April 1, 2018, through March 18, 2019, the Communications Center triaged more than 35,000 events, resulting in approximately 13,000 calls for service. The team also prevented numerous larcenies through the diligent work of Center personnel and supported several global incidents.

A call recording system records all phone calls and radio traffic that goes through the Center. This is critical for quality assurance and training purposes to ensure that NYU DPS Communications Center continues to function at a high level in support of the NYU Community.

The Center is scheduled to move into its permanent, state-of-the-art space at 370 Jay Street in 2020. This permanent space will be optimized to support efficient workflows and rapid response.

**Global Security Operations Center**

The DPS Global Security Operations Center (GSOC) is tasked with providing safety and security support to NYU’s Global Academic Centers, NYU travelers, and NYU-associated programs around the world, both before and during a trip. The GSOC team accomplishes this by monitoring the world and continuously assessing ongoing events, and identifying and analyzing trends and patterns at the global, regional, and local level for any potential impact to NYU travelers and facilities. This analysis, combined with the team’s interactions with a blend of national, regional, and local entities, enables it to develop a holistic understanding of what may impact NYU travelers...
wherever they are. On an average day, the GSOC team reviews and analyzes more than 500 situational alerts, warnings, and developing events occurring around the world. Separately, the GSOC team provides situational awareness during high profile on-campus events in New York City, in support of Public Safety’s Uniformed Services, Events, and Protective Services units.

Global and Local Support

Globally, the GSOC team continues to provide support to every NYU school, as well as sponsored research travel abroad. In this effort, the team has conducted more than 400 pre-departure assessments, briefings, or responses to particular traveler questions in 2018 that covered travel for more than 10,100 travelers to 117 countries. NYU community members collectively spent more than 690,000 days overseas, all while being supported through pre-departure briefings and constant monitoring during their travel. Travel information for 2018 is located in the NYU Traveler section below.

In New York City, the GSOC team provided extensive support to protests and high-profile events that occurred in and around campus. During the 2018-19 academic year, the GSOC team has provided awareness on more than 381 events, protests, and public safety investigations. All events concluded successfully and without damage to NYU property. This included several controversial speakers that attracted local and regional media attention.

Incident Response and Support

In addition to proactively supporting NYU travel programming, the GSOC team continues to develop and refine its incident response capability. In 2019, the GSOC team provided response to 34 events both locally and abroad. Some responses of note include:

1. The GSOC supported NYU Paris during the weekly Yellow Vest protests. These protests often resulted in property damage and local security force response, which could have impacted travelers. By continued collaboration with the NYU Paris site staff, travelers were kept apprised of the situation and were able to avoid known protest locations.

2. The GSOC worked extensively with NYU Abu Dhabi during the summer 2019 to prepare for and respond to escalating tensions between the United States and the Islamic Republic of Iran. By publishing weekly situation reports and assisting Abu Dhabi’s emergency management team, the campus was able to navigate daily developments.

In both instances, the GSOC team worked with DPS to notify the NYU community of the incidents.
Geopolitical Risk Working Group

DPS participates as a standing member of the Geopolitical Risk Working Group (GRWG). This working group is composed of members from the Office of Global Programs, Public Safety, and Enterprise Risk Management, and meets quarterly to discuss and respond to geopolitical risk trends and events that could affect NYU globally. The GRWG also meets when necessary to discuss proposed travel to elevated risk countries. The working group reviews the trip’s potential risks versus rewards and what possible mitigation actions need to be addressed to reduce the exposure to NYU as an institution and for individual travelers. The group then produces a recommendation for the University leadership and the requesting school.

Previously, the GRWG reviewed Nigeria, which was recommended against and alternative programming was found, as well as Haiti, which occurred successfully with no issues. The GRWG has since conducted several reviews of proposed trips to high-risk countries, to include Mexico, Lebanon, and Ukraine. In some cases, we have been able to adjust support to an ad hoc opportunity, such as in Ukraine, but reviewing the proposed location and implementing a communications plan to ensure the ongoing safety of students. In the case of Lebanon, a graduate course went for the first time and had deep interaction with the local university and an international non-governmental organization (NGO).

NYU Travel Breakdown

NYU Traveler is the central repository for all NYU-associated travel. The GSOC team works with the Office of Global Programs to ensure staff is trained and able to enter in trip information, as well as explain how and when the information will be used to ensure transparency in data handling and protection.

Redesigned in 2019, the new NYU Traveler is New York University’s enterprise travel safety service. All members of the NYU community are eligible and encouraged to utilize the online service when making travel arrangements or registering their plans.

To promote increased awareness around travel safety, and the resources NYU provides, the Department created a Travel Safety Resources video, disseminated to community members in spring 2020. The video depicts many of the services available to all community members, wherever they may travel.
By booking or registering trips with NYU Traveler, NYU’s Department of Public Safety will be able to proactively contact community members and provide support in case of emergencies, such as severe weather or labor strikes, that may disrupt travel itineraries.

Details of the trip will remain confidential. Community members will receive safety and weather alerts from an automated system, which tracks developments around the world. Only in cases of emergency, and depending on the scale and severity, will a Public Safety administrator review a community member’s travel information and attempt to establish contact to check in on their safety.

Note: Country Security Assessment Ratings (CSAR) are established independently by NYU’s third-party travel vendor and computes an overall score compiled from individual scoring on crime, security services, civil unrest, terrorism, kidnapping, and geopolitical considerations. CSAR 5 – Very High, CSAR 4 – High, CSAR 3 – Moderate, CSAR 2 – Low, CSAR 1 – Minimal.
Global Security

In an effort to create more consistent safety services across NYU’s Global Academic Centers (GAC), DPS has created standardized contracts and post orders for the 11 GACs. By standardizing the contracts and providing partner security vendors with similar materials, DPS and NYU are better able to serve the community members studying and working at the GACs.

In addition to standardizing security contracts, processes and procedures, DPS has reduced the number of individual contract security vendors by nearly 50 percent, from 11 to six. The consolidation of providers maximizes the consistency, continuity and efficiency of security services across our GACs. This effort has also standardized service expectations and enhanced service quality across our GACs.

DPS has also standardized safety and security messaging to the GACs, including site-specific safety information cards, digital signage and support on promotional material design. In collaboration with Global Programs and the GACs, we have standardized emergency call number language to separate between emergency services and staff-on-call needs. This distinction in emergency and staff phone numbers provides students with the most direct method for receiving appropriate services. These numbers have been updated on the Safe NYU app, global safety cards, posters, and digital signage.

The global safety cards provide global and site-specific safety tips and important phone numbers, including a local staff on-call number and Public Safety’s contact information in New York. The cards also include direct links to download the Safe NYU app and view the Department’s Annual Security Reports.

Continuity

DPS continues to professionalize the University’s Emergency Management, Communications, and Global Security, through its enterprise continuity program. In today’s complex environment, NYU is exposed to a variety of potential threats and incidents that can affect the University’s ability to accomplish its primary missions of teaching, research and providing community service. NYU must not only be able to respond to an incident but must continue to perform its critical missions at some level during an incident.
This Continuity function is in parallel to, and in support of, the Emergency Management role focused on protecting lives, property and the environment by preparing for, responding to, and recovering from the same incident.

Continuity has focused on building a baseline risk assessment for critical missions, processes and personnel for the University focused in the areas of continuity of governance, operations and business. Continuity worked closely with NYU Shanghai to develop, test and digitize its continuity plans. The long-term goal is to apply this same continuity mindset to NYU’s entire global network.

**Resilient NYU Folder**

Expanding on last year’s Resilient NYU folder, designed specifically for administrators at NYU’s New York campuses, the Continuity team created a student version, focused on personal preparedness, the benefits of the Safe NYU app, and travel safety.

The folder details safety information that will help students be prepared for and recover from emerging events, including important contact numbers, a guide to academic resiliency, an emergency response guide, and a checklist to create a Go Bag.
IV. Enterprise Systems

Enterprise Systems provides DPS and the NYU community with consistent, reliable, and advanced technology solutions, services, and subject matter expertise to proactively enhance global campus safety while continuously pursuing industry-leading standards, and maintaining strong collaborative relationships with partners throughout the University.

- **Card Services** manages global badging and card access
- **Security Assessment & Design** produces and maintains physical security assessments of NYU facilities locally and globally and designs physical security systems and or other measures of security essential to protecting NYU assets.
- **Security Project Management & Engineering** manages the physical security specification and installation process for University construction and renovation projects globally, including in New York City.
- **Technical Services** maintains physical security systems - including cameras, alarms, panic buttons and access control points - across all of NYU's facilities globally, and the information systems unique to enabling the mission of Public Safety.

Enterprise Systems focuses on two parallel streams of effort to maintain and enhance the University’s safety and security capabilities through security systems: maintaining these security systems and devices across campuses to ensure their continued effectiveness and appropriate use, and enhancing NYU’s public safety capabilities through strategic physical security initiatives focused on NYC operations, global communications, process improvement, and global standards.

Information Systems and Workflow

**PublicSafetyLink**

After transitioning to ServiceLink in 2017, DPS began using three new PublicSafetyLink forms as the preferred method of receiving service requests – one each for staffing, technical services, and card services. Requests made through the PublicSafetyLink forms are delivered directly to the DPS unit responsible for providing the requested service.

The new forms are accessible via the Public Safety website. Other support requests and inquiries can be sent via e-mail to PublicSafetyLink@nyu.edu.
The transition has reduced the amount of time it takes for requests to reach DPS, improved the response to requests, and enhanced Public Safety’s ability to analyze data related to service requests. PublicSafetyLink received 21,778 requests during the 2019 calendar year, approximately 4,000 more than the year prior.

**Dispatch & Records Management**

Major public safety and law enforcement agencies rely on Records Management Systems (RMS) that enable documenting incidents, facilitating investigations, Federal and State regulatory compliance, and trend analysis/reporting; and Computer Aided Dispatch (CAD) systems that enable real-time coordination between dispatchers, field officers, and supervisors as they carry out their daily activities.

The DPS combined CAD/RMS system is supported by Southern Software, and its functions:

- Support the full lifecycle of daily public safety activities from real-time patrol resource management and dispatch logging through incident documentation, investigations management, compliance reporting, and analysis;
- Facilitate documentation and reporting requirements driven by the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) and other federal and/or New York State regulations applicable to private institutions of Higher Education;
● Produce both pre-built and custom reports on calls taken, incidents logged, and other key information about the Department’s security operations; and

● Provide automated workflow and notification features that enable efficient assignment of activities between teams, both for DPS-internal Uniform and Incident/Investigations purposes, and facilitate notification and reporting to both NYU-internal departments and external agencies

DPS maintains a continuous improvement approach to adapt the system configurations and related operational protocols according to lessons learned, policy and regulatory changes, and other considerations.

**Call & Radio Recording**

Taken together, call and radio recording enable DPS to conduct quality assurance processes, provide investigators with increased access to, and reliability of, details gathered in phone calls reporting incidents to the department, and enable supervisors and emergency management personnel to confirm details reported to DPS about events in real time.

The system addresses serious continuity risks associated with the obsolete, failing system that DPS previously depended on. The system now includes redundancies to reduce the chance of failures, higher-quality recordings, and improved data and usability features that enable more efficient retrieval.

**Access Control & Alarms**

The DPS Enterprise Access Control & Alarm System enables members of our community who hold active NYUCards – of which there are more than 102,582 – to access NYU facilities by tapping their ID cards at doors, turnstiles, and reception desks across NYU’s global locations. The system enhances the security of University facilities by restricting access – so that only those from the NYU community may enter locations that are private to NYU – and provides DPS with notifications of security access vulnerabilities and violations (e.g., panic buttons activated, doors forced open) as they occur.

The system supports more than 3,187 electronic access control points, approximately 100 turnstiles at 35 locations, and more than 3,100 duress and intrusion alarms across New York City facilities. During calendar year 2019, the system granted access to NYU cardholders approximately 57 million times.
Security Video

DPS operates more than 3,450 cameras throughout NYU’s New York City locations, and has added 137 cameras to the system during the past year. These cameras serve three broad purposes: to deter and detect crime, to reconstruct the details of criminal acts, which aids in investigations, and to provide situational awareness to DPS in managing security for events and incidents that occur on campus. Employed correctly, cameras enable fundamental capabilities—outlined in our technical security design standards—to mitigate reasonably foreseeable risks.

Cameras were also brought into NYU’s network from global sites, including London, Madrid, Paris, Prague, Tel Aviv, and Washington, D.C.

To improve the quality of camera footage in high-traffic areas around NYU’s NYC campuses, high-resolution camera technology at Gould Plaza in Washington Square, and MetroTech Commons in Brooklyn provides for better capturing of video footage, allowing team members from Public Safety - New York and Public Safety Operations to better serve the NYU community.

DPS completed a video management system upgrade in NYC. This was a holistic upgrade of the entire platform, replacing outdated hardware, upgrading to the latest Genetec 5.8 software, and improving usability through mobile technology.

All access to live and recorded security video is managed in strict accordance with university data management policies and accreditation-related general orders issued within DPS.

Physical Security in New Construction and Renovation Projects

DPS partners closely with the Office of Construction Management (OCM) to maintain strong connections to the processes surrounding the University’s capital facilities projects.

Enterprise Systems is responsible for evaluating all new capital facilities projects to determine any physical security considerations that must be included in the project scope. The unit manages defining the physical security scope, engaging vendors to bid on the security project, managing those vendors in implementing security systems and other measures, and ensuring that provided physical security solutions are completely commissioned before NYU personnel take occupancy of a new or renovated University space.

Major NYU facilities launched with DPS security standards over the past 12 months include: 1 West 42nd Street turnstiles, 285 Mercer Street renovation, 370 Jay Street turnstiles, 665 Broadway renovation, Bobst Library 10th Floor and Special Collections, Kimmel Center 7th
Floor and Commuter Lounge, Meyer Hall, Shimkin Hall 6th Floor, Third North renovation, Tisch A/V Lab renovation and University Hall turnstiles. Projects in progress during spring 2020 include: 10 Astor Place 4th Floor renovation, Meyer Hall Floors 7 and 8, Rogers Hall, Tishman Auditorium renovation, University Hall First Floor renovation and Weissman Hall 8th Floor project.

**NYU Card Services**

DPS offers **ID card services** and access permissions to members of the NYU community. The NYU Card Center’s primary location at 7 Washington Place operates weekdays from 8 a.m. to 6 p.m. Card Services maintains a satellite office at 2 MetroTech Center in Brooklyn.

The Card Center produced 60,492 cards globally for students, faculty, staff, and affiliates during the past calendar year. Included in that number are cards created during the Center’s busiest periods – summer and winter – when the addition of new students, visiting students, and summer residents causes card production to spike.

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**Global Site Badging**

In addition to the above, Card Services continued its partnership with NYU IT and Global Programs staff to extend badge printing capability to more of the Global Academic Centers. In the past, cards were printed in large batches in New York City and shipped them globally for use at the Global Academic Centers. This costly, inefficient process was vulnerable to shipping issues and required students to wait for days before receiving replacements for lost or stolen cards.

DPS has now activated card printers at nine Global Academic Centers: Berlin, London, Florence, Madrid, Prague, Paris, Tel Aviv, Washington, D.C., and Sydney. The Card Services staff in New York now have the ability to remotely print a card that will appear within minutes at any of these nine Global Academic Centers. Similar capability is intended for the remaining two Global Academic Centers, Accra and Buenos Aires, pending availability of inter-campus IT networking capabilities necessary to support this enhancement.
To support increased card printing at NYU’s Global Academic Centers, DPS acquired and will be commissioning new card printers at the GACs in 2020. The new printers will be more efficient, less susceptible to mechanical challenges, and provide a better overall service experience for NYU’s students and staff.

V. Office of the Vice President

The Office of the Vice President enables consistent, responsible, and high-quality service delivery for the Department of Public Safety in support of the NYU community by preserving the integrity of the Department, optimizing processes and services, and cultivating relationships internally and externally. The Office consists of Professional Standards, Strategic Initiatives, Transportation Services, and Finance and Administration.

Professional Standards

Professional Standards is primarily responsible for the Department’s Accreditation programs, leading the University’s Compliance with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, the development of policy defining the Department’s standards of conduct, as well as, the development of Training programs to reinforce published policies and protocols. The unit includes the following units: Compliance, Training, Records, Accreditation, and Internal Affairs.

2020 NYC Regional Clery Compliance Symposium

DPS hosted the 2020 New York City Regional Clery Compliance Symposium on Monday, February 10th, at NYU's Kimmel Center for University Life, featuring keynote speaker and U.S. Department of Education Senior Advisor Jim Moore. In July 2019, Professional Standards partnered with Allied Universal and began planning for the symposium, which brought in close to 100 attendees, mostly colleagues from peer institutions, schools from the northeast region, and colleagues within NYU, most notably the Office of Equal Opportunity, Office of General Counsel (also a participant), and the NYU Office of Compliance and Risk Management.
The symposium also included a mock trial testing the limits of a Clery Act-based claim, and discussions on the importance of an institution-wide Campus Security Authority program, timely warnings, and community safety best practices. The event by design focused on elevating the Clery discussion; exploring issues beyond crime classification, data collection, counting and geography. The panelists and presentations focused heavily on the application of the Clery Act as a risk mitigation model, that is successfully applicable to institutional issues beyond campus safety.

Public Safety Training Programs

The DPS Training Unit offers on-site training and training program development support to all DPS divisions and units. The DPS Training Program is certified by the New York State Division of Criminal Justice (DCJS) and works in conjunction with University Human Resources to plan training courses and curricula for operational and administrative personnel.

The Unit, comprised of a Director, Training Programs, and a Training Sergeant, develops standards-based and policy-driven curricula and programming. Leading future implementation of the DPS Comprehensive Training Plan, the Unit recommends training programs specifically tailored to each role and unit, at the granular level, organized by Division. The plan includes employee onboarding, Management and Leadership tracks, Field Officer Training, and remedial training. Campus Security recruitment, hiring and promotions standards drive the plan’s requirements, benchmarks, and timelines.

The Department’s Annual In-Service Training is the biggest training event of the year. Over 300 DPS employees receive training on topics selected and approved by the Department’s Training Committee. Training is delivered by the Training Unit, University partners, and Department leadership. NYS DCJS mandates that all personnel who hold a valid security guard license must attend an annual refresher once per year for two years during the term of their security guard license. Personnel within the Department and more specifically the Training Unit maintain DCJS General Topics Instructor Security certification(s) in order to conduct these Annual In-Service courses.
This year, the annual in-service training included speakers from partner offices throughout NYU, and focused on a variety of topics. Sessions featuring external speakers included information on LGBTQ+ topics with Chris Woods, Microaggressions with Monroe France, the Immigrant Defense Initiative with Frances Davila, and Residential Life Policies and Procedures. Uniformed personnel also participated in classes on the DPS mission, vision and values, radio etiquette, customer service, de-escalation and non-escalation techniques, accountability and process, and responding to law enforcement.

In line with the DPS core value of Professionalism, the Training Unit is looking forward to increasing Training Committee engagement and implementing the DPS Comprehensive Training Plan.

Federal Regulatory Compliance—The Clery Act

**Annual Security and Fire Safety Report**

Colleges and universities are required by the federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (The Clery Act) and the Higher Education Opportunity Act (HEOA) to publish and distribute an Annual Security and Fire Safety Report containing campus security and student residence fire safety policies and procedures, and campus crime and fire statistics. The *Annual Security Report* (ASR) is designed to inform the public, campus community, and perspective students and their families of crime on our campuses.

In accordance with The Clery Act, DPS publishes and distributes the ASR for each campus on October 1 of each year. The crime statistics included in the 2019 ASR are divided into the following categories - on-campus, on-campus residence halls, non-campus, non-campus residence halls, and public property. The ASR includes three years of campus crime statistics and approximately 114 campus security policy statements. DPS in New York is responsible for Clery Compliance for each of the University’s three campuses—New York, Abu Dhabi, and Shanghai - with NYU Brooklyn sites, NYU Global Sites, and NYU Langone Medical Center included in the New York ASR.

Please refer to the DPS website for the 2019 ASR.
**Clery Act Program Expansion**

The 2019 inaugural class of the NYU Long Island School of Medicine (LISOM) resulted in an additional campus for New York University’s Clery Act Compliance Program. Professional Standards engaged NYU LISOM and NYU Winthrop Hospital leadership in March 2019 to begin integrating Clery Act Compliance activities.

As of March 2020, the Records and Compliance Unit has delivered Campus Security Authority Training for more sixty (60) campus security authorities; assessed 450+ incident reports for Clery Act compliance provided by NYU Winthrop Risk Management and NYU Winthrop Security; launched a new crime log on NYU’s website for the new campus; and, reviewed 235 locations for incorporation in the Clery Act Geography Registrar. The 2020 Annual Security Report, released on October 1st, 2020, will capture our expanded compliance footprint and include a section dedicated to the NYU Long Island School of Medicine’s policies and crime statistics.

**Transportation Services**

DPS provides three primary transportation programs:

1. Daily shuttle service during the academic year to connect student residential properties with major academic locations and the medical corridor;

2. Nightly Safe Ride and Brooklyn Overnight Shuttle service during the academic year; and

3. Contracted charter transportation to any department in the University requiring transportation. Additionally, the transportation unit oversees the fleet management program for DPS.

Campus Shuttles, Safe Ride, and charter services are provided through a transportation agreement with Academy Express LLC. The current agreement with Academy is in effect through AY 2021-2022.

Due to vendor SuperShuttle ceasing operations, the Airport Shuttle program has been on hiatus since January 2020 while a new vendor is procured. DPS is aiming to have a new vendor on board in time for the Fall 2020 semester.
Please note that due to the remote learning instituted by University in the wake of the COVID-19 outbreak, Transportation Services has suspended services until further notice.

**Campus Shuttles**

The DPS Transportation Services Unit operates seven scheduled routes connecting the Washington Square campus with residence halls, the 1st Avenue Medical Corridor, and the Tandon School of Engineering in Brooklyn. During the fall and spring semesters when classes are in session, the system operates from 7 a.m. to midnight on weekdays and 10 a.m. to midnight on weekends. The average ridership on the network is 4,350 passengers per day. Please refer to Appendix B on page 39 for ridership totals by route.

**Safe Ride**

Safe Ride is an on-demand, shared-ride service that is available for transportation between NYU’s Manhattan facilities, and to three local mass transit stations during the academic term from midnight to 7:00 a.m. Service can be requested by phone or through the NYU Mobile or Safe NYU apps. The apps provide users with estimated wait time, vehicle tracking capabilities, and notifications when a vehicle is on route and on location for pickup. Through March 1, 2020, Safe Ride has transported 15,412 passengers with an average wait time of 11 minutes. The improvement on wait times is due to the implementation of the new Brooklyn Overnight Shuttle.

**Brooklyn Overnight Shuttle**

Piloted in May 2019 and launched into full operation in fall 2019, the Brooklyn Overnight Shuttle provides a fixed-route overnight service between Manhattan and Brooklyn. Operating concurrently with Safe Ride in Manhattan during the academic year, this scheduled service provides shuttles every 30 minutes between boroughs, making stops at Bobst Library, 80 Lafayette, Othmer Hall and Clark Street. Through March 1, 2020, 4,343 passengers have utilized the Brooklyn Overnight Shuttle.
**Airport Shuttle Service**

NYU’s Airport Shuttle Service provider shuttered operations as of January 1, 2020. Transportation Services is in the process of identifying a new provider for this service and will update the NYU community when service is available. During the Fall 2019 semester, the Airport Shuttle Service transported 1,948 passengers to and from New York’s three major airports, John F. Kennedy Airport, LaGuardia Airport, and Newark-Liberty Airport.

**Fleet Management**

The DPS patrol fleet was expanded to 14 total vehicles with the addition of three in 2018. DPS uses Fleetio fleet management software to track all things related to vehicles: fuel usage, maintenance, parts, etc. This will lead to more knowledge about the fleet, both on a macro and micro level, allowing DPS to track vehicles that are underperforming and provide true cost of ownership for each vehicle. In 2019, DPS acquired a new hybrid 15-passenger van. This will lead to an estimated 15-20 percent fuel and emissions savings.

DPS is pursuing the prospect of transitioning all patrol vehicles to electric power as part of the University’s commitment to sustainability.

**Community Engagement**

DPS launched its Transportation Advisory Committee (TAC) in early 2019.

The TAC, comprised of representatives across NYU’s diverse student body - undergraduates, graduates, commuters, residents, and different schools - including membership from Washington Square, Brooklyn and the medical corridor - was assembled to identify service gaps and discuss possible ways to enhance transportation services for NYU’s community. The committee meets one to two times per semester.
VI. APPENDIX
Appendix A: DPS Organizational Chart
Appendix B: Transportation Campus Shuttle and Safe Ride Statistics

AY 19-20 Shuttle Ridership Total By Route
Total Ridership: 387,775

Please note that a shuttle is considered on time if it departs a stop within 5 minutes of the scheduled departure time.

SHUTTLE ON TIME PERCENTAGE

6.34%

On-Time

93.66%

Not On-Time

Safe Ride Average Wait Time

AY 19-20 11.2
AY 18-19 14.6

Safe Ride Average Trip Duration

AY 19-20 9.4
AY 18-19 11.8
Report to the Senate from T-FSC, 4/29/2020

We have had elections for officers for year 2020-21. I congratulate Prof. Darcey Merritt, elected President, Prof. David Irving, elected Vice President and Prof. Sonya Das elected Secretary.

T-FSC received clarifications from the Provost’s Office on the dissemination of statistics of grievance cases brought to the T-FSC.

T-FSC passed a resolution opposing a proposal for a radical change in the composition of the Senate.

We are currently discussing the parameters for teaching in the academic year 2020-21, including incorporating social distancing rules in the fall semester, and possibly extending the academic year to the Summer of 2021.

We are also currently examining guidelines for principal investigators and research from Tenured/Tenure track and Contract faculty.

The Executive Committee of the Senate met with the Executive Committee of the Board of Trustees and discussed issues arising from the pandemic for NYU. T-FSC stressed that research has distinguished NYU and allowed it to be more mildly financially hurt by the present crisis than other Universities. If we had this crisis 25 years ago, NYU would have fared much worse. Despite tremendous uncertainty and fear, faculty have taken extra responsibilities, and teaching remotely is proceeding smoothly. On financial issues, it is important to take financial measures (cuts) that are proportional to financial losses, not over-react, and not harm the university in the long run. We need to prioritize research and teaching, suspend all construction projects that have not started and pause others, and aggressively cut expenses not on research and teaching. NYU needs to get out of this crisis with our research faculty and our reputation as a research university intact. This means that we need to protect our faculty, protect research and teaching, cut investment/capital expenditures, cut inefficiencies and cut activities that are not central to research and teaching.

We strongly disagree with the decision of NYU not to give any raises to faculty in 2020-21 despite the dedication of faculty to the institution and the additional work they undertook and are undertaking in converting to online teaching and perfecting it.

Prof. Nicholas Economides
Stern School of Business
Chair, T-FSC
**Academic setup for year 2020-21**

**A. Assumptions**
- NY State and/or City will be requiring social distancing in Fall 2020
- Keep protection of over 60 or 65 age and/or vulnerable pre-conditions, recommending minimal face to face meetings
- Students generally prefer face to face classes rather than Zoom classes

**B. Constraints in Fall 2020**
- Shortage of available classrooms since each face-to-face class will require at least two classrooms
- Dorms will operate with only one student per room

**C. Proposals/discussions with Provost and reactions from faculty**
- **Summer 2021 becoming part of the academic year**
  - Strong support for the proposal but some schools (especially Steinhardt) has raised issues of
    1. Sequencing of courses
    2. Difficult to do zoom classes because of “hands-on” requirements
  - Concerns that tenured/tenure track faculty may be coerced to teach in the summer 2021; Provost and Schools should provide incentives for volunteering to teach in summer 2021
  - Strong support for two more intensive half-semesters in the summer rather than a long semester, although that may vary from school to school
    1. To allow students and faculty to have some time for vacation in summer 2021
    2. May help with course sequencing issues
  - NYU should provide faculty’s families with childcare or funding to help with childcare after the public school’s end in mid-June

- **Some of fall classes face-to-face, some in Zoom (“mixed setup”)**
  - Alleviates the squeeze on classrooms
  - Vulnerable faculty can teach in Zoom; NYU through OEO will setup only Zoom classes for vulnerable faculty
  - Generally strong support for “mixed” solution but
    1. Some schools (especially Steinhardt) are very concerned about any Zoom classes
    2. A few prefer all zoom classes
  - At Stern, strong support for doing mostly required (core) courses in classrooms, and electives in Zoom in the fall

- **Freshmen come in the Spring (considered, not fact)**
  - Will allow them to have a more traditional mingling experience
  - Will alleviate classroom shortage
  - Will allow NYU to run dorms with one student per room in the fall

**D. Most important: The Provost will opt for flexibility. The final solution will depend a lot on deans and faculty input.**
Summary of financial issues based on SFAC meeting of 4/28/20

1. A number of faculty protested that the zero AMI decision was taken without consultation with the Senate Committee, and the President did not even wait a single day to have this issue considered/discussed by SFAC (decided on Monday with SFAC scheduled to meet on Tuesday)
   a. Many Senators expressed their sadness that there be an effective salary cut for faculty that have put extra effort to converting to Zoom this semester and will be putting a lot of extra effort to improve Zoom classes for the fall
   b. Since AMI is not a fixed number, but can vary from 0.5-3%, I noted that even a small AMI (say 0.5%, amounting to about $7-8 million) would show the appreciation to faculty and administrators, and should have been considered
   c. The administration should seriously consider the “Sexton solution” of a fixed $1500 that was given to all faculty and administrators in lieu of an AMI in 2005

2. Losses this far from closing the dorms and the foreign campuses $100-120 million

3. Summer 2020 program uncertainty
   a. Expect housing/dorms to be empty
   b. Total summer program income is $200 million.
   c. Expect losses of additional $100 million if 50% of the students do not show up; NYU does not have an estimate of the probability that losses will be that high
   d. If the worst scenario for summer occurs, cumulative losses of revenue for NYU for this academic year will be up to $250 million
   e. Information on summer enrollments will be available on May 12

4. Present mitigation actions
   a. The administration still does not have specific dollar numbers attached to the earlier mitigation actions; expects to have them in the next SFAC (extra) meeting at the end of May

5. The committee discussed the administration’s two “mitigation” scenarios for further possible losses in the fall
   a. “Moderate losses scenario”
      i. Graduate net tuition reduction in fall 35%
      ii. Undergraduate net tuition reduction in fall 20%
      iii. Auxiliary income losses (one person per room dorms)
      iv. Reduction of fundraising that is directly used in the budget $50 million (not from endowment)
      v. Total amount of anticipated loss in 2020-21 under the moderate scenario is $350 million
      vi. Mitigation actions
          1. Discretionary OTPS (Other Than Personnel Services) Freeze
          2. Full Administrative Hiring Pause
          3. Targeted Academic Hiring Pause
          4. Freeze on Temporary Hiring and Overtime
          5. All done earlier plus zero AMI
   b. “Severe losses scenario”
      i. Graduate net tuition reduction in fall 50%
      ii. Undergraduate net tuition reduction in fall 20%
      iii. Auxiliary income losses (one person per room dorms)
iv. Reduction of fundraising that is directly used in the budget $70 million (not from endowment)

v. Total amount of anticipated loss under severe scenario $500 million

vi. Mitigation actions
   1. All done in moderate scenario
   2. Plus
      a. possible furloughs/layoffs
      b. possible 403(b) NYU contribution reduction or suspension
         i. Present contribution of NYU to 403(b) is $80 million per year
      c. (Keep in mind that NYU contributes 10% of faculty salary in the 403(b) account, so suspension is equivalent to a 10% pay cut)

6. Decision point(s)
   a. Information on student fall enrollments will be on August 4, but somehow students have until end of August to pay

7. What about stopping investments during this time of crisis?
   a. Administration said that they have stopped all cash flow from this and next year’s budget to investment projects
   b. However, four large projects (181 Mercer, 370 Jay, 440 Lafayette, Cogeneration plant) have money derived from bond issuance that cannot be used for any other purpose (their money cannot be moved to the University’s general budget) and will continue with a spending of $400-500 million
   c. I have specifically asked both the officials at SFAC but also the President himself to try to find a way to renegotiate this bond requirement, given the emergency of the coronavirus. The President asked Terry Nolan, NYU’s General Counsel and Secretary to look into that.

8. Other discussion
   a. CFSC and TFSC brought up the issue of “administrative bloat,” that is, too much spent on administration
      i. We asked the top financial administration of NYU to act decisively to reduce spending in “surgical cuts” in administration rather than doing across the board cuts. At the EC of the Senate meeting President agreed and adopted the “surgical cuts” terminology
   b. Salary cuts
      i. We did not discuss these:
         1. but a salary cut of tenured faculty would be legally difficult if not impossible unless the University declares bankruptcy and NYU is very far away from such dire financial condition
         2. Salary cuts of continuing faculty will be easier but there still may be legal issues
         3. Salary cuts of tenure track faculty also has fewer legal obstacles, but is clearly undesirable
   c. Potential for the NYU Hospital that is very profitable to help the Wash Sq. campus like this campus helped the Hospital in early Sexton years with a substantial transfer of money, but I think this is unlikely
T-FSC stresses that research has distinguished NYU and allowed it to be more mildly financially hurt by the present crisis than other lower-ranked Universities. If we had this crisis 25 years ago, NYU would have fared much worse. Despite tremendous uncertainty and fear, faculty have taken extra responsibilities, and teaching remotely is proceeding smoothly. On financial issues, it is important to take financial measures (cuts) that are proportional to financial losses, not over-react, and not harm the university in the long run.

We need to prioritize research and teaching, suspend all construction projects that have not started and pause others, and aggressively cut expenses not on research and teaching through surgical cuts. NYU needs to get out of this crisis with our research faculty and our reputation as a research university intact. This means that we need to protect our faculty, protect research and teaching, radically cut investment/capital expenditures, cut inefficiencies and cut activities that are not central to research and teaching.
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