



**Date:** March 3, 2022

**Memorandum to:** Katherine Fleming, Provost

**From:** Darcey Merritt  
Chairperson, T-Faculty Senators Council  
A/Y 2021-2022

**Subject:** T-Faculty Senators Council Review: Revisions to the Long Island School of Medicine Promotion and Tenure Guidelines

The T-Faculty Senators Council submits the attached recommendations regarding the Revisions to the Long Island School of Medicine Promotion and Tenure Guidelines. These recommendations were approved by the Council at the March 3, 2022 meeting.

**cc:** Steven Shelov, Founding Dean, Long Island School of Medicine  
Bruce Polsky, Associate Dean for Faculty  
Kristen Day, Vice Provost  
Peter Gonzalez, Associate Provost for Academic Appointments

David Irving, T-FSC Vice Chairperson  
Marilyn Nonken, T-FSC Secretary

Nicola Partridge, T-FSC Personnel Policies & Tenure Modifications Committee Co-Chair  
Judith Zelikoff, T-FSC Personnel Policies & Tenure Modifications Committee Co-Chair

**Date:** 2/24/2022

**Re:** New York University Long Island School of Medicine (NYULISOM) *Guidelines for Promotion on the Tenure Track or Tenure*

The PPTM Committee, Co-Chaired by Drs. Zelikoff and Partridge, have thoroughly reviewed the submitted NYU Long Island School of Medicine *Guidelines for Promotion on the Tenure Track or Tenure*. The PPTM Committee met several times by Zoom to review and discuss (at length) the *Guidelines* document. As a Committee, we unanimously agreed on the edits and comments being presented to the T-FSC. Please find our added, deleted or questioned text highlighted in **yellow** and our rationale for such changes in *italics* in each section.

## **2. TENURE STANDARDS:**

a. “As described in the NYU Long Island School of Medicine Policy and Procedures for Appointment, Promotion, and Tenure, there are two tracks for tenure, **Assistant Professor; Assistant Curator,** at the school.” *The two tracks should be specified.*

b. “Thus, in order to have a reasonable prospect of gaining tenure at NYULISOM, a candidate must have a record of outstanding achievement and recognition in scholarly work.” *The abbreviation NYULISOM should be used consistently throughout.*

c. “It is neither desirable nor possible to define an abstract and universal standard of measurement. Each case must be examined **as a whole and** in detail by making explicit comparisons, by delineating special strengths, and by acknowledging limits or weaknesses.” *We suggest adding the phrase ‘as a whole,’ as many components go into making such decisions on strengths and weaknesses.*

## **3. GUIDELINES AND PROCEDURES**

a. “During the initial period of its operation, NYULISOM will not have a sufficient number of tenured standing faculty to undertake the review procedures without the participation of qualified tenured faculty from NYU Grossman School of Medicine (“NYUGSOM”).” *This is a distinct difference from the Policy document, which will need to be updated.*

### **Annual Review**

a. “If at any time during the tenure probationary period the prospect of being recommended for tenure is considered unlikely as noted by the annual review(s), the Department Chair will ask the Faculty Review Committee to make a recommendation for non-reappointment on the tenure track.” *We suggest this needs a timeline appropriate to the situation.*

b. “The Department Chair will forward to the Dean, the Faculty Review Committee recommendation along with his or her own recommendation. The Dean will approve or disapprove the recommendation.” *If appropriate, further information regarding the rationale for the decision should be provided.*

c. “If the decision is to not reappoint a tenure eligible faculty member the Department chair will meet with the faculty member and notify them in writing, with the appropriate required notice of non-reappointment” **not later than March 1 of the first year of academic service, if the appointment is to be terminated on August 31; not later than Dec. 15 of the second year of academic service, if the appointment is to be terminated on Aug. 31. In all other cases, not later**

than August 31, if the appointment is to be terminated on the following Aug. 31, or not later than 1 year before the termination of the appointment. "A copy of the letter will be shared with the Dean or the Dean's designee." *We suggest adding specific timelines that are closely aligned with the Faculty Handbook.*

#### Third- and Sixth- Year Reviews

a. "The Chair of the Department and the Faculty Review Committee will complete a formal review of tenure prospects in the third and sixth year of service for all assistant professors, assistant curators and associate professors in tenure tracks." *Since the Library is on a 6-yr time clock, Curators will only have a 3-year review as they will be considered for tenure in the sixth year. We modified the language of this paragraph since Library Curators only have a 3-year review as they come up in 6-years for tenure consideration.*

#### Secondary Appointments

a. "A recommendation from both Department Chairs must then be submitted to the Dean as part of the process outlined in these Guidelines." *We raise the question as to whether the same process should be followed for a faculty member with a secondary appointment at another NYU school, since many of the LISOM faculty have appointments at other schools.*

"Should the secondary Department at LISOM disagree with the primary LISOM Department's recommendation for promotion or tenure, the process can continue; however, the faculty member will no longer continue to maintain his or her secondary appointment in the secondary department at LISOM" *until the conflict between departments is resolved and a final decision is made. We suggest adding this phrase so as to assure the faculty member that if a favorable agreement can be reached between both primary and secondary departments, he/she would have the opportunity to return as a member of his/her secondary department.*

#### The Faculty Review Committee

a. "The Faculty Review Committee" *is an inconsistency with the Policy document, which mentions a DAPC.*

b. "The Faculty Review Committee will be comprised of three tenured NYUGSOM faculty members at the rank of Professor appointed by the NYULISOM Dean in conjunction with the NYU Langone Health Chief Academic Officer (the "CAO") for renewable three-year terms; provided that to the extent there are tenured professors of the NYULISOM faculty, such one or more faculty will serve on the Faculty Review Committee in lieu of faculty from NYUGSOM" *or elected when significant number of LISOM tenured faculty are available. We suggest including an option of election when LISOM tenured faculty are available, to be more closely aligned with the Faculty Handbook which states that "members of the departmental faculty of appropriate rank can be appointed or elected"...for renewable three year terms.*

c. "The Faculty Review Committee should not include scholars with whom the candidate has been closely associated. For example, (based on NIH guidelines), within the preceding 3 years, the reviewer has not collaborated with, co-authored a publication with, served on a grant in a major professional role, and/or mentored or trained the faculty member under consideration for promotion or tenure." *We suggest including a specific timeframe (i.e., 3-years) adapted from NIH Guidelines for Conflict of Interest. We also suggest that the phrase, "closely-associated" be explained in greater detail which could be adapted from the NIH Guidelines for Conflict of Interest document.*

#### Preparation of the Initial Docket

a. "As evidence of outstanding achievement, the initial docket must include:..... "Copy of the written report to the candidate from the Third Year Review and from the Sixth Year

Review (or reviews at an adjusted timetable as set forth herein), with the exception of the Library Curator who will have only a 3-year review due to their 6-year timeframe for promotion.” We recommend adding the highlighted phrase based on the Library Curator’s 6-year timeframe for promotion.

### **Discussion of Items in the Docket**

#### Third and Sixth Year Review

a. “All tenure dockets, except for lateral hires, must include a copy of the written report to the candidate from the Third-Year Review and the Sixth-Year Review (or, in the case of faculty members whose probationary timetable is shortened due to qualifying previous service, the reviews completed on the adjusted timetable)” with the exception of the Library Curator who will submit only a Third-Year Review. This phrase was added for consistency throughout the document and for highlighting the Library Curators 6-year timeframe for promotion.

#### External Evaluators

a. “ Referees should not be current collaborators or co-investigators or those with whom the candidate is closely associated. Letters from co-workers and former students are discouraged. For example, over the past 3-years the reviewer has not collaborated with, co-authored a publication with, served on a grant in a major professional role and/or mentored or trained the faculty member under consideration for promotion or tenure. Moreover, any person that could raise questions regarding the impartiality of the reviewer should not be considered.” We suggest a specific timeline for consideration of conflict based on NIH Guidelines for Conflicts and more details describing ‘close’ be added.

*Criteria for Selecting Outside Evaluators:* “At least one of the evaluators must be a scholar identified with broader sectors of the discipline in question. The list of evaluators need not be restricted to those at United States institutions; where appropriate, evaluators must be solicited from abroad.” We suggest this phrase be eliminated as excessive or the word ‘must’ should be replaced with ‘can’.

*Solicitation of Letters from Outside Evaluators:* “All evaluators must be provided with the same NYULISOM C.V., personal statement, and copies or descriptions of the candidate’s work.” It is not clear if this includes the funding history and any work of the candidate in the supplementary materials.

### **DEAN’S REVIEW: STAGE II**

#### **The Faculty Promotion and Tenure Review Committee**

a. “The Faculty Promotion and Tenure Review Committee shall consist of at least five full tenured professors from the NYUGSOM Appointments, Promotions and Tenure committee appointed by the NYULISOM Dean in conjunction with the CAO appointed for three-year terms that are renewable; provided that to the extent there are tenured professors of the NYULISOM faculty, such one or more faculty will serve on the Faculty Promotion and Tenure Review Committee in lieu of faculty from NYUGSOM.” We raise the question as to whether these five are separate from the three on the Ad Hoc committee?

#### Decision of the Dean

a. “The Dean will review the submitted materials and propose a recommendation to the Provost, and also inform the Department Chair of his/her recommendation. In the case that the Dean’s recommendation is contrary to that of the Faculty Promotion and Tenure Review Committee, the Dean will also provide the Faculty Promotion and Tenure Review Committee and the Department Chair with the reasons” within 10 business days. We suggest a time period of 10 business days, based on the description in the Faculty Handbook.

b. "The Dean will ordinarily make the Dean's recommendation to the Provost" **within 15 business days** "in a timely manner". *We suggest that a more prescribed amount of time be included to ensure efficiency of the process.*

### **PROVOSTIAL REVIEW: STAGE III**

a. "The Provost shall evaluate each tenure and promotion docket and recommendation submitted by the Dean. In doing so, the Provost may solicit additional information and/or letters of evaluation and may appoint an ad hoc committee composed of **appropriate** tenured faculty to seek further counsel." *We consider that the word appropriate be inserted to emphasize that the most suitable tenured faculty for each candidate be selected.*

### **ADDITIONAL PROVISIONS**

#### **Tenured External Appointments (Lateral Hires)**

- a. "Dockets to be submitted to the Provost minimally must include the following:
- o The candidate's most current CV
  - o Seven external evaluations from qualified individuals not associated with the candidate with a list stating the credentials of these individuals
  - o A **report** of the Faculty Review Committee which includes the qualifications for justifying a tenured position and a written report of the review of the candidate
  - o A **recommendation** of the Faculty Promotion and Tenure Review Committee". *The words recommendation and report were reversed and we consider that the recommendation should come from the Faculty Promotion and Tenure Review Committee.*

#### **Acceleration of Schedule**

a. "Proposals for early promotion to associate professor/**associate curator** and for tenure must be considered extraordinary actions." *These words should be added for complete accuracy.*

#### **Additional or Alternative Procedures for Promotion to Full Professor/**Full Curator****

a. The words "Full Curator" should be added here and twice more in the two following paragraphs.

#### **Appendix: Sample Letter for Soliciting External Evaluations for Mandatory Tenure and Promotion Review**

- a. *The due date should be left open, XXX.*
- b. "Tenured faculty at the NYU Long Island School of Medicine are expected to have achieved both national and international recognition and to be among the top scholars of similar rank in their fields. To help facilitate the review process, please provide us with feedback by answering the questions below."

"3. On a scale of one to five, with five being the highest, please rate the candidate's ability to be collaborative and get along with colleagues and provide an explanation. (5 = highest and 1 = lowest)." *This criterion is not included in the list of criteria in the document for tenure and does not appear to align with the "qualities" or criteria outlined in the Faculty Handbook. We suggest the question should be removed due to potential bias.*

**NEW YORK UNIVERSITY LONG ISLAND SCHOOL OF MEDICINE  
GUIDELINES FOR PROMOTION ON THE TENURE TRACK OR TENURE**

**1. INTRODUCTION**

The New York University Long Island School of Medicine Promotion and Tenure Guidelines (the "Guidelines") set forth the core principles and procedures for tenure and promotion of tenured and tenure-track faculty at NYU Long Island School of Medicine ("NYULISOM"). They are designed to support high academic standards in awarding tenure and promotion and to insure a comprehensive, rigorous, and fair review of the candidates. These Guidelines are in accordance with the promotion and tenure guidelines established by New York University (the "University"). Nothing in these Guidelines should be deemed to alter the text of the University policy statements on academic tenure, which may be found in the Faculty Handbook; in case of conflict with these Guidelines, the text of the Faculty Handbook will take precedence.<sup>1</sup>

**2. TENURE STANDARDS**

All candidates for tenure should demonstrate a record of outstanding achievement and recognition in scholarly research or other scholarship, with strong reputations for scholarly excellence, the commitment and capacity to stay at the forefront of their fields and demonstration of a potential impact on policy and practice in their field. Independent evidence of scholarly achievements must include publication of major peer-reviewed papers. Books and/or chapters that integrate, synthesize, summarize, and extend the existing literature are also considered evidence of scholarly productivity. Certain other types of activities are generally recognized as demonstrative of an individual's stature in research or scholarship. Many of these activities are manifestations of peer recognition and may include: invitations to lecture on the national and international level; invitations to contribute to major scientific meetings and publications; membership on editorial boards of prominent journals; membership on scientific and professional advisory committees at national and/or international levels; membership on research peer review committees; the receipt of honors for scientific or scholarly achievements; election or selection to membership and/or leadership positions in professional organizations; funding from national peer-reviewed funding agencies (such as the National Institutes of Health, the National Science Foundation and similar agencies in the government and the private sectors); and the attraction and training of productive graduate students and postdoctoral fellows. These faculty members will expend major efforts in scholarly activity, including teaching and investigator-initiated research. They should also have evidence of distinguished records as teachers or mentors of students.

As described in the NYU Long Island School of Medicine Policy and Procedures for Appointment, Promotion, and Tenure, there are **two tracks for tenure** at the school. Promotion on either of the tenure tracks requires evidence of: (1) excellence in research, scholarship, or creative expression in one's discipline of sufficiently high quality to gain favorable recognition within the discipline

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<sup>1</sup> See Academic Freedom and Tenure at <http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/policies-applicable-to-tenured-and-tenure-track-faculty/academic-freedom-and-tenure.html>.

at the national level; (2) a high level of effectiveness in teaching, and (3) significant contributions in the area of service to the school.

Thus, in order to have a reasonable prospect of gaining tenure at **NYU Long Island School of Medicine NYULISOM**, a candidate must have a record of outstanding achievement and recognition in scholarly work. Candidates are expected to publish their work in peer-reviewed journals, obtain extramural funding for their research from national granting agencies, and ultimately achieve national or international peer recognition in their fields. In the absence of such a record, tenure will not be granted.

The successful implementation of the Guidelines to achieve and maintain high academic standards depends on the leadership of the NYULISOM Dean (the "Dean") and the University Provost and the President, working in conjunction with the tenured faculty. The process of evaluating a candidate for tenure is an inquiry: Is the candidate for tenure among the strongest in the candidate's field, in comparison with other individuals in the same field at similar points in their careers, taking into consideration the goals of the department and the school.

It is neither desirable nor possible to define an abstract and universal standard of measurement. Each case must be examined **as a whole and** in detail by making explicit comparisons, by delineating special strengths, and by acknowledging limits or weaknesses. Context may be a criterion in judging the strength of a particular candidate. All these factors must be carefully discussed and weighed in reaching a recommendation on tenure.

### **3. GUIDELINES AND PROCEDURES**

During the initial period of its operation, NYULISOM will not have a sufficient number of tenured standing faculty to undertake the review procedures without the participation of qualified tenured faculty from **NYU Grossman School of Medicine ("NYUGSOM")**. In its initial years, NYULISOM will therefore require procedures for promotion and tenure that are transitional to permanent procedures, and those procedures are reflected in these Guidelines. At such time as NYULISOM gains a membership of at least eight tenured faculty members, NYULISOM will undertake a process to adopt revised promotion and tenure guidelines; until such time as new guidelines are adopted, these Guidelines will apply.

The Dean makes recommendations to the Provost regarding tenure. The recommendation of the Dean must be informed by the Faculty Review Committee, the Faculty Tenure and Promotion Committee, the Ad-Hoc Tenure Committee (in cases of tenure decisions), and experts in the candidate's field.

The process of promotion and tenure is managed through the Office of Faculty Records.

All tenure dossiers must be submitted to the Provost office no later than June 1.

#### **Faculty Responsibilities**

It is essential that tenured faculty members who participate in the promotion and tenure process uphold high standards of responsibility and ethical behavior. Responsibility includes the obligation to give careful attention to the materials of a tenure case. Ethical behavior includes a

clear obligation to maintain the confidentiality of the proceedings both during and following the review, since confidentiality makes honest and open discussion possible.

## Reviews

### *Annual Review*

During their probationary period, the Department Chair or her/his designee will inform faculty members annually of their prospects of being recommended by the department for promotion or the granting of tenure. This is accomplished through annual mentoring meetings between the faculty member and their mentoring committee. A final mentoring letter signed by the committee, faculty member, and chair or his/her designee will be shared with the Office of Faculty Records. If at any time during the tenure probationary period the prospect of being recommended for tenure is considered unlikely as noted by the annual review(s), the Department Chair will ask the **Faculty Review Committee to make a recommendation for non-reappointment on the tenure track**. The Department Chair will forward to the Dean, the Faculty Review Committee recommendation along with his or her own recommendation. **The Dean will approve or disapprove the recommendation**. If the decision is to not reappoint a tenure eligible faculty member the Department chair will meet with the faculty member and notify them in writing, with the **appropriate required notice of non-reappointment**. A copy of the letter will be shared with the Dean or the Dean's designee. This notification will include the names of the members of the Faculty Review Committee who reviewed the candidate's credentials.

### *Third- and Sixth- Year Reviews*

The Chair of the Department and the Faculty Review Committee will complete a formal review of tenure prospects in the third and sixth year of service for all assistant professors, **assistant curators**, and associate professors in tenure tracks. **Since the Library is on a 6-yr time clock, Curators will only have a 3-year review as they will be considered for tenure in the sixth year**. For those faculty members whose probationary timetable is shortened due to qualifying previous service, the review timetable may be adjusted appropriately. At the direction of the Dean, the Office of Faculty Records will notify the department administrator, the Faculty Review Committee, and Department Chair when these reviews are due.

### *Secondary Appointments<sup>2</sup>*

Tenure review and third and sixth year review for faculty with appointments involving more than one department of the NYULISOM shall ensure the input of both departments. One department will be deemed the primary department for purposes of the review. Tenure review and third and sixth year review for faculty with cross appointments involving NYULISOM and another NYU school shall ensure the input of both schools. One school will be deemed the primary school for purposes of the review.

All evaluations of individuals with NYULISOM secondary appointments, whether part of a third or sixth year review or preparatory to a recommendation for promotion or tenure, must

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<sup>2</sup> A summary of Cross Appointments can be found at <https://docs.google.com/presentation/d/1BQEygxfMTe2KC8ZZtOBv-N3tnfBiJGQeD9iWmo4VuI0/edit#slide=id>.

include a discussion by the secondary department's Faculty Review Committee, which will also convene to consider the candidate's promotion and/or tenure. The secondary department's Faculty Review Committee must vote on the candidate, and the secondary Department Chair must discuss the Faculty Review Committee's findings and recommendation with the Chair of the primary Department. A recommendation from both Department Chairs must then be submitted to the Dean as part of the process outlined in these Guidelines. Should the secondary Department at NYULISOM disagree with the primary NYULISOM Department's recommendation for promotion or tenure, the process can continue; however, the faculty member will no longer continue to maintain his or her secondary appointment in the secondary department at NYULISOM until the conflict between departments is resolved and a final decision is made.

### **The Faculty Review Committee**

The Faculty Review Committee carries out the initial review of the candidate and will advise the Department Chair regarding the credentials of faculty members in the department who are candidates for appointment, promotion, and/or the granting of tenure. The Faculty Review Committee will be comprised of three tenured NYUGSOM faculty members at the rank of Professor appointed by the NYULISOM Dean in conjunction with the NYU Langone Health Chief Academic Officer (the "CAO") for renewable three-year terms; provided that to the extent there are tenured professors of the NYULISOM faculty, such one or more faculty will serve on the Faculty Review Committee in lieu of faculty from NYUGSOM or elected when significant number of LISOM tenured faculty are available.

The Dean will select one of the members to serve as chair of the Faculty Review Committee.

The Faculty Review Committee will review, at a minimum, a curriculum vitae in a format approved by NYULISOM (the "NYULISOM CV"), as well as mentoring letters. The NYULISOM CV shall include a candidate's record of grant funding, publications and discoveries, teaching duties and performance, service record, mentoring and advising history and success, and potential contributions toward the work of the department, NYULISOM, and NYU Langone Health. The Faculty Review Committee will assess the contributions of research, teaching performance, and service. The Faculty Review Committee should not include scholars with whom the candidate has been closely associated. For example (based on NIH guidelines), within the preceding 3 years, the reviewer has not collaborated with, co-authored a publication with, served on a grant in a major professional role, and/or mentored or trained the faculty member under consideration for promotion or tenure.

After the evaluation by the Faculty Review Committee, the Faculty Review Committee will vote on whether or not to recommend the candidate for tenure and will provide their written recommendation to the Department Chair. The recommendation should lay out, in substantive terms, the basis for the positive and negative votes.

The Faculty Review Committee will strive to provide a fair evaluation, as reflected in the Faculty Review Committee recommendation, including assessment of the strengths and weaknesses of the candidate; it is not an advocacy document. The recommendation must indicate, with reasons, the basis for the recommendation. If there is a reasonable doubt about the excellence of the

candidate, the Faculty Review Committee should share that information in its report and consider withholding a favorable recommendation. The recommendation should lay out, in substantive terms, the basis for the positive and negative votes. All members of the Faculty Review Committee must be listed with the summary of votes recorded.

## Preparation of the Initial Docket

Following the recommendation of the Faculty Review Committee an initial docket must be prepared within the department (and will continue to be supplemented) for review by the Department Chair, and for subsequent forwarding to the Ad-Hoc Tenure Committee (if up for tenure), the Faculty Tenure and Promotion Committee, the Dean, and the Provost.

As evidence of outstanding achievement, the initial docket must include:

- Current curriculum vitae
- Candidate's personal statement
- Funding history template
- Copies of the candidate's scholarly work (5-7 PDFs of recent representative papers, preprints or articles in press)
- Copy of the written report to the candidate from the **Third Year Review and from the Sixth Year Review** (or reviews at an adjusted timetable as set forth herein) **with the exception of a Library Curator who will have only a 3-year review due to their 6-year timeframe for promotion.**
- Recommendation of the Faculty Review Committee
- Recommendation of the Department Chair
- Names of external evaluators provided by the candidate and Department Chair
- Supplementary materials

Discussion of Items in the Docket

## Candidate's Personal Statement

The candidate's personal statement must narrate the trajectory of the candidate's career in a 1-2 page statement that describes major academic/scientific achievements and projected research and scholarly endeavors.

## Third and Sixth Year Review

All tenure dockets, except for lateral hires, must include a copy of the written report to the candidate from **the Third-Year Review and the Sixth-Year Review** (or, in the case of faculty members whose probationary timetable is shortened due to qualifying previous service, the reviews completed on the adjusted timetable) **with the exception of Library Curators who will submit only a Third-Year Review.**

## External Evaluators

All tenure and promotion dockets must include a list of external evaluators, including those who declined. All departmental communications with potential evaluators must be documented and included in the docket.

The Department Chair will suggest to the Dean or the Dean's designee nine nationally and internationally known scientists or colleagues in the candidate's field who are external to NYU from whom recommendation letters can be solicited by the Dean, and the candidate will suggest

three nationally and internationally known scientists or colleagues in the field external to NYU from whom recommendation letters can be solicited by the Dean. The evaluation process can proceed after a minimum of seven letters are received, five of which must be from the Department Chair's recommendation. External evaluators, or referees, should be leaders in their field and familiar with the candidate's research, scholarly work, and reputation. Referees should not be current collaborators or co-investigators or those with whom the candidate is closely associated. Letters from co-workers and former students are discouraged. For example, over the past 3-years the reviewer has not collaborated with, co-authored a publication with, served on a grant in a major professional role, and/or mentored or trained the faculty member under consideration for promotion or tenure. Moreover, any person that could raise questions regarding the impartiality of the reviewer should not be considered.

Referees who hold university positions should hold a title of the same or higher rank as the proposed title of the candidate. If an opinion is inadvertently solicited from someone who later turns out to be close to the candidate, this must be noted in the departmental record.

*Criteria for Selecting Outside Evaluators:* Evaluators selected normally will hold a tenured position in an institution of recognized distinction as a research university, a position of equivalent rank in an academic unit that does not grant tenure, or a position of equivalent rank in a non-academic institution (e.g., laboratory or research institute). Evaluators must be recognized leaders in the candidate's discipline. Evaluators must be representative of their subject, broadly defined, and not be drawn exclusively from narrow specializations. At least one of the evaluators must be a scholar identified with broader sectors of the discipline in question. The list of evaluators need not be restricted to those at United States institutions; where appropriate, evaluators must be solicited from abroad.

The suitability of the evaluators with respect to rank, appropriateness or fit with the candidate's field, level of expertise and leadership in field, and absence of conflict of interest will be a consideration in review by the Chair of the Faculty Tenure and Promotion Committee, the Ad-Hoc Tenure Committee chair (if up for tenure), the Dean, and the Provost.

*Solicitation of Letters from Outside Evaluators:* The letter of solicitation, which comes from the Dean or the Dean's designee, must follow the prototype attached as an Appendix. The letter must explicitly request comparative rankings with the candidate's peers, and they must not in any way imply that a positive or negative response from the evaluator is desired.

All evaluators must be provided with the same NYULISOM C.V., personal statement, and copies or descriptions of the candidate's work.

*Confidentiality of Evaluations:* It is NYULISOM's policy to treat as confidential all evaluations of faculty, making only such limited exceptions as are necessary to permit informed review of promotion and tenure decisions by the appropriate decision makers and review panels.

The confidentiality of letters from outside evaluators must be preserved; only those members of the Ad-Hoc Tenure Committee (if up for tenure), the Faculty Tenure and Promotion Review Committee, the relevant Department Chair, Dean, Chief Academic Officer, and the University's Provost Office will be allowed access to the letters. Neither the names of writers nor the content of the letters may be communicated to the candidate or anyone else beyond those eligible, not even in summary form. In all communications with them, writers of letters must be assured that their letters will be held in such confidence, except as required by law, and that they will be seen only

by those noted above.

## **Supplementary Materials**

Dockets can include supplementary information about the candidate's work that may not be evident from the rest of the record.

## **Recommendation of Department Chair**

The recommendation of the Faculty Review Committee is advisory to the Department Chair. The Department Chair must forward to the Dean the Faculty Review Committee recommendation and numerical vote of the Faculty Review Committee, together with the names of the Faculty Review Committee members, the initial docket, and the Department Chair's own evaluation and recommendation, which must include a description of the candidate's role in the department, potential for growth, and extramural funding.

## **Effective Departmental Reviews**

Properly prepared, detailed, and well-documented dockets are the most effective instrument for conveying the essence of the department's evaluation of the candidate. Indeed, it is the thorough and honest appraisal of the strengths and weaknesses of the candidate that is most useful to the Ad-Hoc Tenure Committee (if applicable), the Faculty Tenure and Promotion Review Committee, and to the Dean, often more so than the final vote, for it gives substantive meaning and texture to the evaluation.

After the review by the department leadership, the initial docket will be forwarded to the Office of Faculty Records to initiate the succeeding stages of the review process. The Office of Faculty Records will add to the the initial docket the Academic Excellence Commission (AEC) letters (faculty performance letters related to the "Policy on Performance Expectations for Research Faculty").

## **DEAN'S REVIEW: STAGE II**

The Dean is responsible for evaluating the docket presented by the department and making a recommendation to the Provost. For cases evaluating whether to grant tenure, the Dean will use the Ad-Hoc Tenure Committee and the Faculty Promotion and Tenure Review Committee as advisory to the Dean; in all other cases, the Dean will use the Faculty Promotion and Tenure Review Committee as an advisory committee.

## **Ad-Hoc Tenure Committee**

The Ad-Hoc Tenure Committee to review those candidates for tenure will be comprised of three tenured professors from the NYUGSOM Appointments, Promotions and Tenure Committee appointed by the NYULISOM Dean in conjunction with the Chief Academic Officer, one of whom

shall also be a member of the Faculty Promotion and Tenure Review Committee and will also serve as the Chair of the Ad-Hoc Tenure Committee; provided that to the extent there are tenured professors of the NYULISOM faculty, such one or more faculty will serve on the Ad-Hoc Tenure Committee in lieu of faculty from NYUGSOM. The Ad-Hoc Tenure Committee has the responsibility to review the docket, including the recommendations of the Faculty Review Committee and the Department Chair, in detail and to prepare a written report with a recommendation in favor or against the tenure of the candidate.

### **Materials for the Ad-Hoc Tenure Committee**

The Ad-Hoc Tenure Committee will review the candidate's initial tenure docket and referee responses (collectively, the "Full Docket").

### **Ad-Hoc Tenure Committee Review and Report**

Upon receipt of the Full Docket, the Ad-Hoc Tenure Committee will analyze the candidate's qualifications for tenure, which includes, but is not limited to, the following, as applicable: field of expertise, assessment of research contributions, teaching performance, and service. Upon completion of its review, the Ad-Hoc Tenure Committee will prepare a report signed by all members of the committee containing its recommendation either in support or against the tenure of the candidate. A copy of the report will be sent to the Dean or Dean's designee.

### **Faculty Promotion and Tenure Review Committee**

The Faculty Promotion and Tenure Review Committee will be comprised of **at least five** full tenured professors from the NYUGSOM Appointments, Promotions and Tenure committee **appointed** by the NYULISOM Dean in conjunction with the CAO, appointed for three-year terms that are renewable; provided that to the extent there are tenured professors of the NYULISOM faculty, such one or more faculty will serve on the Faculty Promotion and Tenure Review Committee in lieu of faculty from NYUGSOM. The Chair of the Faculty Promotion and Tenure Review Committee will be selected by the Dean or Dean's designee. The Dean and/or the Dean's designee will sit with the Faculty Promotion and Tenure Review Committee without vote and with voice confined to procedural issues or responses to questions by the Faculty Promotion and Tenure Review Committee. The Faculty Promotion and Tenure Review Committee shall make its recommendation with respect to the promotion and/or tenure of the candidate to the Dean.

### **Materials for the Faculty Promotion and Tenure Review Committee**

The Faculty Promotion and Tenure Review Committee shall be provided with and review the Full Docket and the Report of the Ad-Hoc Tenure Committee (with respect to tenure cases).

The Faculty Promotion and Tenure Review Committee will prepare a report containing its recommendation either in support or against the promotion and/or tenure of the candidate, including the aggregate vote of the committee (how many voted yes/no). The Full Docket, the Report of the Ad-Hoc Tenure Committee, and the Report of the Faculty Promotion and Tenure Review Committee will be provided to the Dean for review.

## Decision of the Dean

The Dean will review the submitted materials and propose a recommendation to the Provost and also will inform the Department Chair of his/her recommendation. In the case that the Dean's recommendation is contrary to that of the Faculty Promotion and Tenure Review Committee, the Dean will also provide the Faculty Promotion and Tenure Review Committee and the Department Chair **with the reasons**. In addition, the Dean's report to the Provost will include the basis for the positive and negative votes in earlier stages of the review. The Department Chair will have ten days in which to provide further information or counter-argument before the Dean's final recommendation is made to the Provost. If the Dean has a reasonable doubt about the excellence of the docket, the Dean should share that information in the Dean's report and consider withholding a favorable recommendation. Indicators of doubt may include a split vote within the Department or School Committee or a clear difference of opinion between the Department Committee and School Committee. The report should explain, in substantive terms, the basis for the positive and negative votes in earlier stages of review.

The Dean will ordinarily make the Dean's recommendation **to the Provost** in a timely manner. This constitutes the definitive recommendation of NYULISOM and will be accompanied by the Full Docket, the Report of the Ad-Hoc Tenure Committee (where applicable), and the Report of the Faculty Promotion and Tenure Review Committee.

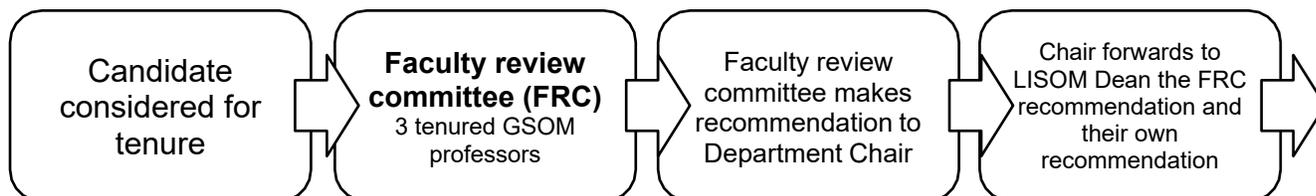
## PROVOSTIAL REVIEW: STAGE III

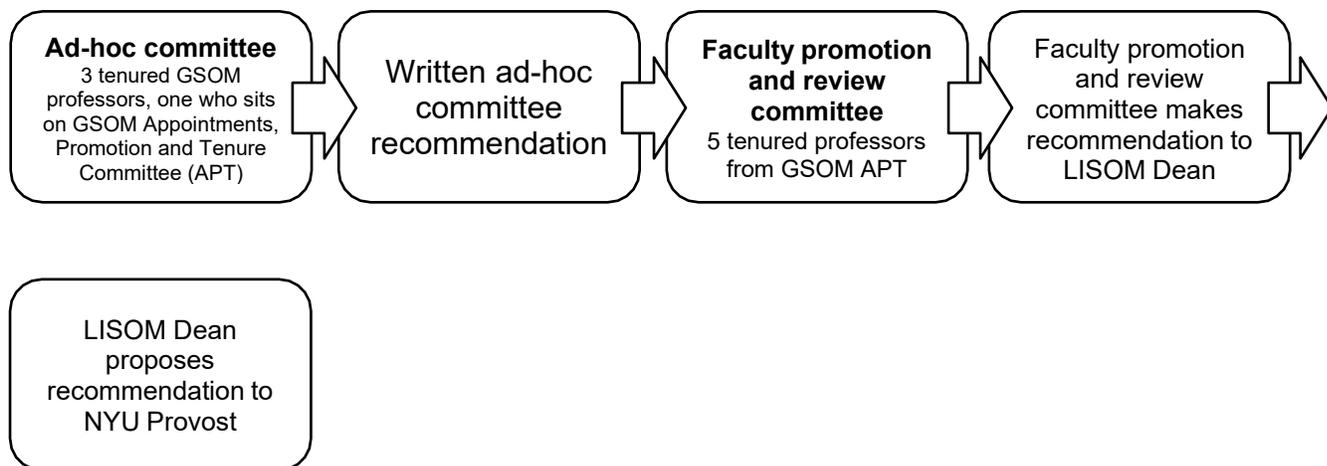
The Provost shall evaluate each tenure and promotion docket and recommendation submitted by the Dean. In doing so, the Provost may solicit additional information and/or letters of evaluation and may appoint an ad hoc committee composed of **app**ropriate tenured faculty to seek further counsel.

The Provost shall support or oppose the Dean's recommendation in the Provost's final decision. The Provost will inform the Dean of the Provost's pending decision. In those cases in which the Provost's decision will be contrary to the recommendation of the Dean, the Provost will provide the Dean with the reasons and give the Dean an opportunity to provide further information or counter-argument before the Provost's final decision. The Provost shall notify the Dean of the final decision, along with reasons thereof if the Dean's recommendation is disapproved.

Upon notification of the Provost's decision, the Dean will write to the Department Chair and to the candidate informing them of the decision.

### Flow chart for tenure process





#### 4. ADDITIONAL PROVISIONS

##### **Mandatory Review for Tenure**

A docket and recommendation must be submitted to the Dean for all faculty in their mandatory review year, whether the recommendation is positive or negative. If, however, the candidate tenders a letter of resignation on or before August 31 of the year prior to the mandatory review, effective on or before August 31 of the final probationary year, a docket and recommendation need not be submitted. The letter must state explicitly that the resignation was freely tendered without duress. In this instance, the Department Chair must forward the letter of resignation to the Dean on or before August 31 of the year prior to the mandatory review year. (For appointments that start mid-academic year, the deadline date is one year prior to the last day of the month of the year prior to the mandatory review).

Tenured external appointments require a tenure review at the department, NYULISOM, and University levels; appointments are made pending completion of the tenure review and this shall be recorded in the appointment letters.<sup>3</sup> A tenured external appointment will be subject to review only by the Faculty Review Committee and the Faculty Promotion and Tenure Review Committees (the “Review Committees”); there shall be no review by the Ad-Hoc Tenure Committee. Any exception to this practice requires the written consent of the Provost.

In the cases of lateral tenured appointments, the Faculty Review Committee and the Faculty

<sup>3</sup> See Faculty Handbook, Title I, Statement in Regard to Academic Freedom and Tenure, Section (V) (4), second paragraph: “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.” Also see Section (V) (5), third paragraph: “A candidate for his or her first appointment in the rank of 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.”

Promotion and Tenure Review Committee shall review the appointment utilizing the same standards and procedures as for internal candidates. For appointments at the rank of associate or full professor with tenure, the vote and authority for the tenure recommendation resides with the Faculty Promotion and Tenure Review Committee. The votes should be taken by closed ballot.

Dockets to be submitted to the Provost minimally must include the following:

- The candidate's most current CV
- Seven external evaluations from qualified individuals not associated with the candidate with a list stating the credentials of these individuals
- A report of the Faculty Review Committee which includes the qualifications for justifying a tenured position and a written report of the review of the candidate
- A recommendation of the Faculty Promotion and Tenure Review Committee

### **Tenure Clock Stoppage**

The tenure clock for faculty is set forth in formal University rules adopted by the Board of Trustees and may be extended in accordance with standard University policy as set forth in the Faculty Handbook.<sup>4</sup> For those candidates who have been granted an extension, NYU policy is to evaluate the productivity of the candidate as if he or she had been in probationary status for the normal duration, so that the candidate is not penalized for having received the extension.

### **Acceleration of Schedule**

Proposals for early promotion to associate professor/associate curator and for tenure must be considered extraordinary actions. Indeed, it is not normally in the best interest of a candidate to propose candidates for tenure ahead of schedule. The best reason for proposing early consideration is a record of extraordinary accomplishment that can be readily distinguished from strong cases. Even with these affirmative recommendations, the Dean will not recommend early tenure unless the case is extraordinary and compelling in relation to the already high expectations for candidates reviewed under the usual schedule.

### **Additional or Alternative Procedures for Promotion to Full Professor/Full Curator**

Promotion to full professor/full curator requires that the candidate has achieved a significant milestone or marker beyond the work considered at the point of awarding tenure. The normal expectation will be that there is significant new scholarly research achievement since the conferring of tenure. The docket must clearly indicate which work distinguishes the candidate's achievements since the last review for promotion.

For promotions to full professor/full curator, the vote resides with the full tenured professors on the Faculty Review Committee and the Faculty Promotion and Tenure Review Committee. The

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<sup>4</sup> See Faculty Handbook, Tenure Clock Stoppage for Personal Reasons, at <http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/policies-applicable-to-tenured-and-tenure-track-faculty/additional-faculty-policies-applicable-to-tenured-and-tenure-tra/tenure-clock-stoppage-for-personal-reasons.html>.

recommendation of the Faculty Review Committee must be submitted by its Chair directly to the Dean.

### **Appeal**

In the event of a negative decision, the candidate has the right to file a grievance in accordance with the provisions of the NYULISOM and University Faculty Grievance Procedures.<sup>5</sup> For so long as these Guidelines are applicable, grievances by faculty at NYULISOM pursuant to these Guidelines will be made to the NYUGSOM Grievance Committee. The NYUGSOM procedures can be found here: <https://central.nyumc.org/fac/site/faculty-council/Pages/Grievance-Committee.asp>

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<sup>5</sup> See Faculty Handbook, Faculty Grievance Procedures at <http://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/policies-applicable-to-tenured-and-tenure-track-faculty/additional-faculty-policies-applicable-to-tenured-and-tenure-tra/faculty-grievance-procedures.html>.

## Appendix: Sample Letter for Soliciting External Evaluations for Mandatory Tenure and Promotion Review

Dear xxxx,

Dear Dr. X:

Dr. XXX, who is currently an Associate Professor in the Department of X, is under consideration for tenure on the Investigator/Educator track. Tenured faculty at the NYU Long Island School of Medicine are expected to have achieved both national and international recognition and to be among the top scholars of similar rank in their fields. You were suggested as someone who could give us a frank and unbiased opinion about the impact of the candidate's work and the potential impact of their future plans.

Dr. XXX curriculum vitae, research statement, and history of funding, as well as our criteria for appointment, promotion, and tenure are attached, along with a brief form for your responses. It would be most helpful to write a few sentences with your impression of the candidate and their work for each section, in addition to marking your selected answer. After completion, please return to us by email. Of course, if you wish to send a letter detailing your impressions of the candidate, that would be welcome as well. All evaluations are strictly confidential.

We know that you have many demands on your time, but would appreciate a reply by July 10<sup>th</sup>.

We hope you will assist us in this important evaluation process, but if you feel you are unable to evaluate Dr. XXX candidacy, please let me know by phone () or email at your convenience. Your opinion will be immensely important to us, and we thank you in advance for considering this request.

Sincerely yours,

Tenured faculty at the NYU Long Island School of Medicine are expected to have achieved both national and international recognition and to be among the top scholars of similar rank in their fields. To help facilitate the review process, please provide us with feedback by answering the questions below.

**Reviewer's Name:**  
**Title:**

**Date:**  
**Institution:**

**Candidate:**

**Relationship to the Candidate:** Select one:

Please provide comments: \_\_\_\_\_

***I. Section I: General Comments***

- 1. Please provide your overall view of the candidate, including potential for future contributions to the field, as well as how he/she compares to leaders in the field who are at a similar career stage.**
- 

***II. Section II: Candidate Reputation and Contributions***

- 1. If you were to rank the candidate's stature and overall reputation in the field, would you consider him/her to be in the:**

Top 1%     Top 10%     Top 25%     Top 50%     Lower 50%     Unable to Comment

Please provide comments:

- 2. Based upon your knowledge of the candidate's work and the information provided, would he/she receive tenure at your institution?**

Yes     No     Borderline Candidate     Don't Know

Please provide comments:

- 3. On a scale of one to five, with five being the highest, please rate the candidate's ability to be collaborative and get along with colleagues and provide an explanation. (5 = highest and 1 = lowest)**

Please provide comments:

- 4. Please feel free to add any additional comments that you feel would be important to our committee in consideration of Dr. \_\_\_\_\_ application for tenure.**