



**Date:** February 25, 2016

**Memo to:** David W. McLaughlin, Provost

**From:** Allen Mincer  
Chairperson, T-Faculty Senators Council  
A/Y 2015-2016

**Subject:** Recommendations of the T-FSC in regards to: Robert F. Wagner Graduate School of Public Service Draft Promotion and Tenure Standards and Procedures

At the February 25, 2016 meeting of the T-Faculty Senators Council, the attached recommendations were approved.

**cc:** Katherine Fleming, Deputy Provost and Vice Chancellor  
Carol Morrow, Senior Associate Provost/Chief of Staff to the Provost  
Sherry L. Glied, Dean, Robert F. Wagner Graduate School of Public Service  
Anthony M. Bertelli, Vice Dean for Academic Affairs and Research  
Peter Gonzalez, Assistant Provost for Academic Appointments

Awam Amkpa, T-FSC Vice Chairperson  
Arvind Rajagopal, T-FSC Secretary  
Mitchell Kane, T-FSC Immediate Past Secretary  
Warren Jelinek, T-FSC Personnel Policies & Tenure Modifications Committee Co-Chair  
Nancy Van Devanter, T-FSC Personnel Policies & Tenure Modifications Committee Co-Chair

**Recommendations Of  
The Tenured/Tenure Track Faculty Senators Council  
In Regard To:**

**Robert F. Wagner Graduate School of Public Service  
DRAFT Promotion and Tenure Standards and Procedures**

**Background**

From the Provost's letter of July 14, 2015:

"The Dean of the Wagner Graduate School of Public Service has completed a process within the school to revise its Promotion and Tenure Standards and Procedures to improve their readability and clarify certain provisions to comply with University Bylaws. The Wagner Faculty voted on May 29 to approve this document. After an iterative review with my office and the Office of General Counsel, the draft was finalized and submitted for my approval."

**Substantive Recommendations**

1. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

2. Annual Reviews

First Paragraph

Page 2 – 3 (*Note: page numbers referred to herein are the numbers printed on the pages of the policy, which do not accurately identify the physical pages of the policy, i.e., consecutive page numbering begins at "1" on physical page two of the policy.*)

"Each year, a subcommittee will be appointed to conduct the review and make recommendations to the full Promotion and Tenure Committee. The subcommittee will include one tenured faculty member who will serve as chair on all subsequent reviews of said junior faculty member during his or her probationary period (except when on sabbatical or on leave).

Recommendation

As it is not disclosed until the middle of the following page that the Promotion and Tenure Committee appoints the subcommittee, add "by the Promotion and Tenure Committee" after "appointed" to make that fact known at this earlier stage in the policy.

2. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

2. Annual Reviews

Second Paragraph

First Sentence

Page 3

“For candidates with a seven or five year probationary period, the review in the first year is primarily intended to familiarize the candidate with the tenure review process and to help focus future reviews.”

The fact that the following sentence indicates that in subsequent years the subcommittee for review is appointed by the P&T Committee raises the question as to who or what entity appoints the review committee in the first year.

Recommendation

Indicate who or what entity appoints the first year review committee.

3. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

2. Annual Reviews

Third Paragraph

Third Sentence

Page 3

“The vote by the P&T Committee on whether the candidate should be recommended for reappointment shall be conducted by closed ballot unless the Committee agrees by unanimous consent to a voice vote.”

Recommendation

Consider specifying in a following sentence, which is already included in the first full paragraph on page 7 and the last full paragraph on page 10 of the policy in regard to a vote by the P&T Committee: “Re-voting shall not be undertaken for the sole purpose of achieving near consensus or unanimity or to avoid reporting a split vote.”

4. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

2. Annual Reviews

Third Paragraph

Fourth Sentence

Page 3

“A brief report summarizing the information gathered, assessing performance and progress toward tenure, delineating any actions recommended by the Committee to the candidate, and providing a recommendation on reappointment with a tally of the vote is forwarded to the Dean.”

Recommendation

As the candidate receives the report of the subcommittee and the Promotion and Tenure Committee is directed to include in its brief report to the Dean “... any actions recommended by the [Promotion and Tenure] Committee to the candidate ...”, describe how the “... actions recommended by the [Promotion and Tenure] Committee to the candidate ... “ will be transmitted to the candidate.

5. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

2. Annual Reviews

Third Paragraph

Fifth Sentence

Page 3-4

“The candidate shall then submit a memo to the P&T Committee and the Dean acknowledging receipt of the report, and may also respond to any issues or concerns identified in the report.”

Recommendation

- a. The indicated report is presumably the subcommittee report, as it is the only report indicated for transmittal to the candidate. For clarity add “subcommittee’s” before “report”.
- b. Consider, also for clarity and context, moving this sentence immediately after: “The candidate receives the subcommittee report to provide a sense of the faculty in regard to the candidate’s progress toward tenure.”

6. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

3. Intensive Review

Second Paragraph

Fifth Sentence

Page 4

“The vote by the P&T Committee on whether the candidate should be recommended for reappointment shall be conducted by closed ballot unless the Committee agrees by unanimous consent to a voice vote.”

Recommendation

Consider specifying in a following sentence, which is already included in the first full paragraph on page 7 and the last full paragraph on page 10 of the policy in regard to a vote by the P&T Committee: “Re-voting shall not be undertaken for the sole purpose of achieving near consensus or unanimity or to avoid reporting a split vote.”

7. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

3. Intensive Review

Second Paragraph

Sixth Sentence

Page 4

“A brief memo summarizing the information gathered, assessing performance and progress towards tenure, delineating any actions recommended by the Committee to the candidate, and providing a recommendation on reappointment with a tally of the vote is forwarded to the Dean”

Recommendation

As the candidate receives the report of the subcommittee and the Promotions and Tenure Committee is directed to include in its brief report to the Dean "... any actions recommended by the [Promotions and Tenure] Committee to the candidate ...", describe how the "... actions recommended by the Promotions and Tenure Committee to the candidate ..." will be transmitted to the candidate.

8. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

3. Intensive Review

Second Paragraph

Seventh Sentence

Page 4

"The candidate shall then submit a memo to the P&T Committee and the Dean acknowledging receipt of the report, and may also respond to any issues or concerns raised in the report."

Recommendation

- a. The indicated report is presumably the subcommittee report, as it is the only report indicated for transmittal to the candidate. For clarity add "subcommittee's" before "report".
- b. Consider, also for clarity and context, moving this sentence immediately after: "The candidate receives the subcommittee report to provide a sense of the faculty in regard to the candidate's progress toward tenure."

9. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

4. Tenure Review

Fourth Indented Paragraph

First Sentence

Page 6

"The letter of solicitation for external evaluation should come from the subcommittee chair of the Wagner School, and should follow the prototype attached Appendix A."

Recommendation

The phrase "subcommittee chair of the Wagner School" is confusing. Is this subcommittee different from the subcommittee appointed by the Promotion and Tenure Committee? If so, describe it or give a reference to it. If it is the subcommittee appointed by the Promotion and Tenure Committee, modify the sentence to read:

"The letter of solicitation for external evaluation should come from the chair of the subcommittee appointed by the Promotion and Tenure Committee, and should follow the prototype attached Appendix A"

10. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

4. Tenure Review

Sixth Indented Paragraph

Final Sentence

Page 6

“The vote by the subcommittee on any recommendation for tenure shall be by closed ballot, with a tally of the vote included in its report.

Recommendation

Consider specifying in a following sentence, which is already included in the first full paragraph on page 7 and the last full paragraph on page 10 of the policy in regard to a vote by the P&T Committee: “Re-voting shall not be undertaken for the sole purpose of achieving near consensus or unanimity or to avoid reporting a split vote.”

11. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

4. Tenure Review

Seventh Indented Paragraph

Second Sentence

Page 6

“The vote by the P&T Committee on whether tenure should be granted shall be by closed ballot unless the Committee agrees by unanimous consent to a voice vote.”

Recommendation

Consider specifying in a following sentence, which is already included in the first and the last full paragraph on page 10 paragraph on page 7 of the policy in regard to a vote by the P&T Committee: “Re-voting shall not be undertaken for the sole purpose of achieving near consensus or unanimity or to avoid reporting a split vote.”

12. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

4. Tenure Review

Eighth Indented Paragraph

Second Sentence

Page 7

“After a discussion, a vote will be taken and tallied. The vote shall be by closed ballot, and only those present in person or by means of conference telephone or similar communications are entitled to vote on tenure..”

Recommendation

Consider specifying in a following sentence, which is already included in the first full paragraph on page 7 and the last full paragraph on page 10 of the policy in regard to a

vote by the P&T Committee: “Re-voting shall not be undertaken for the sole purpose of achieving near consensus or unanimity or to avoid reporting a split vote.”

13. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

4. Tenure Review

Third Paragraph

Ninth Indented Paragraph

Third Sentence

Page 7

“The Dean will inform the full faculty entitled to vote on tenure of his/her own proposed recommendation to the Provost within 10 days of submission.”

It isn’t clear at this point in the policy, although it does become clear upon subsequent reading, whether “submission” refers to the transmittal by the Chair of the P&T Committee of the P&T Committee’s report to the Dean or the transmittal of the Deans proposed recommendation to the Provost.

Recommendation

Clarify the object of “submission” by adding “of the P&T Committee’s report” at the end of the sentence.

“The Dean will inform the full faculty entitled to vote on tenure of his/her own proposed recommendation to the Provost within 10 days of submission of the P&T Committee’s report.”

14. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR

B. Procedures for Promotion

First Paragraph

Second Indented Paragraph

Second Sentence

Page 9

“The vote by the P&T Committee on whether to seek external review shall be conducted by closed ballot

Recommendation

Consider specifying in a following sentence, which is already included in the first full paragraph on page 7 and the last full paragraph on page 10 of the policy in regard to a vote by the P&T Committee: “Re-voting shall not be undertaken for the sole purpose of achieving near consensus or unanimity or to avoid reporting a split vote.”

15. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR

B. Procedures for Promotion

First Paragraph

Second Indented Paragraph  
Third Sentence  
Page 9

“If the decision is not to proceed with external review, the Committee will notify the candidate and prepare a report documenting the rationale for its decision which will be provided to the Dean.”

Recommendation

Consider adding after this sentence a statement to the effect that the Dean or other responsible person will inform the candidate as to why it was decided not to proceed with external review and to convey to the candidate recommendations, if there are such, as to improvements that are expected for subsequent successful promotion to full professor. This might be accomplished by transmitting the Committee’s report or relevant sections of it to the candidate.

16. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR  
B. Procedures for Promotion  
First Paragraph  
Third Indented Paragraph  
First Sentence  
Page 9

“Third, if the P&T Committee (or full faculty as specified above) determines to proceed with the case and seek external review, the Committee will appoint a subcommittee to assemble the promotion review docket, review the docket material, and prepare a report with to the full P&T Committee assessing the candidate’s scholarly work/research, teaching and service, and providing a recommendation on promotion”

The parenthetical expression, “(or full faculty as specified above)”, is confusing, as there is no specification above indicating that the full faculty makes a determination regarding whether the P&T committee will proceed with its deliberations on promotion.

Recommendation

Either delete the parenthetical expression or specify the procedure by which the full faculty determines whether the P&T will proceed with the case and seek external review, etc.

17. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR  
B. Procedures for Promotion  
First Paragraph  
Seventh Indented Paragraph  
Second Sentence  
Page 10

“The vote by the P&T Committee on whether promotion should be granted shall be conducted by closed ballot unless the Committee agrees by unanimous consent to a voice

vote.”

Recommendation

Consider specifying in a following sentence, which is already included in the first full paragraph on page 7 and the last full paragraph on page 10 of the policy in regard to a vote by the P&T Committee: “Re-voting shall not be undertaken for the sole purpose of achieving near consensus or unanimity or to avoid reporting a split vote.”

18. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR

B. Procedures for Promotion

First Paragraph

Ninth Indented Paragraph

Third Sentence

Page 11

“The Dean will inform full faculty entitled to vote on promotion of his/her own proposed recommendation to the Provost within 10 days of submission.”

Recommendation

For clarity, add “of the P&T report after “submission”.

19. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR

B. Procedures for Promotion

First Paragraph

Tenth Indented Paragraph

Page 11

“In the event of a negative decision on promotion, the candidate has the right to file a grievance in accordance with the provisions of the University's Faculty Grievance Procedures specified in the NYU Faculty Handbook issued March 1, 2015 (pp. 4850).

Recommendation

Consider adding a statement to the effect that in the event of a negative decision, the Dean or other responsible person will inform the candidate as to why it was decided not to promote to full professor and to convey to the candidate recommendations, if there are such, as to improvements that are expected for subsequent successful promotion to full professor.

20. APPENDIX: SAMPLE SOLICITATION LETTERS

TENURE AND PROMOTION REVIEW

First Paragraph

“Josephine Smith, currently an Assistant Professor in the Robert F. Wagner Graduate School of Public Service, is being considered for tenure and promotion. Because of your knowledge of the field, we would very much appreciate your evaluation of her published and unpublished research.”

Recommendation

Consider requesting that the external evaluator keep confidential the candidate's unpublished research.

**Minor editorial issues**

1. Throughout the document the term "Promotion and Tenure Committee" is used, although the formal name of the Committee is the "Appointment, Promotion and Tenure Committee".

Recommendation

For consistency and to avoid confusion, either replace "Promotion and Tenure Committee" with "Appointment, Promotion and Tenure Committee", or with "P&T Committee", as defined at the top of page 1, second line.

2. I. Introduction  
Second Paragraph  
First Indented Paragraph  
Third Sentence  
Beginning Page Without A Page Number  
"To give weak advice to the Dean on the assumption that the difficult decisions will be made at a later stage subverts the principle of peer review and faculty governance and is an abdication of responsibility..."

Recommendation

Delete "." at the end of the sentence.

3. I. Introduction  
Second Paragraph  
Second Indented Paragraph  
Second Sentence

"Lack of perfection is not a bar to tenure or promotion, and "advocacy" assessments that attempt to gloss over imperfections are more likely to arouse suspicion than admiration..."

Recommendation

Delete "." at the end of the sentence

4. I. Introduction  
Second Paragraph  
Second Indented Paragraph  
Fifth Sentence

"Ethical behavior includes a clear obligation to maintain the confidentiality of the proceedings, since confidentiality makes honest and open discussion possible.

Recommendation

Replace “since” with “as” as “since” is an indication of passed time.

5. I. Introduction  
Third Paragraph  
First Sentence  
Page 1

“Pursuant to the Wagner Governance Bylaws, an Appointment, Promotion and Tenure Committee (P&T Committee) is appointed by the Dean with the advice of the Faculty Advisory Committee which is elected by the faculty.”

Recommendation

Consider adding a link to the Wagner Governance Bylaws.

6. I. Introduction  
Third Paragraph  
Second Sentence  
Page 1

“As is detailed below, in conducting promotion and tenure reviews, the P&T Committee will prepare a docket, including a report from the P&T Committee with a recommendation on promotion or tenure, which is then provided to tenured faculty of appropriate rank<sup>2</sup> who make a recommendation to the Dean.

Recommendation

In footnote 2, consider eliminating the word “cases” and re-writing as:

“That is, associate professors and full professors for promotion to associate professor and conferral of tenure, and full professors for promotion to full professor”

7. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW  
A. Standards for Tenure  
First paragraph  
Second Indented Paragraph  
Second Sentence  
Page 1

“Is the candidate for tenure among the strongest in his or her field, in comparison with other individuals in the same field at similar points in their careers, taking into consideration the goals of the department?...”

Recommendation

Delete “...” after the “?”.

8. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

1. Introduction

First Sentence

Page 2

“Nontenured tenure track faculty include all full time Wagner faculty who are appointed for a tenure track position and are eligible for tenure status as specified in Academic Freedom and Tenure Title I, Section V (NYU Faculty Handbook issued March 1, 2015, pp. 3134).”

Recommendation

The current version if the Faculty Handbook is dated September 1, 2015, Tile I, Section V is located on pp. 31-34.

9. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

1. Introduction

Second paragraph

Fifth Sentence

Page 2

“The reviews are also intended to advise the candidate on adequacy of progress towards tenure, with a goal providing early notice to the candidate if tenure appears unlikely.”

Recommendation

Add “of” before “providing”.

10. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

2. Annual Reviews

First Paragraph

Second Sentence

Page 3

“The subcommittee will include one tenured faculty member who will serve as chair on all subsequent reviews of said junior faculty member during his or her probationary period (except when on sabbatical or on leave).”

Recommendation

The parenthetical “(except when on sabbatical or on leave)” seems more aptly to apply to the chair of the subcommittee rather than to “said junior faculty member during his or her probationary period “.

If so, rearrange the sentence as:

“The subcommittee will include one tenured faculty member who will serve as chair (except when on sabbatical or on leave) on all subsequent reviews of said junior faculty member during his or her probationary period.”

11. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

2. Annual Reviews

First Paragraph

Page 3

Third First-Level Bullet Item

“Service at Wagner, at NYU, in his/her scholarly field(s) of interest, and to the public; and”

Recommendation

The “and” at the end of this item appears to signify another missing item(s). Either add the missing item(s) or delete the “and”.

12. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

4. Tenure Review

Second Paragraph

First Sentence

Page 4

“First, the candidate submits by September 15<sup>th</sup> of penultimate probationary year materials required for inclusion in the tenure docket including a CV, personal statement, all publications, course syllabi, and teaching evaluations for all NYU courses.”

Recommendation

Add “the” before “penultimate”.

13. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW

B. Procedures For Tenure Review

4. Tenure Review

Third Paragraph

Third Indented paragraph

First Sentence

Page 6

“At Wagner, external evaluators generally will hold a tenured position in an institution of recognized distinction as a research university, and will be recognized leaders in the candidate's field.”

“At Wagner” is somewhat confusing because external evaluators are not at Wagner.

Recommendation

Delete “At Wagner” and begin the sentence with “External evaluators ...”

14. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW  
B. Procedures For Tenure Review  
4. Tenure Review  
Fourth Paragraph  
Page 7

“In the event of a negative decision on tenure, the candidate has the right to file a grievance in accordance with the provisions of the University’s Faculty Grievance Procedures as specified in the NYU Faculty Handbook issued March 1, 2015 (pp 48-50).”

Recommendation

The date of the current version is of the NYU Faculty Handbook is September 1, 2015 and the relevant pages are 31-32.

15. II. STANDARDS AND PROCEDURES FOR TENURE REVIEW  
B. Procedures For Tenure Review  
4. Clock Stoppage  
First Paragraph  
Page 7

Recommendation

The date of the current version is of the NYU Faculty Handbook is September 1, 2015 and the relevant pages are 31-32.

Tenure Clock Stoppage remains on page 47-48 in the September 1, 2015 issue of the NYU Faculty Handbook

16. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR  
A. Standards for Promotion  
Second Paragraph  
Fourth Sentence  
Page 8

“Wagner recognizes the importance of public service and the potential for scholarship and research to have an influence on public policy, management, and planning, and a candidate’s contributions in these areas may also be considered.”

This sentence is awkward.

Recommendation

Consider rephrasing as:

“As Wagner recognizes that public service and the potential for scholarship and research may

have an important influence on public policy, management, and planning, a candidate's contributions in these areas may also be considered "

17. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR

A. Standards for Promotion

Second Paragraph

Fifth Sentence

Page 8

"There is an expectation that the candidate is fully engaged at Wagner to help build and strengthen Wagner's academic programs and scholarly community, including significant effort in mentoring junior faculty."

Recommendation

Consider rephrasing as:

"It is expected that the candidate is fully engaged at Wagner to help build and strengthen Wagner's academic programs and scholarly community, including significant effort in mentoring junior faculty."

18. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR

B. Procedures for Promotion

First Paragraph

First Indented paragraph

Second Sentence

Page 9

"By September 15<sup>th</sup> of that year, the candidate submits materials required for inclusion in the promotion docket including a CV, personal statement, and all publications, course syllabi and teaching evaluations since tenure."

Recommendation

Add "was conferred" after "tenure".

"By September 15<sup>th</sup> of that year, the candidate submits materials required for inclusion in the promotion docket including a CV, personal statement, and all publications, course syllabi and teaching evaluations since tenure was conferred."

19. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR

B. Procedures for Promotion

First Paragraph

First bullet item

Page 9

"Detailed description of the candidate's scholarship and research accomplishments clearly delineating scholarship and research since tenure;"

Recommendation

Add “was conferred” after “tenure”.

“Detailed description of the candidate’s scholarship and research accomplishments clearly delineating scholarship and research since tenure was conferred;”

20. III. STANDARDS AND PROCEDURES FOR PROMOTION TO FULL PROFESSOR

B. Procedures for Promotion

Third Paragraph

First Sentence

Page 9

“Third, if the P&T Committee (or full faculty as specified above) determines to proceed with the case and seek external review, the Committee will appoint a subcommittee to assemble the promotion review docket, review the docket material, and prepare a report with to the full P&T Committee assessing the candidate’s scholarly work/research, teaching and service, and providing a recommendation on promotion.”

Recommendation

Delete “with” in the phrase “... prepare a report with to the full P&T Committee ...”