

FACULTY HANDBOOK

NEW YORK UNIVERSITY

A Private University in the Public Service

PUBLISHED BY NEW YORK UNIVERSITY

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Approved by the New York University Board of Trustees, October 12, 2023.

Reissued in November 2023 to update the text, including comprehensive updates to wording throughout the Handbook for added clarity. Significant changes include updates to leaves of absence, disciplinary procedures and regulations for Tenure/Tenure Track faculty, and faculty grievance procedures for Continuing Contract faculty. The history of previous editions of the Faculty Handbook can be found in the Faculty Handbook Archives.

In accordance with the *Foreword, Procedures for Amending the Faculty Handbook*, and the *Principles of Joint Shared Governance*, described under *Organization and Administration*, this edition of the Faculty Handbook was reviewed by the Tenured/Tenure Track Faculty Senators Council and the Full-Time Continuing Contract Faculty Senators Council, each of which provided input.

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Introduction

ETHICAL COMMITMENT

New York University has a strong institutional commitment to lawful and ethical behavior, and a fine reputation, which its faculty members have earned over the years. This is one of the University's most valuable assets. In an increasingly complex world, the University can maintain its leadership in education and research only if it continues to merit the trust of its entire constituency.

All New York University faculty are expected to carry out their institutional responsibilities in accordance with applicable legal and ethical principles, including those principles found in the [NYU Code of Ethical Conduct](#) and in this Handbook. If any questions arise about how the University's principles, standards, or policies apply, they should be brought to the attention of the appropriate dean or University administrator.

FOREWORD

(Approved by the University Board of Trustees on March 14, 2014, February 19, 2015, and October 12, 2023)

Purpose of Handbook

The Faculty Handbook is a guide to the Faculty and is designed to present general information about New York University, and some of the more important University policies and practices as they apply to the Faculty of the University. It also is meant to inform and serve other members of the University Community. The Handbook is maintained by the Office of the Provost. It has been compiled from a number of sources. Significant portions of the Handbook have been adopted by, or reflect actions of, the University's Board of Trustees, including, among others: the excerpted portions of the University's Charter and Bylaws; matters involving the Faculty organization, academic freedom, tenure, appointment of Faculty, and grievance procedures; the establishment of University Councils and Committees; and key policies, including the NYU Code of Ethical Conduct, Policy on Academic Conflict of Interest and Conflict of Commitment, and Statement of Policy on Intellectual Property. Portions of the Handbook provide an overview of the University and its administrative offices, libraries, and student affairs. The Handbook also provides hyperlinks to Selected University Policies, which represent a broad array of policies, including policies that principally affect Faculty and policies that may be of interest to Faculty but that apply broadly throughout the University Community.

The policies outlined in the Faculty Handbook as in effect from time to time form part of the essential employment understandings between a member of the Faculty and the University. Policies beyond those referenced in the Handbook are available [here](#). In addition, schools and units have their own internal rules, procedures, and policies, such as school statements on Faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement—but do not supersede or replace—policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President.

Amending the Faculty Handbook

Whenever the University Senate, a University Council, a Dean, or Faculty of a school (which includes a college or equivalent institute for purposes of this Handbook) seeks to propose changes to the Faculty

Handbook, the body or person should first contact the Office of the Provost. The Provost (or the Provost's designee) will ascertain, based on the nature of the proposed change, whether the matter may be handled solely within the Office of the Provost, or whether the matter falls within the purview of the Office of the President (which includes for this purpose all departments reporting directly or indirectly to the President other than those that report up through the Office of the Provost) and/or the Board of Trustees. In the event that the matter is within the purview of the Office of the President, the Provost (or the Provost's designee) will submit a recommendation to the President (or the President's designee) with respect to the proposed change. If the matter is within the purview of the Board of Trustees, the Provost (or the Provost's designee) will submit a recommendation to the President as to whether the President should present the matter to the Board of Trustees for its consideration. Nothing in this Handbook constrains the Board of Trustees from making changes to this Handbook with respect to any matter, and in the manner, it finds appropriate in carrying out its duties; and the administration will notify the executive leadership of the Tenured/Tenure Track Faculty Senators Council and the Full-Time Continuing Contract Faculty Senators Council if the Board of Trustees makes any change to the Faculty Handbook.

To clarify the history of the Faculty Handbook or a policy included in the Faculty Handbook, the Provost's Office will maintain an on-line resource available to the Senate, the University Councils, the Deans, and Faculty of the schools with the following information: state whether the provision or policy ultimately was promulgated by the Board of Trustees, the Office of the President, or the Office of the Provost; specify when a Senate or a Council comprising the Senate had the opportunity to review and comment on the provision or policy; and set forth the effective date of the provision or policy.

The administration of the University consults with the two Faculty Senators Councils with respect to additions and changes that it seeks to make to the Faculty Handbook, including changes to certain policies provided only by hyperlinks, before inclusion in the Faculty Handbook other than in exceptional circumstances.¹ Consistent with the [Principles of Joint Shared Governance](#), this includes the administration providing a reasonable length of time for consultation and input by the Faculty Senators Councils; and, where the administration does not agree with written advice it receives from either or both Faculty Senators Councils, the administration providing in writing, and in a timely manner, its reasoned justification for not accepting the advice. If an addition or change to the Faculty Handbook is made before either or both Faculty Senators Councils review the addition or change, the addition or change is considered effective; however, the administration will provide an explanation to both of the executive leadership of the Faculty Senators Councils, and the table of contents and text will indicate that the matter is still being reviewed by either or both Faculty Senators Councils.

¹ The Faculty Handbook includes a substantial amount of descriptive material (e.g., the history of the University, excerpted portions of the University Charter and Bylaws, information about the University's officers, information about the University Senate and its Councils and Committees, information about the Libraries and the University Press, information about administrative departments of the University such as University Relations and Public Affairs, the Office for University Development and Alumni Relations, and the Office of General Counsel, information about benefits, selected University resources available to faculty, and information about student affairs). It also includes hyperlinked policies. There will be changes from time to time to these materials that have little or no effect on faculty with respect to educational and administrative policy and often are quite minor. In such cases, changes may be made to these materials without prior consultation with the Faculty Senators Councils. The administration will promptly notify the executive leadership of both Faculty Senators Councils of any such changes; and if, after receiving such notification, either or both Faculty Senators Councils believe that they should have an opportunity to review and comment on the changes, they should so notify the Office of the Provost and also may ask that the table of contents and text indicate that the matter is still being reviewed by the Faculty Senators Council(s). The addition or change is considered effective unless subsequently changed.

Important Additional Information

The separate schools and colleges will supplement this text with information on local procedures and day-to-day operations, consistent with the Bylaws, this Handbook, and University Policies. Some schools have written statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, supplementing policies outlined in this Faculty Handbook. It is important to become familiar with these policies and procedures. Department chairs or deans should be contacted for more information.

Contact information is available on-line through the [NYU Public Directory](#) and the directories of the individual schools, which provide contact information for particular offices and services, as well as for individual faculty members. It should be noted that many administrative departments have policies, consistent with the rules of the Handbook, which affect the operations of those departments, as well as the privileges and responsibilities of faculty members. These are available through the individual schools and departments and may be posted on their websites. Faculty should become familiar with this array of policies as necessary and appropriate.

It is expected that this Handbook will be brought up to date periodically and will be posted at the [Faculty Handbook](#) web site.²

APPLICATION OUTSIDE OF THE UNITED STATES

University policies articulate the values and principles the University upholds and the obligations imposed on members of the University Community. Thus, University policies apply in connection with the operations and activities of the University regardless of location. As a global university that operates in an expanding international environment, the University will encounter varying laws and business practices as it conducts its affairs outside the United States. To the extent that a University policy or a provision of a policy conflicts with the laws in another country, the University seeks to comply with the laws of the jurisdiction in connection with its operations and activities in that jurisdiction. However, differences between University policy and foreign laws may not be self-evident and can be complex. Therefore, whenever there is a question regarding the University's or a faculty member's legal responsibilities at locations outside the United States, the University's Office of General Counsel must be consulted to evaluate the University policy in the context of foreign laws and to advise on the appropriate course of action.

² The current [Faculty Handbook](#), as well as its archives, may be viewed online and in a PDF version.

The University

HISTORY AND TRADITIONS OF NEW YORK UNIVERSITY

A Brief History of New York University

Founded in 1831 by a farsighted group of prominent New Yorkers, the “University of the City of New York” (as NYU was originally known) was envisioned from the start as something new: an academic institution metropolitan in character, democratic in spirit, and responsive to the demands of a bustling commercial culture.

The group of founders—which included former Secretary of the Treasury Albert Gallatin—envisioned a non-denominational institution that would be “a social investment and a direct response to the needs of the rising mercantile classes in New York,” intended both for those students “who devote themselves to scientific or literary pursuits,” and for those preparing for “the learned professions, commerce, or the mechanical and useful arts.”

In October 1832, the first classes began in rented quarters located downtown near City Hall, in contemporary subjects such as architecture, civil engineering, astronomy, chemistry, sculpture, painting, English and modern languages, as well as classical Greek and Latin.

After a search for a permanent home, the University Council purchased the northeast block of Washington Square East for \$40,000, and a handsome Gothic building was built there in 1835. The University Building, as it was known, offered an urbane mix of academic spaces on its lower floors and rental apartments above—rooms and studios whose extraordinary roster of tenants included the artist Winslow Homer, the inventors Samuel F.B. Morse and Samuel Colt (who perfected the electric telegraph and revolver there, respectively), and the architects A.J. Davis and Richard Morris Hunt.

Throughout the 19th century, the University suffered from financial problems and an undergraduate enrollment that never exceeded 150 students. However, though the undergraduate program struggled to fulfill the vision of its founders, NYU’s professional and graduate programs—in law (1835), medicine (1841), dentistry (1865), arts and sciences (1886), and education (1890)—were a success from the start, contributing to New York’s stunning commercial rise and serving as an engine of upward mobility for thousands of native-born and immigrant New Yorkers.

In the late 19th century, under the leadership of Chancellor Henry Mitchell MacCracken, the University advanced significantly, drawing together its far-flung schools under central control and attracting a more business-like Board of Trustees and donors. In what he called a “second founding,” MacCracken moved the undergraduate schools of arts and science and engineering to an entirely new campus in the Bronx, on a bluff overlooking Manhattan—a stunning second home for what was now known by a new name: New York University.

Having moved nearly all of its undergraduates to the new Bronx campus, NYU turned Washington Square into a bustling center for graduate and professional training—including one of the country’s first university-affiliated business schools (1900)—to serve what had become the undisputed commercial capital of America and the second-largest city in the world.

Then, in 1914, NYU made the decision to establish an additional undergraduate program downtown that would serve commuter students. Called Washington Square College, it offered an education to nearly all

qualified students, regardless of background. With students who were “famished...for knowledge, any kind of knowledge,” and a young and creative faculty, Washington Square College was, in one professor’s later words, “the most exciting venture in American education that I had ever heard of.”

As enrollments exploded—from 500 students in 1919 to more than 7,000 by 1929—NYU scrambled to hire instructors. Among them was a young writer named Thomas Wolfe, who, while working on his first novel, *Look Homeward, Angel*, taught English from 1924 to 1930. There is “no other way in which a man coming to this terrific city,” he wrote, “could have had a more...stimulating introduction to its swarming life, than through the corridors and classrooms of Washington Square.”

A number of new graduate schools complemented NYU’s undergraduate growth: the College of Nursing (1932), the Institute of Fine Arts (1933), the Courant Institute of Mathematical Sciences (1934), and new colleges in continuing education (1934; now the School of Professional Studies) and public service (1938), the latter founded with the encouragement of Mayor La Guardia, himself an NYU alumnus.

NYU had taken on a role like no other private university in American history: a vast educational machine, by which tens of thousands of upwardly mobile New Yorkers—most of them Jewish and Catholic students, from working and middle-class families—could receive college-level training and move into the professions or business. With the largest private enrollment in the country—an astonishing 47,000 students by 1939—NYU had in many ways become the great urban university its founders dreamed of.

The postwar decades were a period of continued growth for NYU, as returning GIs swelled the student body even further; schools of social work (1960), the arts (1965), and individualized study (1972) were added; and plans were made under the leadership of President James Hester to construct the University’s first central library.

By 1973, however, as New York City reeled from years of rising crime and financial troubles and enrollments declined, NYU—which had been running annual deficits since 1964—reluctantly sold its Bronx campus in order to regain solvency.

These difficulties had one very positive result: they provided the opportunity to make a sweeping assessment of NYU’s future. The University had been founded on the two ideals of democratic promise and academic excellence. Since the 1920s, NYU had been fulfilling its democratic promise as no other private university in America; now, emerging from the crises of the ’70s, it daringly sought to fulfill its founders’ other dream—to transform itself from a respected metropolitan institution to a global seat of learning, in the top tier of world universities.

Throughout the 1970s, NYU gradually regained firm financial footing and began to improve the quality of its faculty, strengthen the curriculum, and establish more stringent admissions requirements. By the early 1980s, with the University’s financial health restored and New York itself emerging at last from decades of social and economic troubles, NYU was poised for a new era of growth.

In 1984, seeking to achieve what its recently appointed president, John Brademas, called “a new position of eminence in American higher education,” NYU undertook one of the first billion-dollar capital campaigns in academic history. Raising two million dollars a week for five hundred weeks, the University reached its goal in only ten years—five years ahead of schedule. President Brademas’s tenure also saw the transformation of Washington Square from a largely commuter campus into a residential one, with extensive construction and renovation of residence halls.

In 1991, NYU’s chancellor, L. Jay Oliva, was tapped as the University’s new president. Under President Oliva—a historian who had spent his entire academic career at NYU—the pace of advancement

continued without stop. One of his primary goals was to ensure that the fast-rising stature of the professional schools and arts divisions were matched by an equivalent commitment to the humanities and social science departments—many of which are now ranked among the best in the world.

President Oliva also oversaw a major growth in international studies, drawing record numbers of international students and scholars to NYU and establishing more study-away sites abroad. In 1994, NYU's global presence gained a powerful centerpiece when Sir Harold Acton bequeathed Villa La Pietra, a 57-acre estate in Florence—at the time the largest single gift made to an American university.

By the end of the millennium, the University had accomplished the near-impossible, dramatically raising the academic rankings, professional stature, and student selectivity of nearly every one of its divisions and departments. As one scholar wrote in 2003, NYU was “*the* success story in contemporary American higher education.”

Under John Sexton, who became president in 2002 after coming to NYU as a faculty member and then serving as dean of the Law School, NYU's reach and stature grew still further, securing its position as one of the world's premier research universities and a global leader in higher education in the 21st century.

Early in President Sexton's tenure, the University identified a key strategic priority: the need to expand, strengthen, and energize the arts and sciences, the academic core of the University. From 2004 to 2009, the Partners program—led by a gift of \$60 million from six trustees and matched by another \$150 million in University funds—resulted in the most rapid expansion of NYU's faculty in its history. With 125 positions added to the arts and science faculty—an increase of some 20 percent—and significant renovations made to academic facilities, the Partners program had a transformative effect on scores of academic departments.

Another recent academic milestone was the re-establishment of engineering at NYU for the first time since the sale of the Bronx campus in the 1970s. After beginning a successful affiliation with Brooklyn's Polytechnic University in 2008, a full merger between the two schools resulted in the creation of the NYU Polytechnic School of Engineering in 2014, renamed the NYU Tandon School of Engineering in 2015.

The past decades have seen the founding of several prominent institutes and centers as well, including the Institute for the Study of the Ancient World (2006), the Center for Urban Science and Progress (2012), and the Global Institute of Public Health (2012). In 2015, the College of Global Public Health was established (renamed the School of Global Public Health in 2019). The Long Island School of Medicine was established in 2019.

A signature of President Sexton's tenure was the creation of a new model of university: the global network university. Building on the international presence it established in the 20th century, NYU in the 21st century added more global academic centers, with a particular focus on expanding outside of Europe to locations such as Accra and Buenos Aires. Then, in 2010, in what President Sexton termed “an audacious step in higher education,” the University opened NYU Abu Dhabi, the first comprehensive liberal arts campus in the Middle East to be operated by an American research university. A second campus, NYU Shanghai, followed in 2013. Today, with its three campuses in New York, Abu Dhabi, and Shanghai and 12 academic centers on six continents, no university has a greater global presence.

In 2016 came a new chapter in NYU's history, with the arrival of its 16th president, Andrew Hamilton, effective January 1st. A distinguished chemist and former vice chancellor of Oxford University, President Hamilton brings to the position outstanding scholarship in his field, a record of achievement in leadership posts at top universities, a commitment to academic excellence, and his global background and outlook.

In 1831, NYU's founders chose to create an institution of learning that would be "in and of the city." In the ensuing years, New York City has become the world's first truly international city, and NYU has evolved with it. NYU's more than 50,000 students and over 5,000 faculty members are uniquely positioned to shape the 21st century as creative, thoughtful, engaged citizens. They learn and teach at what has become one of the world's premier institutions of higher learning. They draw from and contribute to the inexhaustibly rich complexity of New York City. And, as they circulate throughout the global network, they build cultural bridges and perspectives that are critical in an ever-more global society. Still vitally "in and of the city," NYU is now, too, "in and of the world."

University Traditions

The official seal of New York University combines a silver ceremonial "torch of learning," which is carried in formal academic processions, with a group of four running figures symbolizing effort or striving in the pursuit of learning. The seal carries the Latin motto "*Perstare et Praestare*," which is generally translated as "to persevere and to excel."

The origin of the University color, violet, is obscure. It may have been chosen because in years gone by violets are said to have grown abundantly in Washington Square and around the buttresses of the original university building. On the other hand, it may have been adopted because the violet was the flower associated with Athens, that center of learning in the ancient world, and was thus regarded as an appropriate symbol of education and knowledge.

For more than a century, NYU athletes have worn violet and white colors in competition, and have carried the resulting nickname – the Violets – with pride. While a student dressed as a violet served as the school mascot for a brief time in the 1980s, it was decided that the flower did not instill great awe or foreboding in NYU's opponents. A new mascot was conceived from the name of the Bobst Library card catalog, or Bobst Catalog. Today, the Bobcat mascot symbolizes both NYU's academic and athletic traditions.

ORGANIZATION AND ADMINISTRATION

The University Charter

New York University, as an educational corporation of the State of New York, derives its powers from a charter granted by act of the State Legislature in 1831. The original charter has been amended from time to time.

The line of authority in the administration of the University may be viewed as proceeding from the Board of Trustees to the President and Chancellor of the University. The Provost of the University is the senior assistant to the President and Chancellor in all academic matters.

The academic administration of the University is shared by University officers and administrators, school and departmental officers, the faculties of the several schools, the University Senate, and various University and inter-school councils and commissions.

The Board of Trustees

The University is governed by a Board of Trustees consisting of up to seventy voting members, most of whom are NYU Alumni. A full Trustee term is six years except the term for a Young Alumni Trustee is four years. Trustees are eligible for reelection at the end of a term in office except that those elected as Young Alumni Trustees are limited to one term. The Trustees have adopted Bylaws that outline the basic structure and governance of the University and define the roles and responsibilities of trustees, officers, Board committees, and the University Senate and its councils.

The Board of Trustees holds an annual meeting each June and meets at least three other times during the year. At the annual meeting in June, the Trustees elect their own officers, who serve until the next annual meeting and are eligible for reelection at the end of a term except that the Chair of the Board serves a five-year term and is eligible to be reelected for only one additional term. Between meetings, the Executive Committee has broad authority to act for the Board. Other standing committees are the Academic Affairs Committee, Alumni Affairs and University Life Committee, Audit and Compliance Committee, Committee on Trustees, Committee on Online Education and Technology, Compensation Committee, Development Committee, Facilities and Real Estate Committee, Finance Committee, Global Initiatives Committee, and Investment Committee.

The conduct of educational matters throughout the University is entrusted, under the leadership of the President and Chancellor and the Provost, to the faculties of the individual schools and to the University Senate.

University Officers

As is necessary in any large institution, the precise structure of the corporation, while controlled by the Bylaws of the University, may change from time to time. The relevant text of the Bylaws is reproduced here.

President and Chancellor [University Bylaws, Section 32]

The President and Chancellor is appointed by and serves at the pleasure of the Board; the President and Chancellor serves as an *Ex Officio* Trustee so long as they hold the office on a non-acting basis. The

President and Chancellor will serve as the chief executive officer and chief academic officer of the University; will be delegated authority and responsibility for the administration and management of the University consistent with its mission and the direction of the Board; will have all powers and perform all duties incident to the office and such other powers and duties as the Board may prescribe from time to time; will exercise supervision and direction of all University activities; will be responsible to the Board for the supervision of the University's educational programs in the University's schools, colleges, institutes, departments, divisions, and units; will serve as head of each faculty of the University and have the power to call a meeting of any faculty or a joint faculty meeting of two or more faculties, provided that any such meeting has the power to take action only upon such subjects as specified in the call for the meeting; will be concerned with the welfare of students of the University and their moral and intellectual development; will be the Board's representative and the official medium of communication between each faculty of the University and the Board, between University students and the Board, and between University administration and the Board; will prepare or cause to be prepared an annual proposed capital and operating budget in advance of each fiscal year for the Board's consideration; will recommend to the Board the appointment of the deans of schools and colleges and directors of institutes, after consulting with the faculty of the applicable college, school, or institute or a duly constituted committee, including faculty representatives thereof, each of whom will serve at the pleasure of the President and Chancellor; will consult or cause a designated representative to consult with the University Senate, which may be through the pertinent Senate committee, before making a recommendation to the Board with respect to changes or innovations that affect the University in matters within the jurisdiction of the Senate; may call upon the University's senior management and academic leaders for assistance in the performance of their duties and may appoint advisory councils of senior management and academic leaders and others as they deem appropriate; subject to Board policies regarding conflicts of interest and executive sessions, may attend meetings of any committee of the Board; and will determine the senior management and academic leaders who will serve in the President and Chancellor's stead during a temporary absence or incapacity, or until the Board replaces the President and Chancellor or determines a temporary succession plan during a permanent or more extensive absence or incapacity. The President and Chancellor shall serve *ex-officio* as a member of the Executive Committee and all other Committees, other than the Audit and Compliance Committee, for as long as such person is serving as President and Chancellor.

Provost [University Bylaws, Section 33]

The Provost is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Provost will be the senior assistant to the President and Chancellor in all academic matters; will be a member of each faculty of the University; will work with the deans of the colleges and schools and the directors of the institutes in strategic academic planning, recruiting faculty, overseeing academic appointments and promotions, conducting program reviews, guiding academic aspects of enrollment planning and ensuring the highest academic standards throughout the University for faculty and students; and will have such other powers and duties as the President and Chancellor may prescribe from time to time.

The Executive Vice President [University Bylaws, Section 34]

The Executive Vice President, if there is one, is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Executive Vice President will be the senior assistant to the President and Chancellor in all non-academic matters; and will have such other powers and duties as the President and Chancellor, Chair, or Board may prescribe from time to time.

Executive Vice President for Langone Health [University Bylaws, Sections 35 and 93(c)]

The CEO of NYU Langone Health shall serve, *Ex Officio*, as the Executive Vice President for NYU Langone Health. The Executive Vice President for NYU Langone Health (i) will be the senior officer with respect to all matters relating to NYU Langone Health, including but not limited to, NYU Langone Health System, NYU Langone Hospitals, the Robert I. Grossman School of Medicine, the Long Island School of Medicine, and their affiliates; (ii) will be the designated officer of New York University to whom the dean of the Long Island School of Medicine reports; (iii) will be the principal liaison between the University and NYU Langone Health; (iv) has authority to carry out NYU Langone Health's operational responsibilities, including with respect to financial, research, and clinical operations and transactions within NYU Langone Health, with the authority to delegate; and (v) will have such other powers and duties as the Chair or Board may prescribe from time to time.

Secretary and General Counsel [University Bylaws, Section 36]

The Secretary and General Counsel is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. As Secretary, the officer will have custody of the seal, Charter, Bylaws, and records of the Board; will act as secretary at all meetings of the Board of Trustees and the members (in the absence or incapacity of the Secretary, the Chair will appoint a Secretary of the meeting); will be responsible for the maintenance of fair and accurate records of the proceedings of the Board, its Executive Committee and other committees of the Board, and the members, and distribute them to Trustees and members, as applicable, in accordance with these Bylaws; will cause notice to be given to Trustees, members, officers of the Board, and Board committee members of meetings and acts of the Board, Board committees, and members affecting them; will be responsible for the issuance of certificates; and will have all powers and duties incident to the office of secretary and such other powers and perform such other duties as the President and Chancellor, Chair, or Board may prescribe from time to time. As General Counsel, the officer will represent the University and its affiliates in its legal affairs; except for those matters where the General Counsel's own performance of duties or status is being considered or evaluated, and subject to the right of the Board, the Audit and Compliance Committee and the Compensation Committee to engage independent counsel, all matters requiring legal advice or legal action will be referred to the General Counsel who will provide legal advice or take legal action directly or through counsel engaged for such purpose by the General Counsel; and will have such other powers and duties as the President and Chancellor, Chair, or Board may prescribe from time to time.

Chief Financial Officer [University Bylaws, Section 37]

The Chief Financial Officer is appointed by the Board upon the recommendation of the President and Chancellor, and may be removed by the President and Chancellor or the Board. The Chief Financial Officer will be the chief accounting and financial officer of the University; will be responsible for assuring that the University is in compliance with applicable financial and accounting standards and has appropriate internal controls; will be responsible for assuring that payments made by the University are included in the approved budget for the fiscal year, unless approved by the Board, and that restricted funds are expended in accordance with applicable limitations and restrictions; will be responsible for collecting, recording, and safeguarding all funds and securities of the University, which will be deposited with such banks or trust companies as authorized by the Board; will be responsible for keeping proper books of account, preparing quarterly and annual financial reports, and providing financial reports to the members and the Board at least annually and as requested by the President and Chancellor, Chair, members, or Board or its committees; will make available during business hours, on request by a Trustee or member, the University's books of account and records; will work with the University's independent

certified public accounting firm in its preparation of the annual audit; and will have such other powers and duties as the President and Chancellor, the Executive Vice President, Chair, or Board may prescribe from time to time.

The University Senate

The first Bylaws to contain a description of the University Senate and an outline of its powers and duties appeared in 1899. Since that time the importance and the influence of the Senate have grown steadily. The functions of the University Senate include:

- 1) discussion of University-wide policies and proposed changes in University practices and structure, and making recommendations to the President and, through the President, to the Board of Trustees;
- 2) determining the University calendar and fixing the length and terms of vacations;
- 3) receiving and reviewing reports and recommendations of University-wide committees; and
- 4) acting upon educational matters and regulations of the academic community that affect more than one school.

See [Section 60 of the University's Bylaws](#) for additional information.

The University Senate consists of 142 voting members as follows:

- 21 deans and campus vice chancellors (Deans Council)
- 39 members of the Tenured/Tenure Track Faculty Senators Council (T-FSC)
- 30 members of the Full-Time Continuing Contract Faculty Senators Council (C-FSC)
- 40 members of the Student Senators Council (SSC)
- 7 representatives from the Administrative Management Council (AMC)
- 5 senior members of the administration of the University: the President, the Provost, the Executive Vice President, the Secretary and General Counsel, and the Senior Vice President for Global Inclusion, Diversity, and Strategic Innovation

The Senate normally meets during the months of October, November, December, February, March, and April in accordance with a schedule adopted by the Senate. A special meeting may be called on 24 hours' notice by the President or when requested in writing by at least six members of the Senate, including at least one representative of each of the Councils listed above and one of the senior members of the administration of the University who are voting members of the Senate. A majority of the members entitled to vote constitutes a quorum at meetings of the Senate. Each of the five Councils also meet regularly, apart from the full Senate, to discuss matters of concern to their respective areas of interest, and their reports and recommendations are regularly brought to the attention of the full body.

Faculty Councils of the Senate

The Bylaws approved by the Board of Trustees on May 27, 1968, were the first to provide for multiple faculty representation according to the size of each school's faculty. The Bylaws approved by the Board of Trustees effective September 1, 2014 and amended December 9, 2015, delineated three categories of faculty—the Tenured/Tenure Track Faculty, the Full-Time Continuing Contract Faculty, and Other Faculty—and established separate faculty councils for the first two categories.

The faculty members for the [Tenured/Tenure Track Faculty Senators Council](#) (T-FSC) and the [Continuing Contract Faculty Senators Council](#) (C-FSC) are elected from the faculties of the constituent schools of the University listed in Section 73 of the University Bylaws, from the Division of the Libraries, and from the Abu Dhabi and Shanghai campuses, generally proportionate to the number of full-time members in their respective faculties. (For this and other purposes, the faculties of the Robert I. Grossman School of Medicine and of the Post-Graduate Medical School are regarded as one faculty, the faculties of the

College of Arts and Science and the Graduate School of Arts and Science are regarded as one faculty, and the faculties of the Leonard N. Stern School of Business Undergraduate College and Graduate Division are regarded as one faculty.) An alternate is elected for each Senator (two alternates if the school only has one Senator) and may attend meetings and exercise the privileges of the absent member when advance notice is given to the Office of the Secretary.

The T-FSC and the C-FSC each may consider any matters of educational and administrative policy and each functions as the Faculty Personnel Committee of the Senate for its respective faculty. The T-FSC and the C-FSC each designate representatives on the standing committees, and in appropriate instances on the ad hoc committees, of the Senate. The T-FSC and the C-FSC each may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. The T-FSC and the C-FSC each may bring to the attention of the President any matters that it wishes to discuss with the President, and it may perform such other functions as are requested by the President, by the Board, or by the Senate.

See Sections 65 and 66 of the University's Bylaws for additional information.

Principles of Joint Shared Governance

The University Board of Trustees approved the following Principles set forth below with respect to the Tenured/Tenure Track Faculty Senators Council, formerly the Faculty Senators Council (December 12, 2012) and with respect to the Full-Time Continuing Contract Faculty Senators Council (February 19, 2015).

1. Representation

The Tenured/Tenure Track Faculty Senators Council (T-FSC) and the Full-Time Continuing Contract Faculty Senators Council (C-FSC) will each have a representative (from each FSC or its designee) on University committees, taskforces, or other University-wide bodies that are convened by the administration to advise on matters that affect faculty in educational and administrative policy.

2. Information

Transparency with respect to information regarding matters that affect faculty in educational and administrative policy is the norm. The use of "deliberative privilege" is the exception to this norm, requested only in circumstances wherein an individual(s) or the University's interests would be harmed by public disclosure. In such instances, the University administration will provide appropriate reasons for invoking "deliberative privilege."

3. Consultation

Except under rare, extraordinary circumstances, the University administration will provide a reasonable length of time for T-FSC and C-FSC consultation and input on all matters that affect faculty in educational and administrative policy. This means that the administration must plan in advance to allow enough time for at least one regularly-scheduled T-FSC and/or C-FSC meeting to occur before the consultation period comes to a close on any particular matter.

For urgent decisions, such as decisions that must be taken during the summer or winter holiday, when the T-FSC and C-FSC are not in session, each Council will establish a "provisional review committee" and a set of procedures for timely consultation and input regarding University administration decisions on matters that affect faculty in educational and administrative policy. All decisions reached by each Council's provisional review committee are subject to full Council review and approval. Each Council

will promptly convey its final decision on the matter to the administration, which in turn will reconsider the provisional policy, based on new or additional advice provided by the Council. The administration will then promptly convey its final decision to each Council.

4. Reasoned Justification

When the T-FSC and/or C-FSC submits advice in writing to the University administration and the administration does not agree with or accept the Council's advice, the administration will provide its reasons for not accepting the Council's advice to the Council(s) in writing and in a timely manner.

5. Communication

Predicated on the understanding the communications will pertain to Senate-related matters relevant to faculty colleagues within the Senators' schools, and that the communication systems will be used in a reasonable and responsible manner consistent with the norms of civility, the deans will enable Senators to send emails to faculty colleagues within their schools. Such communication will clearly convey whether its content is an official Council communication or if it reflects the personal view(s) of the author(s).

Other Councils of the Senate

The Deans Council

The Deans Council consists of the President, the Provost, other vice presidents, and 21 deans and campus vice chancellors who are voting members of the Senate. The Deans Council may consider any matters of educational and administrative policy, and will make appropriate recommendations to the President and other University officers.

See Section 67 of the University's Bylaws for additional information.

The Student Senators Council

The Student Senators Council consists of elected representatives from each of the colleges and schools, (except that for this purpose the Robert I. Grossman School of Medicine and the Post-Graduate Medical School will be considered one school), and from Liberal Studies, the Abu Dhabi campus, and the Shanghai campus. Each elected Senator may have two alternate senators, either of whom, on notice to the Office of the Secretary, may attend Senate meetings and exercise the privileges of the absent member. There are also 14 student Senators appointed at large to represent interests that are otherwise underrepresented in the student senators delegation, with up to 14 alternate student senators-at-large. Upon the approval of the Executive Committee of the Senate, an additional student senator-at-large seat shall be allocated to the elected chairperson of the Student Senators Council should that chairperson not already be an elected senator. If the elected chairperson is already an elected senator then there shall be not more than fourteen student senators-at-large.

The Student Senators Council is the representative body of the students on the Senate responsible for policymaking as a constituent council of the Student Government Assembly, which supports the student body through advocacy and programming. The Student Senators Council may consider any matters in which the interests, needs, rights, or responsibilities of students are involved, and will take special responsibility for bringing to the attention of the Senate all matters concerning students at the University. For this purpose, the Council will invite the presidents of student governments in the several colleges, schools, and portal campuses, faculty members and administrative officers, and student constituency

leaders as necessary. The Council may work through such local units as may be appropriate at the various geographical centers of the University, and will report to the Senate, through the Student Senators Council, policy recommendations concerning student life.

See Section 68 of the University's Bylaws for additional information.

[The Administrative Management Council](#)

The Administrative Management Council is composed of elected representatives from the professional and administrative staffs of each college, school and division of the University. The current chair and six other members of the Administrative Management Council are elected as voting members of the Senate. The vice chair serves as the alternate for the chair, and two alternates are elected for each of the other Senators, either of whom, on notice to the Office of the Secretary, may attend Senate meetings and exercise the privileges of the absent member.

The Administrative Management Council functions as an initiative, deliberative, and responsive body concerning policy issues, serves as a vehicle for promoting the continued professional growth and development of its constituents, and has a commitment to community service.

See Section 69 of the University's Bylaws for additional information.

The Deans Council, the Student Senators Council and the Administrative Management Council each designate representatives on the standing committees, and in appropriate instances on the ad hoc committees, of the Senate. Each Council may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. Each Council may bring to the attention of the President any matters that it wishes to discuss with the President, and may perform such other functions as are requested by the President, by the Board, or by the Senate.

Standing Committees of the Senate

The standing committees of the Senate, all of which include members drawn from the Councils comprising the Senate, as well as appropriate senior members of the administration who serve as Senators, are: the Executive Committee; the Academic Affairs Committee; the Financial Affairs Committee; the Organization and Governance Committee; the Public Affairs Committee; and the Community Standards Committee.

The Executive Committee, composed of the President, the chairs of the Councils, and the Secretary of the Senate who is a non-voting member, appoints the members of the standing committees of the Senate, elects the officers of the Senate, prepares the agenda for each Senate meeting, is authorized to act on urgent matters that may arise at times when the full Senate cannot be convened, and is empowered to refer topics to Senate committees and to appropriate offices of the University.

See the [Senate Rules of Procedure](#) for additional information.

Other University Committees

The University Bylaws also establish a Graduate Program Committee and an Undergraduate Program Committee. In addition, the Senate or the President may appoint other University and interschool committees and commissions, which will have the powers and duties delegated to them.

Graduate Program Committee

The Graduate Program Committee reviews proposals from colleges, schools, and portal campuses with respect to new graduate programs granting master's and doctoral degrees and recommends the approval of appropriate proposals to the Provost. The Committee may also make recommendations to the Provost on other matters that relate to graduate education in the University.

The voting members of the Committee shall consist of one faculty representative who is a full-time member of the Tenured/Tenure Track or Full-Time Continuing Contract Faculty, elected by the faculty from each college, school, and portal campus that delivers graduate education; four graduate deans; the dean of the Libraries (or the dean's designee); a member of the Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Continuing Contract Faculty Senators Council; and three graduate student members of the Student Senators Council. The following administrators (or their designees) serve *ex officio* as non-voting members: the dean of each college, school, and portal campus that delivers graduate education; the most senior representative of the Provost's Office responsible for academic program review; and the most senior representative of the Provost's Office responsible for graduate academic affairs. The two representatives from the Provost's Office will be the co-chairs of the Committee.

See Section 70 of the University's Bylaws for additional information.

Undergraduate Program Committee

The Undergraduate Program Committee advises the Provost on proposals from colleges, schools, and portal campuses for new undergraduate majors and degree programs as well as for cross-school minors. The Committee may also make recommendations as requested by the President and/or the Provost on other matters that relate to undergraduate education in the University.

The voting members of the Committee shall consist of at least: one faculty representative from each college, school, and portal campus that delivers undergraduate education; two undergraduate deans; a faculty representative from the Libraries, elected by the faculty from the Libraries; a member of the Tenured/Tenure Track Faculty Senators Council; a member of the Full-Time Continuing Contract Faculty Senators Council; and three members of the Student Senators Council. The following administrators (or their designees) serve *ex officio* as non-voting members: the senior representatives of the Provost's Office responsible for each of global programs, academic program review, and undergraduate academic affairs. The representative from the Provost Office responsible for undergraduate academic affairs will be the chair of the Committee.

See Section 71 of the University's Bylaws for additional information.

Organization of Colleges, Schools, and Academic Departments

Schools, Faculties, Portal Campuses, and Divisions of the University [University Bylaws, Section 73]

- (a) Colleges and Schools. The University comprises the following integral colleges and schools, listed in order of their establishment:

1832	College of Arts and Science
1835	School of Law
1841	Robert I. Grossman School of Medicine

1865	College of Dentistry
1886	Graduate School of Arts and Science
1890	The Steinhardt School of Culture, Education, and Human Development
1900	Leonard N. Stern School of Business, Undergraduate College
1916	Leonard N. Stern School of Business, Graduate Division
1934	School of Professional Studies
1938	Robert F. Wagner Graduate School of Public Service
1948	Post-Graduate Medical School
1960	The Silver School of Social Work
1965	Tisch School of the Arts
1972	Gallatin School of Individualized Study
2014	Tandon School of Engineering
2015	Rory Meyers College of Nursing
2015	School of Global Public Health
2019	Long Island School of Medicine

(b) Separate Faculties. The colleges and schools of the University are governed by their separate faculties, except that the Faculty of Medicine is responsible for the Robert I. Grossman School of Medicine and for the Post-Graduate Medical School, the Faculty of Arts and Science is responsible for the College of Arts and Science and for the Graduate School of Arts and Science, and the Faculty of Business Administration is responsible for the Leonard N. Stern School of Business, Undergraduate College and for the Leonard N. Stern School of Business, Graduate Division.

(c) Portal campuses. The University has the following degree-granting portal campuses, listed in order of their establishment:

2010	NYU Abu Dhabi
2012	NYU Shanghai

(d) Division of Libraries. The University also comprises the Division of the Libraries, which performs academic functions across school lines and is governed by its faculty and officers in accordance with procedures defined and approved by the President and Chancellor.

Deans

The dean of each school, see University Bylaws, Sections 74(a), (b), and (d), is appointed by the Board of Trustees on the recommendation of the President and Chancellor and serves as the administrative head of their respective faculty. In the case of the Robert I. Grossman School of Medicine, the dean shall be appointed by the Board of Trustees on the recommendation of the Chair of the Board and the Chair of NYU Langone Health System, and in the case of the Long Island School of Medicine, the dean shall be appointed by the Board of Trustees on the recommendation of the Executive Vice President for NYU Langone Health. The dean is “responsible for carrying out the policies of the University” and for executing “such rules as their faculty may from time to time adopt.” The dean presides at faculty meetings, supervises the work of their faculty, and makes recommendations to the President and Chancellor and Provost, or in the case of the Long Island School of Medicine, the Executive Vice President for NYU Langone Health, for the appointment, promotion, tenure as appropriate, dismissal, and retirement of their faculty and administration in the faculty. The dean is responsible for the preparation and submission of the budget for the school and for its implementation when approved. Offices such as

that of Executive Dean or Dean of the Faculty of Arts and Science have from time to time been created to supervise or coordinate the activities of two or more schools or of their faculty members.

Departmental Organization and Administration of Academic Departments

The President and Chancellor, subject to the approval of the Board of Trustees, is authorized to divide courses of instruction into departments, provided that, in the case of the Robert I. Grossman School of Medicine and the Long Island School of Medicine, the Executive Vice President for NYU Langone Health shall have such authority, subject to the approval of the Board of Trustees (see University Bylaws, Section 75). The chief executive officer of a department other than a University department will bear the title “chair” and will be responsible to the dean of that school; and the chief executive officer of a University academic department that is an academic department incorporating more than one college or school, will bear the title of “head” and will be responsible through the appropriate deans to the Provost and President and Chancellor, or, in the case of the Robert I. Grossman School of Medicine and the Long Island School of Medicine, to the Executive Vice President for NYU Langone Health (see University Bylaws, Section 76).

Responsibilities of the Faculties [University Bylaws, Section 79]

- (a) Educational Conduct and Functions. The educational conduct of each of the several colleges and schools, within the limits prescribed by these bylaws or by the Board, is committed to the faculty of each of the colleges and schools, and to such officers of the colleges and schools as the Board may appoint. The educational functions of the libraries of the University, as defined and structured by the President and Chancellor, are similarly committed to the faculty and officers of the Division of the Libraries.
- (b) Entrance Requirements, Courses of Study and Degrees and Certificates. Subject to the approval of the Board and to general University policy as defined by the President and Chancellor and the Senate, it is the duty of each faculty to determine entrance requirements of the college or school under its care, to determine courses of study to be pursued and the standards of academic achievement to be attained for each degree offered, to prepare a schedule of lectures, to make and enforce rules for the guidance and conduct of the students, and to certify to the President and Chancellor, for recommendation to the Board, qualified candidates for degrees and certificates.
- (c) Athletics and Other Extracurricular Activities. Each faculty will make and enforce rules of eligibility for the participation of its own students in athletics and other extracurricular activities. However, the University requirements for student participation in intercollegiate athletics will be determined by the Senate on the recommendation of an appropriate committee of the several faculties and will be uniformly applied in the college and schools concerned therewith.
- (d) Libraries. It is the duty of the faculty of the Division of the Libraries to implement the resources and services of its various libraries in accordance with the instructional and research needs of the University and in collaboration with the academic units which the libraries serve and support; to promote and develop the use of the libraries and their resources through interaction with the University community and through research and publication; and to make and enforce policies as desirable to ensure that the libraries’ resources and services advance learning, research, and scholarly inquiry in an environment dedicated to open, equitable, and productive exchange of scholarly information.

(See also [The University Senate](#), [Faculty Membership](#), and [Faculty Meetings](#).)

The Global Network

New York University, whose home was originally based only in New York City, encompasses a global network that consists of degree-granting campuses at NYU Abu Dhabi and NYU Shanghai, and global academic centers in Africa, Asia, Australia, Europe, North America, and South America. These include Accra; Berlin; Buenos Aires; Florence; London; Los Angeles; Madrid; Paris; Prague; Sydney; Tel Aviv; and Washington, D.C. This academic network offers NYU faculty a range of global and multi-disciplinary [opportunities for research, teaching, and scholarly collaboration](#).

The Faculty

This part of the Faculty Handbook, The Faculty, begins under the heading Faculty Membership, Faculty Meetings, and Faculty Titles. It is followed by: (1) a section on Policies that are applicable to all or most faculty; (2) a section on Policies that are applicable to the Tenured/Tenure Track Faculty; and (3) a section on Policies that are applicable to the Full-Time Continuing Contract Faculty. These sections include policies, procedures and conventions in the form of Bylaws, rules adopted by the Senate, and policy summaries. Individual schools may have additional, but not substitute, bylaws, policies and procedures relevant to faculty positions. Other important policies can be found in [Selected University Policies](#).

FACULTY MEMBERSHIP, FACULTY MEETINGS, AND FACULTY TITLES

The Bylaws approved by the Board of Trustees on June 11, 2014, effective September 1, 2014, and amended by the Board of Trustees on December 9, 2015, delineated three categories of faculty – the Tenured/Tenure Track Faculty, the Full-Time Continuing Contract Faculty, and Other Faculty; and established separate faculty councils for the first two categories, each having multiple faculty representation generally based on the size of each school’s faculty. The Bylaws of the University are explicit on the matter of who is a faculty member and on how voting rights are allotted; the relevant texts as amended and restated June 8, 2015 are reproduced here.

Faculty Membership [University Bylaws, Section 82]

- (a) Categories of Faculty. The faculty in a college or school is comprised of three categories: (i) Tenured/Tenure-Track Faculty; (ii) Full-Time Continuing Contract Faculty; and (iii) Other Faculty, as more fully described in Section 85-88 of the Bylaws.
- (b) Voting Members of Each Category of Faculty. The President and Chancellor, the Provost, and the dean of the faculty will be considered voting members of each category of faculty, as well as of any subset of a category of faculty. A deputy, senior, or vice provost liaison who has pertinent academic responsibilities will be selected by the Provost to serve as an Ex Officio voting member of each category of faculty, as well as of any subset of a category of faculty, of each of the colleges, schools, and portal campuses. Only the Tenured/Tenure Track Faculty may elect members of the Tenured/Tenure Track Faculty Senators Council and only the Full-Time Continuing Contract Faculty may elect members of the Full-Time Continuing Contract Faculty Senators Council. Only tenured faculty may vote on the awarding of tenure; only full Professors with tenure may vote on promotion to full Professor within the Tenured/Tenure Track Faculty and on the awarding of tenure to a faculty member hired as a full Professor. No faculty member may vote on a matter directly or indirectly affecting the individual’s candidacy for a degree or their status on the faculty at the University.
- (c) College and School Governance - Attendance at Faculty Meetings and Voting. Each of the Tenured/Tenure-Track Faculty and the Full-Time Continuing Contract Faculty of a college or school may hold its own faculty meetings and determine the voting privileges at such meetings of its members, and also may grant rights of attendance and voting privileges to other categories of faculty of the college or school at such meetings as it determines, in all cases subject to the provisions of subsection (b) of Section 82 of the University Bylaws. The dean of a college or school may hold faculty meetings and invite the Tenured/Tenure-Track Faculty and/or the Full-Time Continuing Contract Faculty, as well as of any subset of a category of faculty, of that

college or school, subject to the provisions of subsection (b) of Section 82 of the University Bylaws.

- d) Appointments in More than One College or School. A faculty member serving on a full-time basis in the University will be a full-time member of the faculty of each college and school in which the faculty member gives instruction regularly, but will have voting rights in the election of members of the Tenured/Tenure Track Faculty Senators Council or the Full-Time Continuing Contract Faculty Senators Council, as applicable, only in the college or school of the faculty member's principal assignment as determined for this purpose by the President and Chancellor.³
- e) Roster. The roster of Tenured/Tenure Track Faculty and of Full-Time Continuing Contract Faculty will be prepared and maintained on a current basis by the dean of the faculty, will be submitted to the Secretary and General Counsel for verification and filing in the official records, and will be available for reference at each faculty meeting.

Faculty Meetings [University Bylaws, Section 83]

The Tenured/Tenure Track Faculty and the Full-Time Continuing Contract Faculty in each college or school should hold at least four meetings each year, at such times and places and under such rules of procedure, as are consistent with these Bylaws. Such meetings may be joint meetings. Copies of the minutes of such meetings will be sent to the President and Chancellor and the Provost.

Faculty Titles

In 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in the Faculty Handbook in the section headed "Statement in Regard to Academic Freedom and Tenure." The Bylaws in effect at that time gave only brief descriptions of faculty titles; new Bylaws adopted since then give more ample descriptions. The text of Sections 85, 86, 87, and 88 of the University Bylaws, approved May 27, 1968, as amended September 1, 2014 and through December 9, 2015, is found below. In the event of conflict between earlier and later statements by the Board of Trustees, the most recent statement governs.

Since 1974, by action of the Board of Trustees, certain professional librarians of New York University also have had full faculty status. Their titles of rank are equated with those of the teaching ranks.

Tenured Faculty [University Bylaws, Section 85]

- a) Tenured Appointments. The Tenured Faculty consists of the Professors and Associate Professors who have full-time appointments at the University and who have been awarded permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that they have received the requisite approvals and has been awarded tenure. Only full-time Professors and Associate Professors may achieve permanent or continuous tenure at the University. Unless otherwise specified, Professors and Associate Professors are appointed for one year only, but they may

³ A summary of the duties and privileges of cross appointments can be found in [Cross Appointments: Rights in and Responsibilities to Secondary Unit](#).

be appointed for a longer period or without limit of time, subject to such rules respecting tenure as the Board may adopt.

- b) Libraries. Curators and Associate Curators in the Division of the Libraries and in the School of Law and certain, but not all, Curators and Associate Curators in the Robert I. Grossman School of Medicine are granted tenure rights under conditions similar to those applicable to tenured Professors and Associate Professors. Only full-time Curators and Associate Curators may achieve permanent or continuous tenure at the University.

Tenure Track Faculty [University Bylaws, Section 86]

- a) Tenure Track Appointments. The Tenure Track Faculty consists of Associate Professors and Assistant Professors who have full-time faculty appointments at the University and currently are not tenured but who may be eligible to be considered for permanent or continuous tenure at the University in accordance with University procedures for the awarding of such tenure, including receipt of a letter from an authorized senior academic official of the University advising the faculty member that their appointment is a tenure track appointment. Associate Professors and Assistant Professors are usually appointed for one year only, but full-time service in these ranks may be counted, to the extent permitted under the rules of the Board of Trustees, toward the attainment of tenure.
- b) Maximum Duration. A full-time Associate Professor or Assistant Professor on the tenure track in any college, school, division, or department except the Robert I. Grossman School of Medicine and its departments, the Long Island School of Medicine, or any of 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 awarded tenure at the expiration of seven years will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor on the tenure track in the Robert I. Grossman School of Medicine, or any of its departments, or in the Long Island School of Medicine, or any of its departments, or in the College of Dentistry, or any of its departments, or in the Rory Meyers College of Nursing, or any of its departments, who is not awarded tenure at the expiration of ten years will be ineligible for further full-time appointment in the University. A full-time Associate Professor or Assistant Professor in the Leonard N. Stern School of Business, or any of its departments, who is not awarded tenure at the expiration of nine years will be ineligible for further full-time appointment in the University. Service as a Full-Time Continuing Contract Faculty member or as an Other Faculty member may not be counted toward the attainment of tenure by persons who may become Tenure Track Faculty members.
- c) Notice. The appropriate dean or departmental chairperson will as a matter of academic courtesy give notice of these rules to Associate Professors and Assistant Professors on the tenure track in any school, college, division, or department except the Robert I. Grossman School of Medicine, and its departments, the Long Island School of Medicine, and its departments, the College of Dentistry, and its departments, the Rory Meyers College of Nursing, and its departments, and the Leonard N. Stern School of Business, and its departments, in the sixth year of service, or, in the Robert I. Grossman School of Medicine, or any of its departments, the Long Island School of Medicine, or any of its departments, and the College of Dentistry, or any of its departments, and the Rory Meyers College of Nursing, or any of its departments, in the ninth year of service, or, in the Leonard N. Stern

School of Business, or any of its departments, in the eighth year of service, but no untenured Associate Professor or Assistant Professor will acquire tenure rights on the ground that they did not receive a notice or reminder of this section of these Bylaws.

- d) Libraries. Associate Curators and Assistant Curators who may be eligible to acquire tenure in the Division of the Libraries and in the School of Law and certain Associate Curators and Assistant Curators in the Robert I. Grossman School of Medicine are appointed on the same terms and conditions as Associate Professors and Assistant Professors on the tenure track at the University, without extension of probationary period as provided for Associate Professors and Assistant Professors in the Robert I. Grossman School of Medicine, and are subject to the same prohibition on further full-time appointment if not promoted at the end of the specified periods.

Full-Time Continuing Contract Faculty [University Bylaws, Section 87]

- (a) Full-Time Continuing Contract Faculty Appointments. The Full-Time Continuing Contract Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from assistant to associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or a company). A Full-Time Continuing Contract Faculty member does not lose that status during the duration of their full-time faculty employment because the person has been advised that their contract will not be renewed. Full-Time Continuing Contract Faculty are not eligible for tenure.
- (b) Contracts and Titles. Full-Time Continuing Contract Faculty are appointed for a definite period of time and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Unless otherwise specified, Full-Time Continuing Contract Faculty are appointed for one year only, but they may be appointed for a longer period, subject to such rules respecting Full-Time Continuing Contract Faculty as the Board may adopt. Full-Time Continuing Contract Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Other Faculty titles. On rare occasions, the title of professor, associate professor, or assistant professor are utilized for Full-Time Continuing Contract Faculty, most commonly in the case of senior faculty who come to the University after a distinguished career at another institution and at the Abu Dhabi and Shanghai portal campuses. Titles also may include, among others, certain of the nontenure position titles set forth in Section 88 of these Bylaws.
- (c) Libraries. Associate Librarians of Practice and Assistant Librarians of Practice and certain Curators, Associate Curators, and Assistant Curators in the Robert I. Grossman School of Medicine who are appointed on the terms and conditions required for Full-Time Continuing Contract Faculty at the University are considered Full-Time Continuing Contract Faculty for purposes of these Bylaws.

Other Faculty [University Bylaws, Section 88]

- (a) Other Faculty Appointments. Other Faculty consists of faculty who are not Tenured/Tenure Track Faculty and who are not Full-Time Continuing Contract Faculty. They may include: (i) *emeritus* faculty; (ii) adjunct and other part-time faculty; (iii) faculty whose titles or appointments prohibit indefinite contract renewals; (iv) temporary faculty; (v) visiting faculty; (vi) instructors and (vii) full-time researchers while they maintain a secondary faculty title. Other Faculty are not eligible for tenure.
- (b) Contracts and Titles. Other Faculty are appointed for a definite period of time, not exceeding one academic year unless otherwise specified, and the appointment automatically terminates at the close of that period unless there is an official notice of renewal. Other Faculty have an array of titles, which may vary depending on the college or school, and which may overlap with Full-Time Continuing Contract Faculty titles. Titles may include, among others, certain of the non-tenure position titles set forth in Section 88 of these Bylaws.

Non-Tenure Positions [University Bylaws, Sections 87, 88, and 89]

Instruction or research service shall be without tenure implications of any kind, regardless of rank or title, if rendered in a part-time capacity, or in a temporary position, or in a program having a subsidy of limited duration. Sections 87(a) and 88(a) of the University Bylaws provide that Full-Time Continuing Contract Faculty and Other Faculty are not eligible for tenure. Sections 87(b) and 88(b) of the University Bylaws provide that appointment to a non-tenure position shall be for a definite period of time, not exceeding one academic year unless otherwise specified, and shall automatically terminate at the close of that period unless there is an official notice of renewal. Non-tenure positions, which may be faculty or non-faculty positions, include the following:

- instructor titles (e.g., instructor, clinical instructor, research instructor, assistant professor/instructor);
- research and scientist titles [e.g., research professor, research associate professor, research assistant professor, research scholar, associate research scholar, assistant research scholar, senior research scientist, research scientist, associate research scientist, assistant research scientist, professor (research), associate professor (research), assistant professor (research)]⁴, except when the title that includes research professor is conferred as a distinction upon a faculty member with tenure or on the tenure track);
- global titles (e.g., global distinguished professor, global professor, global visiting professor, global instructor, global professor, except when a title that includes global professor is conferred as a distinction upon a faculty member with tenure);
- adjunct titles (e.g., adjunct professor, adjunct associate professor, adjunct assistant professor);
- clinical titles (e.g., clinical professor, clinical associate professor, clinical assistant professor, professor (clinical), associate professor (clinical), assistant professor (clinical)⁵, master clinician);
- visiting titles (e.g., visiting professor, visiting associate professor, visiting assistant professor, visiting arts professor, visiting associate arts professor, visiting assistant arts professor);
- arts and music titles (e.g., arts professor, associate arts professor, assistant arts professor, music professor, music associate professor, music assistant professor, master artist, artist-in-residence);
- lecturer titles;

⁴ In the Robert I. Grossman School of Medicine and the Long Island School of Medicine, research professor, research associate professor, and research assistant professor denote part-time status; professor (research), associate professor (research), and assistant professor (research) denote full-time status.

⁵ In the Robert I. Grossman School of Medicine and the Long Island School of Medicine, clinical professor, clinical associate professor, and clinical assistant professor denote part-time status; professor (clinical), associate professor (clinical), and assistant professor (clinical) denote full-time status.

- titles related to the teaching of languages (e.g., senior language lecturer and language lecturer);
- teacher titles (e.g. master teacher, teacher, associate teacher, teaching fellow, teaching associate, teaching assistant);
- assistant and associate titles (e.g., library associate, research associate, assistant, clinical assistant, graduate assistant, research assistant);
- in residence titles (e.g., distinguished scientists in residence, writer in residence);
- industry titles (e.g., industry professor, industry associate professor, industry assistant professor, distinguished industry professor);
- scholar titles (e.g., scholar in residence, distinguished scholar, visiting scholar);
- practice titles (e.g., librarian of practice, professor of/from practice, associate professor of/from practice, assistant professor of/from practice); and
- fellow titles (e.g., assistant professor/faculty fellow);
- assistant professor/emerging scholar;
- emeriti titles (e.g., emeritus professor, emeritus clinical professor, emeritus arts professor, emeritus music professor, emeritus industry professor, emerita professor, emerita clinical professor, emerita arts professor, emerita music professor, emerita industry professor).

Any position designated by a title not specified in this chapter shall be a non-tenure position unless the Board of Trustees determines otherwise. Additional detail about non-tenure positions can be found at the website of the [Office of Academic Appointments, Non-Tenure Track Titles](#).

FACULTY POLICIES APPLICABLE TO ALL OR MOST MEMBERS OF THE FACULTY, INCLUDING TENURED/TENURE TRACK FACULTY, FULL-TIME CONTINUING CONTRACT FACULTY, AND OTHER FACULTY

The following faculty policies are applicable to all categories of faculty unless otherwise indicated.

Academic Freedom

This section on academic freedom is taken from Academic Freedom and Tenure, Title I: Statement in Regard to Academic Freedom and Tenure, which appears in full below under “Faculty Policies Applicable to Tenured/ Tenure Track Faculty.” This provision has been amended, from time to time, by the Board of Trustees.

Section II. The Case for Academic Freedom

“Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the faculty member in teaching and of the student in learning. Academic freedom imposes distinct obligations on the faculty member such as those mentioned hereinafter.”

Section IV. Academic Freedom

“Faculty are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for pecuniary gain, except in the case of sporadic and wholly unrelated engagements should be based upon an understanding with the administration of the University.

Faculty are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Faculty are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As men and women of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.”

Tenured/tenure track faculty members also are entitled to other protections, discussed in more detail in “Faculty Policies Applicable to Tenured/Tenure Track Faculty” below. Continuing Contract faculty are also entitled to other protections, discussed in more detail in “Faculty Policies Applicable to Full-Time Continuing Contract Faculty.”

Responsibilities of the Faculty Member

Members of the faculty 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, clinical activities and various kinds of University or outside professional service on committees and in administrative or advisory roles.

Members of the faculty are expected to handle their teaching assignments with professional skill. They should familiarize themselves with the overall organization of the University, and especially with the operations of the school or college in which they serve, and with its requirements and regulations, with which they will scrupulously comply. They should strive to be good citizens of the academic community, cooperative and efficient in meeting deadlines, submitting grades, and returning students' work with appropriate comments. 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 the department and the school. Ideally, they should also maintain interest in the current activities and problems of the larger community and in how the community and the University can benefit each other.

Tenured and tenure-track faculty should aim at the steady enlargement of knowledge in their fields—by enlarging their own knowledge through continuing study and by enlarging the knowledge of others through scholarly contributions. Faculty should keep abreast of publications about new developments in their subject area, and attend and actively participate in the meetings of appropriate learned societies. (Financial assistance in attending professional meetings may be available, according to the rules of the several schools and colleges.)

As noted in the Introduction to the Faculty Handbook (Ethical Commitment), all faculty are expected to carry out their institutional responsibilities in accordance with applicable legal and ethical principles, including those principles found in the [NYU Code of Ethical Conduct](#) and in this Handbook.

Teaching and Research Assignments for Full-Time Faculty

As regards full-time faculty members, long-standing University policy normally limits regular teaching assignments to the usual fall and spring terms (approximately early September to mid-May) or equivalent. In the Robert I. Grossman School of Medicine, the Long Island School of Medicine, the College of Dentistry, and the Rory Meyers College of Nursing, regular teaching and research assignments are September through August.

Full-time faculty may accept teaching, research or other employment either during the summer month(s) when they do not have regular teaching assignments, either at NYU or at another academic institution or another employer, and/or in NYU's January Term Session, provided such additional undertakings do not unduly interfere with the faculty member's efficiency and serviceability to the department and that they comply with the University's [Policy on Academic Conflict of Interest and Conflict of Commitment](#). In addition, with permission of the dean or chair, full-time faculty may be released from some teaching responsibilities during the academic year in order to conduct research or carry out administrative assignments. Assignments at NYU outside of the regular teaching obligations normally are made only as the result of a specific agreement with an individual faculty member.

Full-time teaching loads are determined administratively under guidelines approved by the Provost and the dean of the academic unit in consultation. No additional compensation by reason of teaching overload may be paid to a full-time faculty member during the period of a regular teaching assignment, except in emergency circumstances duly approved in advance by the dean of the school and the Office of the Provost. As an exception, teaching in the School of Professional Studies by a faculty member based outside of that school for additional compensation to the extent of one course per semester (in addition to a faculty member's regular assignment) will be permitted with the approval of the dean of the school in which the faculty member's principal services are rendered, but such arrangements are subject to review and renewed approval from year to year. Exceptions for additional compensation by reason of teaching overload also may be made for teaching and advising in the Gallatin School of Individualized Study by a

faculty member based outside of that school, and, in experimental programs. Exceptions for additional compensation also may be made for teaching at NYU Abu Dhabi and NYU Shanghai by a faculty member based outside the applicable campus.

Meeting Classes

The regulations of the University require all members of the faculty to be present for teaching duty and ancillary activities (e.g., committee work and student advisement) during the academic sessions to which they have been assigned. In addition, unless special arrangements have been made through the department or school, all members of the faculty are duty-bound to meet all their assigned classes at the place and hour scheduled. The length of the various academic sessions and the number of class meetings per session are set conformably to the requirements of the regulatory agencies for the different programs offered by the University, and may not be varied arbitrarily by individual faculty members.

In case of illness necessitating absence from class, the faculty member should communicate with the proper departmental officer or, if the latter is not available, with the dean. The department head or dean will determine what arrangements, if any, should be made to provide a substitute instructor or to make up the work of the class at a later date.

Calendar

The fiscal year for the University extends from September 1 through August 31. In most schools or colleges (except certain professional schools, where slightly different schedules obtain) the regular teaching year consists of two terms, beginning in early September and mid-January, respectively. The summer sessions conducted by the various schools or colleges occur for the most part during the period from May through August. The University also offers a [January Term Session](#). The calendars published in the University-wide and individual school bulletins will cite specific dates for each academic year conforming to local variations. This information is also available [online](#). The annual Commencement exercises are normally held in May.

Bulletins and Published (Including Online) Materials

Each school and college of the University, under the direction of its dean, issues its own bulletin or bulletins or other published (including online) materials describing entrance and degree requirements, programs of study, and the like. All official publications of a school's or college's requirements and programs must be as accurate and up-to-date as possible.

It is incumbent upon the individual faculty member whose particular courses are described therein to inform the departmental executive officer of all essential changes that may necessitate a revision of the course description in the published materials.

Restriction on Outside Employment

All faculty members compensated on a full-time basis are expected to devote their major energies to teaching, research, service, student counseling, and related activities at the University. This implies a limit on outside activities, particularly those that involve the rendering of service for extra compensation.

No one appointed to a tenured, tenure-track, or continuing contract faculty position at NYU may simultaneously hold a tenured, tenure-track, contract or similar position elsewhere. Tenured/Tenure Track Faculty and Full-Time Continuing Contract Faculty may not accept a concurrent academic appointment at

other institutions, except for in limited instances, as outlined in the [Policy on Academic Conflict of Interest and Conflict of Commitment](#). For Tenured/Tenure Track Faculty and Full-Time Continuing Contract Faculty, extramural activities that are consistent with the individual's overriding obligation to the University, including consulting and other business activities or external professional or academic endeavors, must be consistent with the principles outlined above and comply with the University's [Policy on Academic Conflict of Interest and Conflict of Commitment](#). Extramural activities may not involve on the average more than one day per seven-day week in any academic semester or in any summer month in which the faculty member is receiving compensation from the University.

Circumstances thought to merit exceptional treatment should be referred in writing to the appropriate dean and the Office of the Provost.

All full-time faculty and other faculty if requested by a school dean or the Office of the Provost must complete annually and submit to their school dean the faculty disclosure form then in effect, certifying their compliance with applicable University and school conflict of interest and conflict of commitment policies and disclosing the information requested about the faculty member's (and immediate family member's) outside activities and other interests related to the policies. Faculty members also may be required to complete disclosure forms at other times, such as when planning to participate in certain research projects. All faculty have an obligation to assure that they do not engage in activities that are prohibited by applicable University and school conflict of interest and conflict of commitment policies and to seek guidance in advance from their department chair, school dean, or the Office of the Provost if there is any reasonable doubt as to whether an activity may constitute a conflict of interest or a conflict of commitment.

It is the responsibility of departmental chairpersons and heads and of the deans of the various schools to protect the interest of the University in the full-time service of its full-time faculty, as well as its professional research and library staffs, and administration.

Limitation on Degree Candidacy

Section 81(c) of the University Bylaws provides: "No Tenured/Tenure Track Faculty member or Full-Time Continuing Contract Faculty member, other than librarians, will be permitted to enroll as a candidate for a degree or be recommended for a degree in course, unless specifically excepted by the Board. A degree candidate, other than a librarian, who accepts appointment as a Tenured/Tenure Track Faculty member or a Full-Time Continuing Contract Faculty member must thereupon relinquish such candidacy, unless specifically excepted by the Board."

While the rule does not prohibit a Tenured/Tenure Track Faculty member, Full-Time Continuing Contract Faculty member, or Other Faculty member from taking courses at this institution for credit to be applied elsewhere toward a degree, it does prohibit such an appointee from pursuing a course to be credited toward a degree at New York University. In applying the rule, the prohibition has been extended to administrators of policy-making rank.

New York State Oath Requirement

Section 3002 of the Education Law of the State of New York, as amended, requires in part that any United States citizen employed within the state as a teacher in a tax-supported or tax-exempt institution sign an oath or affirmation to support the Constitutions of the United States and of the State of New York.

This oath or affirmation must be executed by every newly appointed faculty member before the first class session and returned for filing with the records of the institution.

The requisite form for complying with the law is available from the [Office of Academic Appointments](#) and in the offices of the deans of the schools and colleges. Foreign nationals are not subject to this requirement.

Contingencies of Faculty Employment

Newly appointed full-time faculty members are expected to comply with all University requirements for employment. Employment of candidates to the Tenured/ Tenure Track Faculty and the Full-Time Continuing Contract Faculty is contingent upon the successful verification of the candidate's educational credentials. Verification is conducted through the University's employment verification process, and information on candidates who become NYU faculty members is retained in accordance with NYU's [Employment Records and Verification Policy](#) or other applicable policy.⁶ Additional University requirements for employment include, but are not necessarily limited to, I-9 verification of eligibility to work in the United States.

Compensation

The academic year salary of a full-time member of the faculty who teaches in a school's regular fall and spring terms (i.e., a nine-month appointment), as well as a full-time faculty member in the Robert I. Grossman School of Medicine, Long Island School of Medicine, College of Dentistry, and Rory Meyers College of Nursing who serves a longer academic year, normally is paid monthly in equal installments over twelve months.

Summer Salary

In addition to the academic year salary, faculty members appointed on a nine-month basis may receive up to three additional months of summer compensation from NYU sources and NYU-administered external sources combined.

Summer compensation from NYU sources is typically for teaching and/or administrative duties during the summer session, up to a total of three-ninths of the nine-month academic year base salary.

Summer compensation from NYU-administered external sources is typically for sponsored research and training activities. All faculty salaries charged to sponsored programs must be calculated based on the Institutional Base Salary, which is calculated as the nine-month academic base salary plus additional compensation from NYU sources for certain services during the academic year - principally administrative duties such as decanal or chair responsibilities - which typically are fixed in advance by the appointment letter or subsequent formal agreement. For faculty appointed on a nine-month basis, NYU's policy⁷ is to permit a maximum of 95% of one-ninth of Institutional Base Salary to be charged to a sponsor in any given month, including summer.

Payment for summer duties is normally made on one or more of the following dates, depending on the duration of the assignment: July 1, August 1, September 1.

⁶ The University's [Employment Records and Verification Policy](#) can be found online.

⁷ NYU's [Policy on Institutional Base Salary](#) can be found online.

In compliance with New York State Labor Law 195, at the time of hire NYU provides all new employees in New York (including faculty) with written confirmation of their salary, as well as pay schedules and pay frequency. The law requires that the employee sign the notice as acknowledgment of receipt.

Deductions from Salary

Deductions from the salary check are made for applicable income and other taxes (e.g., retirement taxes) as specified by law; and for applicable annuity, group insurance, disability income protection plan, dental plan, hospitalization and surgical-medical insurance premiums, and other benefits in accordance with individual requirements. Eligibility for benefits varies based on a variety of factors, including whether the faculty member is employed on a full-time versus part-time basis, whether the employee's benefits are dictated by a collective bargaining agreement, whether the employee is a temporary appointee, the country in which the faculty member is payrolled and/or performing services, and other factors.

Leave of Absence (Paid and Unpaid) and Workload Relief Policy

Applications for leave of absence of not more than seven days should be made to the applicable dean; applications for leave of absence for more than seven days require approval by the Office of the Provost.⁸

A leave of absence may not be granted to a faculty member who has accepted a tenured appointment elsewhere. As noted above, under "Restriction on Outside Employment," no one appointed to a tenured or tenure-track faculty position at NYU may simultaneously hold a tenured or tenure-track position elsewhere.

Leaves of absence for faculty performing services and/or payrolled outside of the United States may vary.

Upon return from a leave of absence, a faculty member's salary will be the salary at the time of leave plus any annual merit increase for which they might have been eligible. Such eligibility is determined by the school in accordance with University guidelines.

Leave without Pay for Professional Activities

Tenured/ Tenure Track Faculty and Full-Time Continuing Contract faculty are eligible for Leave without Pay (LWOP) for Professional Activities pursuant to the Guidelines for Personal Leave without Pay for Professional Activities.⁹

Approval by Dean and by Provost: The Provost delegates authority to deans and directors of institutes ("deans") to approve LWOP for up to one year (two consecutive semesters) for faculty who do not hold a tenured or tenure-track faculty position elsewhere. Dean's approval shall be conditional on receiving sufficient lead-time to accommodate the absence by a suitable replacement and to provide advance notification to students that the faculty member will not be in residence in a particular semester.

Approval by the Provost is required for a LWOP for more than two consecutive academic semesters; and for extension of an existing LWOP that would bring the total time away to more than two consecutive academic semesters. Extended LWOP may be approved on an exceptional basis, typically to permit

⁸ Information on Eligibility for Leaves for Faculty may be found [online](#).

⁹ Guidelines and application forms for Personal Leave without Pay for Professional Activities may be found [online](#) or directly at this [site](#) and this [site](#).

public service in the national interest. No commitments can be made to faculty prior to Provostial approval.

Grounds for Awarding LWOP for Professional Activity: LWOP may be granted to enable faculty to pursue professional activities that are judged to be appropriate for the faculty member and the University. Typically, LWOP is granted to permit faculty to

1. Accept temporary full-time assignment in public service.
2. Engage temporarily in full-time outside professional activities, such as but not limited to a fellowship or research award requiring residency elsewhere, a visiting appointment to conduct research at another university, a start-up company, or an artistic activity.
3. Accept a visiting appointment at another university pending that university's review for tenure; in such cases, LWOP is for one semester only.

Permit a recurring split appointment with another university, under an NYU approved written agreement; typically, LWOP is for every other semester.

LWOP is granted with the understanding that

1. Time toward sabbatical does not accrue while faculty are on LWOP and not carrying out full time service as members of the faculty.
2. For tenure-eligible faculty, LWOP for professional activities does not interrupt the tenure clock.
3. For the duration of the LWOP, the faculty member will not hold a tenured position or a tenure track position (or the equivalent at foreign institutions) other than at NYU. Tenured faculty who are considering a tenure appointment elsewhere may accept a visiting appointment, with tenure remaining in place at NYU.
4. At the end of the leave, the faculty member will either return to full-time status at NYU for no less than one year, or will resign their NYU faculty position.

New York Paid Sick Leave

Full-time faculty at NYU in New York receive 56 hours (8 days) of paid sick leave per academic year in accordance with applicable New York State and New York City law. Unused, accrued paid sick time will carry over from one academic year into the next; however, the maximum use of paid sick leave is 56 hours (8 days) per academic year. This paid sick leave runs concurrent with any paid illness/disability leave or other applicable leave for which faculty may be eligible.

Illness/Disability Leave

The salary of a Tenured/Tenure Track Faculty or a Full-Time Continuing Contract Faculty member may be continued for up to six months at the discretion of the dean, for absence caused by illness or disability, subject to approval by the Office of the Provost.

A physician's statement certifying that the faculty member is unable to work because of illness or disability and the date on which it is anticipated that the faculty member can return to work may be required. The University, in addition, may require that the faculty member be examined by a physician designated by the University at no cost to the faculty member.

A Tenured/Tenure Track Faculty or a Full-Time Continuing Contract Faculty member who is totally disabled for more than six consecutive calendar months may claim benefits under New York University's long-term disability insurance.

Time toward sabbatical does not accrue during illness/disability leave. For Tenure-Track Faculty, the tenure clock may be stopped for personal reasons, as provided in the NYU guidelines for *Tenure Clock Stoppage for Personal Reasons*.

Legally, an absence caused by inability to work because of pregnancy, childbirth, or related medical conditions must be treated at least as favorably as an absence caused by illness or disability for all employment-related purposes.

Child Birth Recovery Leave

At the time a Tenured/Tenure Track Faculty member or Continuing Contract Faculty member gives birth, the faculty member is entitled to an aggregate of six consecutive weeks of paid leave preceding and following the date of birth. No certification by a doctor will be required for child birth recovery leave unless the request for leave extends beyond six weeks. If the leave extends beyond six weeks, the faculty member may be eligible for illness/disability leave.

Workload Relief Policy (Approved by the University Senate March 1, 2007 and updated on November 6, 2023)

In order to provide relief to eligible Tenured/Tenure Track Faculty or Full-Time Continuing Contract faculty members faced with the additional demands of being a care-giver to a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, New York University's workload relief policy grants one semester of workload relief from classroom teaching and administrative committee work or two semesters of half relief from such duties, based on the individual's normal yearly workload, at full salary. Workload relief is intended to provide relief from normal duties. Faculty members should not be expected to "make up" duties in advance of or following the workload relief (for example, to teach extra courses in advance of or after the workload relief period). Rather, faculty on workload relief should be relieved of normal duties during the workload relief period. Workload relief is not considered a leave as faculty members are expected to make themselves available to the extent reasonable and practicable for their customary responsibilities of research, student consultation, and advising.

The faculty member's school remains financially responsible for the faculty member's salary during the workload relief period. Please see the [Workload Relief Form](#) for details.

Eligibility. Individuals eligible for workload relief benefits include all Tenured/Tenure Track Faculty and Full-Time Continuing Contract Faculty. To qualify for workload relief, the faculty member must be a parent responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care. If both parents could be eligible under this policy because they are both eligible full-time faculty, each such eligible faculty member could qualify sequentially for a half semester if the designation of qualifying parent changed, but the total amount of workload relief would not increase. To be eligible for workload relief, a parent must be a Tenured-Tenure Track or Continuing Contract faculty who as a parent is the caregiver for at least 20 hours during the workweek. Workload relief is not available to parents whose child is cared for more than half time during the work week by a spouse/partner and/or someone other than the individual receiving the relief.

In the case of a birth parent, workload relief will follow any child birth recovery leave taken. Workload relief will normally occur in the semester in which the adoption, foster care or guardianship takes place. If these events occur between semesters when classes are not in session, the first semester of the workload relief typically will be the following semester.

In the case of childbirth, at least five months before the start of the first semester of relief, a faculty member wishing to utilize workload relief for parenting should inform their department chair by filling out a Workload Relief Form, certifying that they are the qualifying caregiver and stating their intentions to take one (1) full semester or two (2) half semesters of relief. The form should be submitted to the person responsible at the faculty member's school for processing the request as listed on the Workload Relief contact sheet. Details of the workload relief arrangement must be decided in consultation with the department chair or, in schools without departmental organization, with the dean. In the case of adoption, foster care or guardianship, the faculty member should alert the department chair or dean as early as possible.

With respect to Tenure Track Faculty, tenure clock stoppage will be granted in accordance with the NYU guidelines on *Tenure Clock Stoppage for Personal Reasons*.

The one full semester of workload relief or two half semesters of workload relief will count as credit toward a faculty member's sabbatical leave. (See *Tenure Clock Stoppage for Personal Reasons*.)

This policy is not intended to replace leave available to faculty members who are eligible for leave for the birth of a child, an adoption, or foster care placement under the [Family and Medical Leave Act of 1993 \("FMLA"\)](#) as amended effective January 2010. FMLA will run concurrently with workload relief as either intermittent or reduced workload leave. An FMLA certification must be completed and submitted with the Workload Relief Form to determine FMLA eligibility. Eligible faculty members may still elect to take unpaid FMLA leave if they wish to provide no service while providing care for their newborn child, newly adopted child, or foster care or guardianship placement.

Parental Bonding Leave

Active full-time faculty whose titles fall in the category of "Other Faculty" (as described under Faculty Titles in this Faculty Handbook) may be eligible for parental bonding leave under NYU's [Parental Bonding Leave Policy and Procedure](#).

Personal Leave

Personal leave without pay may be granted at the discretion of the dean for a variety of reasons, including those cited below. Tenured/Tenure Track Faculty and Full-Time Continuing Contract Faculty may be granted one or more full semesters of leave without pay for compelling personal reasons, such as care of a seriously ill child, parent, spouse, or registered domestic partner. Leave by either parent for the purpose of taking care of a child or related activities, as distinguished from inability to work because of pregnancy or childbirth, is treated as personal leave.

Faculty members are entitled to all provisions of the federal Family and Medical Leave Act of 1993 that are not specifically provided for herein.

Time toward sabbatical and service toward retirement does not accrue during a personal leave without pay. For Tenure-Track Faculty, the tenure clock may be stopped for up to one year in the case of a personal leave of absence.

Benefits During Leave of Absence

During a leave of absence, benefits may be affected. PeopleLink should be contacted for details regarding how to continue benefit coverage and the length of time for which benefits may be continued. It is a faculty member's responsibility to contact PeopleLink to arrange for continuation of benefits.

Retirement

Retired faculty at NYU continue to be valued members of the University community. Detailed information about planning for retirement, retiree medical, dental, and vision plans, and discounts and privileges for retirees is available at NYU's Retiree Benefits web page.¹⁰ Additional information and resources, including Frequently Asked Questions about faculty retirement, financial workshops, research reports, and newsletters are available from the Retirement web page of NYU Work Life.¹¹ Eligible tenured faculty members may participate in the [Tenured Faculty Retirement Program \(TFRP\)](#).

Professor Emerita; Professor Emeritus

The honorific titles of Professor Emerita and Professor Emeritus are given only to full professors, including full professors with modified titles such as "Arts," "Clinical," "Music," and "Industry," who have served New York University with academic distinction for a long enough time prior to retirement to have become identified historically in the profession as New York University professors. Emeritus faculty retain the title held at the time of retirement, modified by the incorporation of the Emeritus or Emerita designation. This title is given only upon formal retirement from active service, or at least from full-time active service at NYU. A faculty member who is not eligible to retire from NYU under policies in effect at the time is normally not eligible for consideration for emeritus status. The title is not automatic. Nominations for the emeritus distinction must be recommended by a vote of the faculty member's (primary) department and endorsed by the department chair; in schools without department organization, the dean /director shall convene an ad hoc committee of at least three full-time faculty members at the level of full professor to consider nominations. The recommendation for emeritus status shall be reviewed by the dean /director, who may submit a recommendation and endorsement to the Provost, who makes the final decision.

Term of Administrative Appointments [University Bylaws, Section 77]

"Appointment to an administrative office, including but not limited to the office of executive dean, dean, vice dean, associate dean, assistant dean, director, secretary, department head, and department chair, will be without limit of time, unless otherwise specified, but may be terminated at any time without prejudice to a faculty member's tenure or contractual rights (a) by the President and Chancellor, or, in the case of the Robert I. Grossman School of Medicine and the Long Island School of Medicine, by the Executive Vice President for NYU Langone Health, or the Board; (b) in the case of an appointment other than an executive dean or dean or head, by the executive dean or dean, or by their respective designees; and (c) in the case of an appointment of a head, by the appropriate deans jointly or by the Provost." A faculty member's contracted rights are not affected solely by removal from an administrative position.

University Benefits

Benefit Plans and Services

¹⁰ NYU's [Retiree Benefits page](#) can be found online.

¹¹ Information on [Work Life & Wellness, Retirement](#) can be found online.

The [Benefits Office](#) provides information about the benefit plans and services available to faculty members, members of the professional research staffs, and administrative and professional staff members.

Housing for Faculty

At NYU, faculty housing is a critical strategic resource that has supported NYU's development into a national research university. Nearby housing helps to create a feeling of campus by bringing faculty, staff, and students together. It supports the academic mission of the University by increasing accessibility of faculty members to their students, their colleagues, and their research tools. Although NYU's rental resources are substantial, they are not sufficient to address all housing needs. University housing is allocated to faculty and staff in a manner designed to support, recruit and retain the full-time faculty of the University according to University priorities informed by the deans of the schools and colleges. University policies on Faculty Housing govern the allocation of housing: The highest priority is to house tenured and tenure track faculty, and among them, new faculty who will be joining NYU and who do not have housing in the metropolitan area. Almost equal priority is given to existing faculty who are of high retention importance as determined by the deans of each school. Additional information about faculty housing can be obtained at the web page of the Office of Faculty Housing and Residential Services, which is the comprehensive housing resource for NYU faculty.¹² Any questions should be addressed through the individual school dean's offices.

Service Recognition Awards

Full-time faculty will receive service recognition gifts upon completion of 10 years of service to the University, and every five-year milestone thereafter through 50+ years. The University also will present a certificate to every member of the faculty who has given 25 years of full- and/or part-time service to the University.

Travel Policies

Information about University policies and guidelines concerning travel and reimbursement rates is included in the [NYU Travel and Expense Policy](#). All faculty are encouraged to use [NYUTraveler](#), which was created to provide the NYU community with tools and services for their travel needs and to help keep them safer.

Verification of Employment at NYU

NYU provides a secure way for current and former employees to authorize third party verifiers to confirm their NYU employment (dates of employment and positions held) and salary information, as applicable, as detailed in the NYU [Employment Records and Verification Policy](#).¹³

Legal Matters

Legal Assistance Related to University Matters; Signing of Contracts; Service of Legal Papers

The handling of all legal matters arising from or pertaining to the operations of the University is the responsibility of the General Counsel of the University and only the Office of General Counsel is authorized to retain outside counsel on behalf of the University. All legal inquiries should be directed to the [Office of General Counsel](#).

¹² Information about [Faculty Housing and Residential Services](#) can be found online.

¹³ View the [Employment Records and Verification Policy, Employment Verification \(Third Party Verifiers\)](#) online.

Faculty members should not sign contracts, leases, or other agreements without proper written authorization, as well as required legal and financial reviews, and should not reply to communications received from attorneys concerning University business, whether telephone messages, faxes, emails or letters. Responses to such communications must be prepared in consultation between the Office of General Counsel and the faculty member concerned. Similarly, under no circumstances should anyone other than an officer of the University accept service of legal papers on behalf of the University, such as subpoenas, citations, court summonses, or violation notices. Anyone who wishes to serve such papers on the University should be referred to the Office of the General Counsel, which will accept them officially on behalf of the University.

Refusal by a faculty member to accept service on behalf of the University is not illegal; it is in fact the proper procedure and in the best interests of the University. If a process server refuses to be cooperative and insists upon leaving the papers, immediately call the Office of General Counsel, and ask for instructions.

The Office of General Counsel is responsible only for official University business and does not provide personal legal assistance except in the special instances described in the policy [Legal Protection for Faculty Members](#). In exceptional cases, however, the Office of General Counsel will, upon request, suggest legal organizations or other counsel to University personnel in need of such assistance.

Faculty Appointments in More Than One Unit at NYU

Faculty appointments in more than one school (cross-appointments) may be made in one of three University approved categories, Joint, Associated, and Affiliated, which carry designated [rights, privileges and responsibilities](#).¹⁴ Terms of appointment, including recruitment and review for reappointment, promotion, and tenure, are governed by University policies and school procedures. Cross-appointments across the University's global network of degree-granting campuses in New York, Abu Dhabi, and Shanghai conferred the Global Network Professor (GNP) [title](#) as an additional secondary title upon eligible faculty based in NYU Abu Dhabi and NYU Shanghai, and in some cases upon eligible faculty based in New York beginning in 2015. The GNP title will be retained by all faculty who received it; however, the title is not conferred for appointments that result from searches with start dates after June 1, 2020.¹⁵

¹⁴ See the chart of the Office of Academic Appointments [Cross Appointments: Rights, Privileges and Responsibilities](#) online.

¹⁵ See [Global Network Professor Titles. Fact Sheet and Guidelines for Administrative Processing](#) online.

FACULTY POLICIES APPLICABLE TO TENURED AND TENURE TRACK FACULTY

This part of the Faculty Handbook begins under the heading Academic Freedom and Tenure with Titles I-VII of the University's formal rules of tenure and related provisions. As noted in the preceding section, Faculty Titles, in 1960, the Board of Trustees issued a comprehensive statement on the subject of permanent or continuous tenure. It appeared in a section headed "Statement in Regard to Academic Freedom and Tenure." This provision has been amended, from time to time, by the Board of Trustees. The current provision is set forth below.

General criteria for promotion and tenure for tenured and tenure-track faculty are cited in Title I, Article V. The core principles and procedures for tenure and promotion at the University appear in the [New York University Promotion and Tenure Guidelines](#). In addition, colleges and schools have their own internal rules, procedures, and policies, such as statements on faculty appointment policies and procedures, particularly those concerning promotion and tenure criteria and review procedures, which may supplement – but do not supersede or replace – policies outlined in this Faculty Handbook unless an exception has been granted by the Board of Trustees or President and Chancellor. In case of conflicts between school policies and the Faculty Handbook, the text of the Faculty Handbook will govern.

Academic Freedom and Tenure

(Titles I and II were adopted by the University Board of Trustees on October 24, 1960, and have been amended through October 12, 2023).

Title I: Statement in Regard to Academic Freedom and Tenure

Article I. Authorization by the Board of Trustees

The Board of Trustees of New York University has authorized the following statement in regard to academic freedom and tenure at New York University. It reserves the right to amend this statement at its discretion, but no amendment shall take away a status of permanent or continuous tenure acquired before such amendment.

Article II. The Case for Academic Freedom

Academic freedom is essential to the free search for truth and its free expression. Freedom in research is fundamental to the advancement of truth. Freedom in teaching is fundamental for the protection of the rights of the faculty member in teaching and of the student in learning. Academic freedom imposes distinct obligations on the faculty member such as those mentioned hereinafter.

Article III. The Case for Academic Tenure

Academic tenure is a means to certain ends, specifically: (1) freedom of teaching and research; and (2) a sufficient degree of economic security to make the profession of teaching attractive to individuals of ability.

Article IV. Academic Freedom

Faculty are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, but outside occupations and research for

pecuniary gain, except in the case of sporadic and wholly unrelated engagements, should be based upon an understanding with the administration of the University.

Faculty are entitled to freedom in the classroom in discussing their subject, but they should not introduce into their teaching controversial matter that has no relation to their subject.

Faculty are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but this special position in the community imposes special obligations. As individuals of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they at all times should be accurate, should exercise appropriate restraint, should show respect for the opinions of others and for the established policy of their institution, and while properly identifying themselves to outside audiences as associated with the University should clearly indicate that they are not institutional spokespeople unless specifically commissioned to serve in such a capacity.

Article V. Academic Tenure

1. [Part-time positions and other positions] A distinction is made between part-time and full-time members of the faculty. Unless their notices of appointment explicitly state that they are appointed for full-time teaching service, officers of instruction, of whatever rank, are considered part-time members of the faculty. The full-time members of the faculty are those faculty who give full-time service to the University and whose notices of appointment explicitly so indicate.

All part-time appointees to the University staff, irrespective of title, rank, or cumulative length of service, are entitled to no right of tenure, and their appointments are limited strictly to the periods stipulated in the official notices thereof. Likewise, all instructors, and all those receiving appointment in such temporary capacities as fellow, assistant, associate, lecturer, or as acting, adjunct, clinical, and visiting officers of instruction in the several ranks, whether rendering full- or part-time service, are ineligible for tenure on the basis of such service and are restricted in the duration of their connection with the University to the period stipulated in the official notices of appointment. The same stipulation applies to personnel appointed with professorial or other titles, whether on full- or part-time service, on subsidized assignments such as sponsored research, or in teaching programs where expense of the program is dependent upon a subsidy of limited duration.

2. [Tenure described] The general policy of the University with respect to probation and tenure for full-time assistant professors, associate professors, and professors is given below. After expiration of the stipulated probationary periods, full-time associate professors and professors are considered to have permanent or continuous tenure, and their services are to be terminated only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division. It is understood that the University has the right to reduce the length of the probationary period in specific cases.
3. [Assistant Professor] The rank of Assistant Professor should be granted only to those who have proved their worth as faculty members and have given evidence of character and productive scholarship. The assistant professor should possess the maturity and attainment in

the field of scholarship or professional practice of which the doctor's degree is usually the testimonial. Appointment to an assistant professorship carries with it the possibility but no presumption of reappointment and includes no right to permanent or continuous tenure or to further reappointment, or to promotion to any higher rank.

A full-time assistant professor in any school, college, division, or department except the Robert I. Grossman School of Medicine and its departments, the Long Island 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. A full-time assistant professor in the Robert I. Grossman School of Medicine or any of its departments, the Long Island School of Medicine and its departments, the College of Dentistry or any of its departments, or the Rory Meyers College of Nursing and any of its departments, who is not promoted at the expiration of ten years as a full-time assistant professor shall be ineligible for further full-time appointment in the University. A full-time assistant professor in the Leonard N. Stern School of Business or any of its departments, who is not promoted at the expiration of nine years as a full-time assistant professor shall be ineligible for further full-time appointment in the University.

4. [Associate Professor] The rank of Associate Professor should be granted only to those who, in addition to all the qualifications for an assistant professorship, have an unusual contribution to make to the University through the excellence of their character, teaching, productive scholarship, or other educational service. There is no presumption in appointing an Associate Professor that the Associate Professor will later be promoted. Reappointment as an associate professor does not imply any subsequent appointment at higher rank.

Under any of the following conditions the appointment or reappointment of an associate professor carries with it the right of continuous or permanent tenure if it is for:

- (a) the sixth year as a full-time associate professor at New York University; or
- (b) the eighth year as a full-time faculty member at New York University in the rank or ranks of assistant professor or associate professor in any school, college, division, or department except the Robert I. Grossman School of Medicine and its departments, the Long Island School of Medicine and its departments, the College of Dentistry and its departments, the Rory Meyers College of Nursing and its departments, and the Leonard N. Stern School of Business and its departments, or
- (c) the eleventh year as full-time faculty member at New York University in the rank or ranks of assistant professor or associate professor in the Robert I. Grossman School of Medicine or any of its departments, the Long Island School of Medicine and its departments, the College of Dentistry or any of its departments, or the Rory Meyers College of Nursing or any of its departments; or
- (d) the tenth year as full-time faculty member at New York University in the rank or ranks of assistant professor or associate professor, in the Leonard N. Stern School of Business or any of its departments, or

- (e) in any school, college, division, or department except the Robert I. Grossman School of Medicine and its departments, the Long Island School of Medicine and its departments, the College of Dentistry and its departments, the Rory Meyers College of Nursing and its departments, and the Leonard N. Stern School of Business and its departments, the fifth year as a full-time faculty member at New York University in the rank or ranks of assistant professor or associate professor if this fifth year follows a term of more than three years, (i.e., not less than seven semesters) of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this Article V, Exclusion of Full-Time Teaching Service at Another Institution.
- (f) in the Robert I. Grossman School of Medicine or any of its departments, the Long Island School of Medicine and its departments, the College of Dentistry or any of its departments, or the Rory Meyers College of Nursing or any of its departments, the eighth year as a full-time faculty member at New York University in the rank or ranks of assistant professor or associate professor if this eighth year follows a term of more than three years, (i.e., not less than seven semesters) of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided in paragraph six of this section;
- (g) in the Leonard N. Stern School of Business or any of its departments, the seventh year as a full-time faculty member at New York University in the rank or ranks of assistant professor or associate professor if this seventh year follows a term of more than three years, (i.e., not less than seven semesters) of full-time teaching in one or more institutions of higher education other than New York University in the rank or ranks of assistant professor, associate professor, or professor, except as provided under number six of this section.

A candidate for their 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 contingent on a positive outcome of the tenure review, and this condition shall be recorded in the appointment letter.

5. [Professor] The rank of Professor should be granted only after careful consideration of the individual's character, scholarship, productivity, teaching ability, and reputation among peers in their own field, as well as their capacity for inclining students toward noteworthy attainments. It should be granted only to individuals who have been so tested that there is reasonable certainty of their continuing usefulness throughout the remainder of their working years. It should never be granted as the reward of seniority and should be reserved as a mark of distinction in the field of scholarship and instruction. It should never be granted as a recognition of usefulness in administration.

Under any of the following conditions the reappointment of a professor carries with it the right of continuous or permanent tenure:

- (a) if the reappointment is for the fourth year as a full-time professor at New York University; or
- (b) if the reappointment is for the sixth year as a full-time professor or associate professor at New York University; or
- (c) in any school, college, division, or department except the Robert I. Grossman School of Medicine and its departments, the Long Island School of Medicine and its departments, the College of Dentistry and its departments, and the Rory Meyers College of Nursing and its departments, and the Leonard N. Stern School of Business and its departments, if the reappointment is for the eighth year as a full time faculty member at New York University in the rank or ranks of assistant professor, associate professor, or professor;
- (d) in the Robert I. Grossman School of Medicine or any of its departments, the Long Island School of Medicine and its departments, the College of Dentistry or any of its departments, or the Rory Meyers College of Nursing or any of its departments, if the reappointment is for the eleventh year as a full-time faculty member at New York University in the rank or ranks of assistant professor, associate professor, or professor;
- (e) in the Leonard N. Stern School of Business or any of its departments, if the reappointment is for the tenth year as a full-time faculty member at New York University in the rank or ranks of assistant professor, associate professor, or professor, or
- (f) in any school, college, division, or department except the Robert I. Grossman School of Medicine and its departments, the Long Island School of Medicine and its departments, the College of Dentistry and its departments, the Rory Meyers College of Nursing and its departments, and the Leonard N. Stern School of Business and its departments, if the reappointment is for the fifth year as a full-time faculty member at New York University in the rank or ranks of assistant professor, associate professor, or professor and follows a term of more than three years of full-time teaching in the rank or ranks of assistant professor, associate professor, or professor in one or more institutions of higher education other than New York University except as provided under number six of this section;
- (g) in the Robert I. Grossman School of Medicine or any of its departments, the Long Island School of Medicine and its departments, the College of Dentistry or any of its departments, and the Rory Meyers College of Nursing or any of its departments, if the reappointment is for the eighth year as a full-time faculty member at New York University in the rank or ranks of assistant professor, associate professor, or professor and follows a term of more than three years of full- time teaching in the rank or ranks of assistant professor, associate professor, or professor in one or more institutions of higher education other than New York University except as provided under number six of this section;
- (h) in the Leonard N. Stern School of Business or any of its departments, if the reappointment is for the seventh year as a full-time faculty member at New York University in the rank or ranks of assistant professor, associate professor, or professor and follows a term of more than three years of full-time teaching in the ranks of assistant

professor, associate professor, or professor in one or more institutions of higher education other than New York University except as provided under number six of this section.

A candidate for their 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 contingent on a positive outcome of the tenure review, and this condition shall be recorded in the appointment letter.

6. [Exclusion of prior full-time teaching service at another institution] When full-time teaching service at another institution of higher education does not meet the criteria recognized for service at New York University, that service may be excluded from the probationary period under paragraph 4, clause (e) to (g), or paragraph 5, clause (f) to (h), of this Article V. In determining whether prior service at another educational institution should be excluded, consideration shall be given to whether or not the prior service: (a) was at an Association of American Universities' institution or equivalent; (b) followed the attainment of the terminal degree; (c) was in a tenure earning position; and (d) related factors. Recommendations that service at another institution of higher education be excluded from the probationary period should be predicated on a written agreement between the prospective faculty member and the dean, and should be submitted by the dean to the Provost for approval before the initial appointment is effective. The faculty member will be notified in writing by the dean, upon consultation with the Office of the Provost, whether or not prior service will be included within the probationary period at New York University.
7. [Administrative posts; promotions] Appointment to administrative posts may be terminated or modified by the University Board of Trustees without prejudice to the teaching rights of officers holding such positions. If a faculty member gains permanent or continuous tenure at New York University in one rank, the faculty member's tenure will not be invalidated by subsequent promotions in rank.

Article VI. Notification of Resignation

The following provisions shall apply to notifications of resignation:

1. [Early notice] Notification of resignation ought, in general, to be early enough to obviate serious difficulty to the University, the length of time necessarily varying with the circumstances of the particular case.
2. [Minimum notice] Subject to this general principle it would seem appropriate that a professor or an associate professor should ordinarily give not less than four months' notice and an assistant professor or instructor not less than three months' notice.
3. [Notification before resignation] It is assumed that a faculty member may answer an informal inquiry about whether the faculty member would be willing to consider leaving for another institution under specified conditions without previous consultation with University officials, with the understanding, however, that if a definite offer follows the faculty member will not accept it without giving such notice as is indicated in the preceding provisions. A faculty member is at liberty to ask their dean to reduce, or waive, the notification requirements there specified, but the faculty member is expected to conform to their decision on these points.

Article VII. Whom Tenure Cannot Protect

Nothing in this statement is to be interpreted as giving the protection of tenure to anyone who advocates the overthrow of the government of the United States by force, violence, or any unlawful means.

Title II: Appointment and Notification of Appointment

(Titles I and II were adopted by the University Board of Trustees on October 24, 1960, and have been amended through October 12, 2023.)

Article VIII. General Appointment Procedures Affecting the Full-Time Tenure-Earning Ranks

1. [Recommendation by department] Recommendations of appointment or reappointment of full-time assistant professors, associate professors, and professors, who have not achieved permanent or continuous tenure, shall be made by the chief executive officer of each department to the appropriate dean. The chief executive officer is the head of an all-University department or the chairperson of a school or college department that is not part of an all-University department.
2. [Advisory body] In the preparation of their recommendation the chief executive officer of each department shall have the counsel of an advisory body of tenured faculty members of the department. In case the chairperson is not the chief executive officer of the department, the chairperson of a school or college department in which a recommendation for appointment is under consideration shall be a member of the advisory body of tenured faculty members.
3. [Establishing advisory body] Each academic department shall, in accordance with its own procedures, establish an advisory committee on appointments.
4. [Transmitting recommendations] The department head or chairperson shall transmit to the appropriate dean, along with the department chairperson's recommendation and reasoning, the recommendation and reasoning of the advisory body, together with their names, the method of their selection, and a report of the numerical vote.
5. [Recommendations by dean] In schools without a departmental organization, the dean, in the preparation of the dean's recommendations of appointment, shall have the counsel of an advisory body of tenured faculty members of the school. The dean shall notify the faculty members of the school of the composition of the advisory body, and the method of their selection.
6. [Approval by dean] The dean shall approve or disapprove the recommendation, and shall notify the department head or chairperson if there is a departmental organization, and the advisory body, of the ultimate decision along with reasons therefor if the recommendation is disapproved.
7. [Other advisory bodies] Nothing in the appointment procedures described above shall be construed to preclude the possibility that other advisors or advisory bodies or student groups may be consulted to meet the needs of individual schools or specific situations.
8. [Materials in the tenure dossier] Awarding of tenure is based on the understanding that the material provided by the faculty member in their dossier, is true and accurate. If it should become clear that the materials submitted by the faculty member as part of the tenure review are not true and accurate in significant ways, as determined by the Dean and/or the Provost, the case will be reviewed and may be referred for a disciplinary review.

Article IX. Notification of Non-Tenured Faculty Members

1. [Notification; prospects] During their probationary period, each full-time assistant professor, associate professor, and professor shall undergo a performance review which shall typically include the faculty member's preparation of an annual report, and review by the department head or chairperson (in schools with departmental organization) and the dean, including discussion of the faculty member's progress in advancing to tenure. In addition to the current requirement of yearly notice to each faculty member, a formalized early review on tenure prospects is to be completed in the third year of service in the probationary period for assistant professors whose probationary timetable is not shortened due to qualifying previous service. In the Robert I. Grossman School of Medicine and any of its departments, the Long Island School of Medicine and its departments, the Leonard N. Stern School of Business and any of its departments, the College of Dentistry and any of its departments, and the Rory Meyers College of Nursing and its departments, a formalized early review on tenure prospects is to be completed in the third year of service for all assistant professors and in the third and sixth year of service for assistant professors whose probationary timetable is not shortened due to qualifying previous service.
2. [Notification; no reappointment] Notice of intention not to reappoint a full-time assistant professor, associate professor, or professor shall be sent to the individual affected according to the following schedule:
 - (a) Not later than March 1 of the first year of academic service, if the appointment is to be terminated on August 31.
 - (b) Not later than December 15 of the second year of academic service, if the appointment is to be terminated on August 31.
 - (c) In all other cases, not later than August 31, if the appointment is to be terminated on the following August 31, or not later than one year before the termination of the appointment.

However, a faculty member whose period of appointment is due to terminate on a date other than August 31, after receipt of the notice required by this paragraph 2, shall have the right, upon written notification to the faculty member's dean at least 120 days prior to the termination date of the period of appointment, to an extension of the faculty member's appointment until the following August 31. That right shall be communicated to the faculty member in the notice required by this paragraph 2. Under no circumstances shall such extension of appointment, however described, be considered to create any right to further appointment nor shall it, or any other faculty appointment, carry with it a right of continuous or permanent tenure in the absence of written notice awarding such tenure after the carrying out of the procedures described above in Article VIII.

Article X. Tenure Appointments

1. [Procedure] In addition to the general appointment procedures, the process of recommending an appointment that would result in tenure shall be as follows:
 - (a) The dean shall forward their recommendation by June 1 to the Provost, with a copy to the department head or chairperson and to the advisory body or, in schools without departmental organization, to the dean's advisory body. The dean's recommendation shall

be accompanied by the recommendations the dean has received from the department head or chairperson and the advisory body.

(b) The Provost shall support or oppose the dean's recommendation in the Provost's recommendation to the President and Chancellor, and shall notify the dean of the final decision, along with reasons therefor, if the recommendation is disapproved. The dean in turn shall communicate the decision to the department head or chairperson, if there is a departmental organization, and to the advisory body. The dean shall notify the affected faculty member of the decision.

2. [Negative recommendations] In the case of an appointment that would, if made, complete the stipulated probationary period and result in tenure, negative recommendations as well as positive ones shall be transmitted by the department head or chairperson to the dean, and by the dean to the Provost.

Title III: Faculty Obligations and Disciplinary Sanctions, Applicable to All Faculty¹⁶
(Titles III, IV, V, and VI were adopted by the Board of Trustees on October 12, 2023)

1. [General obligations]. All faculty members have an obligation to comply with the rules and regulations of the University and its schools, colleges, and departments. These rules protect the rights and freedoms of all members of the academic community.
2. [Particular obligations]. In particular, all faculty members are obligated to live up to the standards of academic freedom as outlined in this Handbook. Disciplinary action may also follow when the faculty member violates a policy of the University, such as the [Rules for the Maintenance of Public Order](#), engages in any action that interferes with the regular operations of the University or the rights of others, commits any serious violation of the law, engages in any other conduct not protected by academic freedom that is prejudicial to the teaching, research, or welfare or reputation of the University, or in any conduct not protected by academic freedom unbecoming a member of the faculty.
3. [Disciplinary regulations and procedures for Tenured, Tenure-Track and Full-Time Continuing Contract Faculty].
 - a. Disciplinary Regulations and Procedures for a dean or the Provost to seek sanctions of termination or suspension of a tenured faculty member are outlined in Title IV.
 - b. Disciplinary Regulations and Procedures for termination or suspension for a nontenured faculty member on the tenure track are outlined in Title V.
 - c. Disciplinary Regulations and Procedures for other sanctions for tenure-track and tenured faculty are outlined in Title VI.
 - d. Disciplinary Rules and Proceedings for tenure-track and tenured faculty in the Robert I. Grossman School of Medicine are outlined in Title VII.
 - e. Procedures for Full Time Continuing Contract Faculty are outlined below in Faculty Policies Applicable to Full Time Continuing Contract Faculty.
4. The requirement to undergo training is not considered a sanction and cannot be grieved.

¹⁶ Titles III, IV, and V, and VI are superseded by Title VII, for tenured and tenure track faculty members at the Robert I. Grossman School of Medicine

Title IV: Disciplinary Regulations and Procedures to Terminate or Suspend a Tenured Faculty Member

Article XI. Initiation of Proceedings to Terminate or Suspend a Tenured Faculty Member

1. [Termination or suspension for cause]. When a member of the faculty has permanent or continuous tenure or is serving an appointment for a term of years which has not expired, the faculty member may be terminated or suspended by the University only for adequate cause, except in the case of retirement, or under extraordinary circumstances because of financial exigencies, or because of the discontinuance of a considerable part of the University, such as a college, school, or division or a department in a college, school, or division.¹⁷
2. [Adequate cause]. Adequate cause includes (but is not limited to) one or more of the following: incompetent or inefficient service; neglect of duty; repeated and willful disregard of the rules of academic freedom as set forth in this statement; physical or mental incapacity; or any other conduct not protected by academic freedom that is of a character seriously prejudicial to the faculty member's teaching or research or to the welfare or reputation of the University, including, in certain circumstances, violations of the general and particular obligations set out in Sections 1 and 2 of Title III. [Cf. University Bylaws, Section 92, Removal of Tenured Faculty and Tenured Librarians.]
3. [Initiation of proceedings]. Whenever the President and Chancellor or the Provost, or the dean of a college, school, or division of the University with the assent of the President and Chancellor or the Provost shall deem such action is warranted, that person shall initiate proceedings to terminate or suspend the service of a tenured member of the faculty by providing the faculty member involved (the "respondent") with written notice [by registered mail or email], setting forth clearly and directly all charges against the respondent and informing the respondent of their rights under this section, the University's Bylaws, and the rules regulating proceedings on such charges. Among those rights to be included in the written notice the respondent shall be entitled to a hearing before a hearing panel of the Tenured/Tenure Track Faculty Senators Council Faculty Tenure Committee; a full record of the hearing shall be given to the parties concerned; and, in the hearing of charges of incompetence, the testimony should include that of faculty or other scholars, whether from this University or from other institutions.
4. [Summary suspension]. Summary suspension pending termination or suspension proceedings is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor or the Provost, or the dean of the college, school, or division involved with the assent of the President and Chancellor, whenever, in the President and Chancellor's judgment, continuance of the respondent in service threatens substantial harm to themselves, to others, or to the welfare or reputation of the University. Unless legal considerations forbid, any such suspension shall be with full base pay. At any time during the pendency of termination proceedings, the President and Chancellor may lift or modify any suspension in the interest of substantial justice.
5. [Informal resolution]. When a disciplinary proceeding to terminate or suspend is initiated against a tenured faculty member, an effort may be made to resolve the matter informally under the direction of the President and Chancellor or the Provost, or the dean with the assent of the

¹⁷ The Board of Trustees has approved resolutions concerning [Procedures for Termination and Reorganization of Programs](#) dated December 10, 1979 and December 1, 1997.

President and Chancellor or the Provost. Where the charge is against the dean as a faculty member, the informal effort may be under the direction of the President and Chancellor or Provost. An effort at informal resolution is not required, and is at the discretion of the President and Chancellor or the Provost, or the dean. Where the matter is not resolved in this manner, disciplinary proceedings shall proceed.

6. [Respondent's obligation]. The respondent shall serve a written answer upon the respondent's dean and the President and Chancellor within twenty working days after service of the charges and notice upon the respondent admitting or denying each of the allegations contained in the charges and setting forth any defenses to the charges. The time for service of the answer may be extended by the President and Chancellor or the Provost in the interests of substantial justice.
7. [Referral to Tenured/Tenure Track Faculty Senators Council]. Upon receipt of the answer of the respondent, the dean shall forward to the chairperson of the Tenured/Tenure Track Faculty Senators Council ("T-FSC") copies of the written charges and of the answer to such charges.
8. If the respondent fails to serve a written answer within twenty working days, or any extension of such time, the dean shall nevertheless forward the charges to the chairperson of the T-FSC with a statement showing that no answer has been served by the respondent.

Article XII. The Faculty Tenure Committee Hearing Panel

1. [Appointing the Faculty Tenure Committee Hearing Panel]. Within fifteen working days after submission of the charges and answer, or of the charges alone, as the case may be, to the chairperson of the T-FSC, the chairperson shall appoint a panel of five (5) members of the T-FSC, one of whom shall be from the respondent's school, to serve as the Faculty Tenure Committee hearing panel. The members of the Faculty Tenure Committee hearing panel will be the longest serving TFSC members in their schools, with the provision that members of the Faculty Tenure Committee hearing panel must all be tenured faculty members. No members of the hearing panel shall have a conflict or the appearance of a conflict in reviewing the matter. If no faculty member of the T-FSC from the respondent's school is available or declines to serve, the chairperson of the T-FSC shall appoint any tenured faculty member from the respondent's school. The committee shall not include departmental chairpersons or departmental heads or any faculty whose primary assignment is administrative.
2. [Jurisdiction]. The Faculty Tenure Committee hearing panel shall only have jurisdiction to establish a hearing panel to hear the charges against a tenured faculty member in proceedings under this Title.
3. [Chairperson]. The Faculty Tenure Committee hearing panel shall elect a Committee chairperson from among its members, when it is called upon to consider a case.
4. [Term of Service]. Once identified to serve in a particular case, the members of the Faculty Tenure Committee hearing panel shall continue to serve until the completion of all proceedings, except as otherwise provided by these rules.

Article XIII. Conduct of Hearings before the Hearing Panel of the Faculty Tenure Committee

1. [The Arbitrator]. An arbitrator who is an attorney shall be the presiding officer at the hearing on the charges. The arbitrator shall preside over the hearing and rule on all procedural matters,

including the admissibility of evidence, subject to the right of each party to appeal to the Faculty Tenure Committee hearing panel.

The arbitrator shall be chosen from a list of 15 qualified attorney-arbitrators compiled by the American Arbitration Association at the request of the Office of General Counsel. The charging party and the respondent each may strike up to five (5) names from the list and each shall rank, in order of preference, the names of those whom they have not stricken. The Association shall then designate as the arbitrator the available person with the highest degree of joint preference of the parties, and shall so advise the charging party and the respondent. Should more than one available person have an equally high joint preference, the Association shall select the arbitrator by lot from those with the highest joint preference.

2. [The calendar]. A calendar of hearing dates shall be fixed by the chairperson of the Faculty Tenure Committee hearing panel after consultation with the parties to the proceeding and the arbitrator; the calendar shall be read into the record on the opening day of the hearing; it shall be adhered to unless the Faculty Tenure Committee hearing panel orders exceptions for due cause.
3. [Representation for the respondent]. Where both (i) the respondent has failed to serve an answer to the charges and (ii) where it further appears that the respondent is unable to understand the charges and to participate meaningfully in the proceeding, the Faculty Tenure Committee hearing panel shall obtain the services of a qualified person to represent the respondent. The qualified person shall be a member of the tenured faculty.
4. [Review of suspension]. In the event of summary suspension, the propriety and effect of such suspension shall be reviewed by the Faculty Tenure Committee hearing panel when it commences its proceedings on the merits of the charges made, and the panel may recommend to the President and Chancellor that the suspension be revoked or limited in its effects pending the outcome of the proceeding.
5. [Procedural rules].
 - a. Upon appeal of a decision of the arbitrator, the decision of a majority of the members of the hearing panel shall control.
 - b. The hearing panel shall have the power to extend the time appointed in these procedures for doing any act or taking any proceedings, where the interests of substantial justice appear to so require.
 - c. The hearings shall not be restricted by the rules of procedure or of the admissibility of evidence which prevail in the courts of law. Each member of the hearing panel, at the hearing, may inquire into whatever is believed relevant to the inquiry.
 - d. Whenever the proceedings originate from a finding of scientific misconduct in accordance with the separate rules governing such proceedings, the hearing panel shall deem the report of the earlier committee to constitute the facts as to the existence of such misconduct.
 - e. In the absence of good cause, upon the failure of the respondent to serve an answer prior to the commencement of a hearing or to appear at the hearing, the hearing panel may, in

its discretion, preclude the subsequent assertion of any defense or the introduction of evidence on behalf of the respondent.

- f. The respondent and the charging party may be assisted by counsel of their choice. Counsel for both sides shall cooperate at all times with the hearing panel and the arbitrator.
- g. Whenever the interests of substantial justice appear to so require, at any time during the hearings, the hearing panel may direct either or both parties to submit a summary of the evidence, a first list of witnesses to be called, exhibits and/or briefs.
- h. A request by either party to present witnesses shall be made to the hearing panel, which may limit the hearing of witnesses at its discretion. If witnesses are called, each party shall have the right of cross-examination.
- i. Documents submitted by the parties during the hearings shall constitute part of the record of the case. They shall be retained in the custody of the Office of the Secretary.
- j. A stenographic record shall be made of all proceedings at the hearing and shall be made available to the parties as part of the record of the case. Any matters discussed in executive session, including procedural matters, will not be included in the transcript of the hearing.
- k. Each party shall have equal opportunity at the final session of the hearing for the summation of the case, either in person or by counsel, but no new evidence or testimony may be introduced during such summation.
- l. All five members of the Faculty Tenure Committee hearing panel shall attend the hearing. Members who participate by videoconference or telephone will be considered present. If, after the commencement of the hearing, a member of the Faculty Tenure Committee hearing panel becomes unable to continue to serve, that member of the hearing panel shall be excused from further service. Should a member of the Faculty Tenure Committee hearing panel repeatedly fail to carry out their obligations as a member of the panel, they may be discharged from further service upon the vote of a majority of the remaining members of the panel. In no event, however, may the hearing panel proceed with fewer than three members. Should the number of panel members be reduced to fewer than three, the chairperson of the T-FSC shall add new members to the hearing panel (to bring the total number of members to five or more) and the new members shall review the previous transcripts and documents in the hearing to date. Alternately, the chairperson of the T-FSC shall designate a new hearing panel which shall commence a de novo proceeding. The members of the original hearing panel who remained on the hearing panel at the time that it ceased to function shall be eligible to serve on the successor hearing panel.
- m. The affirmative vote of a majority of the hearing panel shall constitute any action by the hearing panel. Subject to the foregoing, the hearing panel may adopt rules not inconsistent with the provisions herein set forth.
- n. The members of the Faculty Tenure Committee hearing panel shall maintain the confidentiality of the proceedings both during and following the review, except as required by applicable law.

Article XIV. Report of the Faculty Tenure Committee Hearing Panel

1. Upon completion of the hearing, the Faculty Tenure Committee hearing panel shall deliberate, make its decision and prepare its report. The deliberations shall be conducted in executive session and shall be attended only by the members of the hearing panel. The decision of the hearing panel must be supported by a majority of its members and no determination of termination shall be made based solely upon the failure of the person involved to answer the charges or appear at the hearing.
2. [The report]. The Report of the Faculty Tenure Committee hearing panel shall be in writing and shall consist of (a) its findings and conclusions on each of the charges; (b) its determination of sanctions and the reasons for its determination of sanctions, including any recommendation for a period of suspension without pay or severance pay where termination is recommended; and (c) any memorandum or opinion submitted by any member of the hearing panel, at their own discretion, with reference to their opinion as to the matters in controversy. The decision of the hearing panel may include the sanctions of termination, suspension, and/or other sanctions.
3. [The vote]. Each finding, conclusion, and determination for sanctions shall be reported with the numerical vote of the members of the hearing panel but not with the names of the members who voted for or against the same.
4. [Transmitting the report]. The chairperson of the Faculty Tenure Committee hearing panel shall transmit the Report to the Office of the Secretary, and the Office of the Secretary shall transmit the Report to the President and Chancellor and to the parties.

Article XV. Appeal

1. [Appeal]. Either party may appeal the findings and determination of the hearing panel by filing a written notice of appeal with the President and Chancellor and the Office of the Secretary within ten working days of the receipt of the Report.

Article XVI. The Tenure Appeal Committee of the University

1. [Jurisdiction]. The Tenure Appeal Committee shall have jurisdiction to hear an appeal from the determination of the hearing panel in a proceeding for the termination or suspension of a tenured faculty member. Its powers are confined to such cases and do not extend to any other matter concerning the award or the termination of tenure.
2. [Members]. The Tenure Appeal Committee shall consist of three persons, none of whom hold a full time appointment in the same school as the respondent, as follows: the chairperson of the T-FSC; the chairperson of the Academic Affairs Committee of the Board of Trustees; and a person designated by the President of the University, ordinarily a dean, having the status of a tenured faculty member. None shall have a conflict or the appearance of a conflict in reviewing the matter. In the event that either of the first two persons is unable to serve in a given case, a substitute person shall be designated, respectively, by the chairperson of the T-FSC and the Board of Trustees. Any substitute for the chairperson of the T-FSC shall be a member of the T-FSC and any substitute for the chairperson of the Academic Affairs Committee of the Board of Trustees shall be a trustee of the University.

3. [Materials for the Tenure Appeal Committee]. The Secretary of the University shall provide the Tenure Appeal Committee with the Report of the hearing panel and the documents comprising the record of the hearing.
4. [Confidentiality]. The members of the Tenure Appeal Committee shall maintain the confidentiality of the proceedings both during and following the review, except as required by applicable law.

Article XVII. Action by the Tenure Appeal Committee

1. Upon the appeal of either the respondent or the charging party, the Tenure Appeal Committee shall review and consider the Report of the hearing panel and the record from the hearing. If the Tenure Appeal Committee deems the record not complete, it may request additional materials, including briefs from the parties, or refer the matter back to the panel for further data, findings, and recommendations.
2. The parties may request an opportunity for argument before the Tenure Appeal Committee. If one party requests an argument, such opportunity shall be afforded to each of the parties or their representatives before the Tenure Appeal Committee makes its decision.
3. Upon appeal, a tenured member of the faculty shall be terminated or suspended only by a vote of a majority of the Tenure Appeal Committee. A determination for termination or suspension made by the hearing panel shall be upheld only if the Tenure Appeal Committee determines that: (i) that one or more of the charges are supported by substantial evidence in the record as a whole; (ii) that the hearing was conducted fairly and in substantial compliance with the rules set forth above for the conduct of such hearings; and (iii) that the sanction of termination or suspension is appropriate. If the Tenure Appeal Committee determines that the charges are not supported by substantial evidence in the record as a whole, or that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules, or that the sanction of dismissal is not appropriate it shall, as the interests of substantial justice shall require: (i) dismiss the charges; (ii) remand the case for a new hearing before the same or a new hearing panel; or (iii) reduce the sanction, provided however that any decision to reduce the sanction must be upon the unanimous vote of the Tenure Appeal Committee.
4. Where the hearing panel has sustained one or more of the charges but has not recommended termination or suspension and has instead recommended a lesser sanction, the Tenure Appeal Committee shall, upon appeal, similarly review the findings, conclusions, and recommendations of the panel. The Tenure Appeal Committee is empowered to make the final determination with respect to the appropriate sanction to be imposed by a vote of the majority of the Tenure Appeal Committee. Where the hearing panel has not sustained any of the charges, the Tenure Appeal Committee shall, upon appeal, again review the findings, conclusions, and recommendations of the panel, and where it determines that the findings are not supported by substantial evidence in the record as a whole or that the hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules to the detriment of the charging party, it may, in its discretion, remand the case for a new hearing before a new panel of the Faculty Tenure Committee.
5. After the conclusion of its deliberations, the Tenure Appeal Committee shall prepare a written report setting forth its findings and conclusions, stating the reasons therefor, including the dissenting views of any member of the Tenure Appeal Committee, and submit same to the Secretary.

6. The decisions of the Tenure Appeal Committee, including with respect to sanctions, are not subject to further appeal.
7. The Secretary shall provide a copy of the report of the Tenure Appeal Committee to the President and Chancellor and to the parties.
8. The final disposition of the case may be made public only after the President has officially informed the parties of the decision of the Tenure Appeal Committee. Until that time no information concerning the hearings shall be disclosed to the public.
9. The Faculty Tenure Committee hearing panel and, in the event of an appeal, the Tenure Appeal Committee, may recommend that the respondent receive their salary for up to one year after the respondent is provided notice of termination.

Article XVIII. General Provisions

1. The decision by the hearing panel or, if appealed, by the Tenure Appeal Committee to terminate a tenured faculty member must be approved by the Board of Trustees in accordance with the University's Bylaws.
2. The final disposition of the case may be made public only after the President has officially informed the parties of the decision of the Tenure Appeal Committee, and after the Board has approved this decision. Until that time no information concerning the hearings shall be disclosed to the public.
3. The members of the Board of Trustees, the President and Chancellor of the University and other officers of administration, the members of the Tenure Appeal Committee, the members of the Faculty Tenure Committee, the dean and members of the faculty, and all witnesses and other participants in any hearing shall be privileged as to statements or publications made in connection with any proceeding under Title IV, and shall have immunity for any decision, statement of fact, or comment relating thereto, all to the extent permitted under applicable law and in accordance with the Bylaws of the University.

Title V: Disciplinary Regulations and Procedures to Terminate or Suspend a Faculty Member on the Tenure Track

Article XIX. Initiation of Proceedings to Terminate or Suspend a Tenure Track Faculty Member on the Tenure Track

1. Violations of General or Particular Obligations. These procedures apply to all cases where a dean or the Provost seeks to terminate or suspend without pay a Tenure Track Faculty Member for an alleged violation of the general or particular obligations in Title III.
2. [Initiation of proceedings] Whenever the President and Chancellor or the Provost, or the dean of a college, school, or division of the University with the assent of the President and Chancellor or the Provost shall deem such action is warranted, that person shall initiate proceedings to terminate or suspend the service of a faculty on the tenure track by providing the faculty member involved with written notice [by registered mail or email] setting forth clearly and directly all charges against the faculty member and proposed sanctions, and informing the faculty member of their

rights under this section, the Bylaws of the University, and rules regulating proceedings on such charges.

3. [Summary suspension]. Summary suspension pending investigation and hearing is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor or the Provost or the dean of the college, school, or division involved with the assent of the President and Chancellor or Provost, whenever, in the judgment of either, suspension is necessary in the interest of the University community.
4. [Informal resolution at school level]. When a disciplinary proceeding to terminate or suspend is initiated against a tenure track faculty member, an effort shall be made to resolve the matter informally under the direction of the dean of the faculty member's school or the dean's representative, or, at the dean's discretion, with a standing or ad hoc committee of the faculty of that school charged by the dean. Where the charge is against the dean as a faculty member, the informal effort shall be under the direction of the Provost. Where the matter cannot be resolved in this manner, disciplinary proceedings shall proceed.

Article XX. The Hearing Committee

1. [Hearing committee]. The matter shall be referred by the dean, or by the Provost if the case is against the dean as a faculty member, with the written notice setting forth the charge and all pertinent information, to the chairperson of the Tenured/Tenure Track Faculty Senators Council ("T-FSC"), who shall appoint a special hearing committee of three faculty, either members of the TFSC or not, to hear the matter. The majority of the committee members shall be from the school in which the faculty member holds primary appointment, and none shall have a conflict or appearance of conflict in reviewing the matter. The committee shall not include departmental chairpersons or departmental heads or any faculty whose primary assignment is administrative. The chairperson of the T-FSC shall appoint the chairperson of the committee.
2. [Procedures and authority]. The special hearing committee shall adopt its own rules of procedure and shall have authority to recommend the sanctions of termination or suspension or other sanctions. Recommendations shall be by majority vote. The special hearing committee shall provide copies of the recommendation to the dean of the relevant school, the respondent, and the Provost. A recommendation for termination or suspension must be approved by the dean (except where the dean is the subject of the charge) and the Provost. The members of the special hearing committee shall maintain the confidentiality of the proceedings both during and following the review, except as required by applicable law.
3. [Appeal]. A faculty member may appeal the decision to impose the sanction of termination or suspension. Appeal shall be to the Provost. Any such appeal must be made to the Provost within fifteen working days after receipt of notice of the decision of the hearing committee. If the charge has been brought against the dean as a faculty member, the dean may appeal the Provost's decision to impose the sanction of termination or suspension to the President and Chancellor. Grounds for an appeal shall be that the decision was not supported by substantial evidence in the record taken as a whole or that the proceedings were not conducted in substantial compliance with the procedures or principles enumerated herein. In cases involving scientific misconduct, substantial deviance from procedures set out for fact-finding within the affected school shall also be grounds for appeal. The Provost (or President and Chancellor, as the case may be) may seek the advice of such individuals or groups as the Provost deems appropriate.

4. [Provost's decision]. In deciding the appeal, the Provost (or President and Chancellor, as the case may be) may affirm or reverse the decision, may remand the case for a new or further investigation by the same or a different committee, or may increase or decrease the sanction imposed as the interests of substantial justice appear to the Provost to require. Where scientific misconduct is at issue, the Provost may also remand the case to the dean of the appropriate school with a request for a new or further fact-finding by the same or a new committee, appointed in accordance with the provisions of the rules governing such cases. The Provost or President and Chancellor's decision on the appeal is final; there is no further appeal.

Title VI: Disciplinary Regulations and Procedures for Other Sanctions for Tenured and Tenure Track Faculty

A. *Disciplinary Procedures*

1. [Initiation of Proceedings]. Whenever the dean of a college, school, or division of the University seeks to discipline a Tenured or Tenure-Track faculty member with sanctions other than termination or suspension, the dean shall initiate proceedings under this Title by providing the faculty member involved with written notice [by registered mail or email] setting forth clearly and directly all charges against the faculty member and informing the faculty member of their rights under this Title, the Bylaws of the University, and rules regulating proceedings on such charges]. In the case of a disciplinary proceeding against a Dean, these proceedings would be initiated by the Provost.
2. [Informal resolution at school level] When a disciplinary proceeding is initiated against a Tenured or Tenure-Track faculty member under this Title, an effort shall be made to resolve the matter informally under the direction of the dean of the faculty member's school, including an opportunity for the respondent to respond to the allegations. Where the charge is against the dean as a faculty member, the informal effort shall be under the direction of the Provost. Where the matter cannot be resolved in this manner, disciplinary proceedings shall proceed.
3. [School advisory committee] The dean shall refer the matter, with all pertinent information to an advisory committee of the faculty. The committee may be an ad hoc committee or a standing committee, and must consist of three or more members elected by voting members of the faculty. All shall be members of the Tenured Faculty who are at the same or higher rank as the faculty member facing discipline; and none shall have a conflict or the appearance of a conflict in reviewing the matter. The committee shall not include departmental chairpersons or departmental heads or any faculty whose primary assignment is administrative.
4. [Procedures and authority of school advisory committee] The committee shall serve as an advisory committee to the dean. It will review the existing file with respect to the complaint and provide a report of findings and recommendations for sanctions, which may include a dissenting opinion as appropriate. The report can also recommend that the dean conduct a further review on specific matters before the dean issues a determination. The committee shall complete its review and report to the dean within thirty working days of being charged with its task, except where exigent circumstances apply.
5. [Determination of the dean] The dean shall make a determination for or against the faculty member and shall determine the sanctions, if any, and implement disciplinary sanctions within thirty working days of receiving the committee report, except where exigent circumstances apply. If the committee does not complete its work within thirty working days, the dean shall implement disciplinary sanction(s) on the basis of the existing file within thirty working days of the committee's deadline. If the dean conducts a further review on specific matters before rendering a decision, the dean shall have an additional thirty working days from the date of the committee's report to reach a decision, except where exigent circumstances apply.
6. [List of sanctions] Sanctions under this Title shall include, but are not limited to, the following:

Reprimand

Removal of privileges.

7. [Appeal] The faculty member has the right to appeal the decision in writing to the dean on the following grounds: (1) the decision was not supported by substantial evidence on the record, or (2) the investigation was not conducted fairly or in accordance with the applicable policy and/or procedures; or (3) the sanction is disproportionate to the infraction. The dean will consider the appeal. The dean's decision on the appeal is final. In disciplinary cases involving the dean, the dean may appeal to the Provost on these same grounds.

Title VII: Disciplinary Rules and Proceedings for Tenured and Tenure Track Faculty for the Robert I. Grossman School of Medicine

A. Tenured Faculty

I. Termination of a Tenured Appointment

A tenured faculty member's employment and faculty appointment in the Grossman School of Medicine may be terminated for "Adequate Cause" as defined in Title IV, Article XI.2 of the Faculty Handbook.

II. Proceedings for Termination of a Tenured Appointment

1. General Provisions

- (a) ([Rules; notice; record] Proceedings for termination of service for cause shall be conducted in accordance with the rules herein as may from time to time be amended by the Board of Trustees, and shall be initiated by service upon the person involved of a written notice setting forth clearly and directly all charges proffered against the person and informing them of their rights under this section. The person charged shall be entitled to a hearing before a hearing panel of the Grossman School of Medicine Tenure and Tenure-Track Faculty Disciplinary Committee. A full stenographic record of the hearing shall be given to the parties concerned.
- (b) [Appeal to the President] Upon the request of either the faculty member charged or the charging party, the record, findings, conclusions, and proposed sanctions of the hearing panel of the Tenure and Tenure-Track Faculty Disciplinary Committee shall be forwarded to the President for review and final determination. In the absence of such request, the findings, conclusions, and proposed sanctions of the hearing panel shall be final.
- (c) [Rules bind all parties] The rules regulating proceedings to terminate service for cause shall be binding upon all parties.
- (d) [Summary suspension] Summary suspension pending termination proceedings is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the Dean of the school, with the assent of the President whenever, in the Dean's judgment, continuance of the person in service threatens substantial harm to themselves, to others, or to the welfare or reputation of the University or the Grossman School of Medicine. During the period of such suspension, the faculty member's pay shall be adjusted to, and the faculty member shall be paid, the base salary commensurate

with the faculty member's position, except in a case where the faculty member is incarcerated or under prosecution for a criminal act or is employed by another employer with equivalent compensation during the period of any such suspension, in which case the suspension shall be without salary or compensation. At any time during the pendency of termination proceedings, the President may lift or modify any suspension in the interest of substantial justice.

2. Initiation of Dismissal Proceedings

- (a) Whenever the Dean or the Vice Dean for Education, Faculty, and Academic Affairs of the Grossman School of Medicine (the "charging party"), with the assent of the President, deems that such action is warranted, the charging party shall initiate proceedings to terminate for cause the service of a tenured faculty member. The charging party shall formulate, or cause to be formulated, the charges in writing. A copy of such charges, together with notice of proceedings for termination of their service for cause, shall be e-mailed or mailed by registered mail to the faculty member involved (the "respondent").
- (b) The respondent shall serve a written answer upon the charging party within twenty (20) days after service of the charges and notice upon the respondent admitting or denying each of the allegations contained in the charges and setting forth any defenses to the charges. The time for service of the answer may be extended by the charging party in the interests of substantial justice.
- (c) Upon receipt of the answer of the respondent, unless the respondent resigns their tenured faculty appointment, the charging party shall convene the Tenured and Tenure-Track Faculty Disciplinary Committee. The Committee shall be composed of five members, each a tenured faculty member, consisting of President of the Faculty Council, the Chair of the Grossman School of Medicine Appointments, Promotion and Tenure Committee, the Chair of the Professional Conduct Committee of NYU Langone Hospitals, the School of Nursing's longest-serving Senator on the Tenured/Tenure Track Faculty Senators Council, and the School of Dentistry's longest-serving Senator on the Tenured/Tenure Track Faculty Senators Council. In the event any of the faculty members holding these designated positions are non-tenured, the Executive Committee of the Faculty Council shall select a tenured member of the body represented by such non-tenured faculty member (except that, in the case of the Faculty Council, it shall be the most recent past President of the Faculty Council who was tenured). After appointment, in the event of a Committee members' conflict of interest or inability to serve, the other Committee members will designate a tenured senior faculty member of the body represented by such Committee member to serve on the Committee in such member's place. No member of the Tenured and Tenure-Track Faculty Disciplinary Committee from the same department as the respondent may serve as a member of the Committee during tenure revocation proceedings.
- (d) The charging party shall forward to the Tenured and Tenure-Track Faculty Disciplinary Committee copies of the written charges and of the answer to such charges. If the respondent fails to serve a written answer within twenty (20) days, or any extension of such time, the charging party shall nevertheless forward the charges to the Tenured and Tenure-Track Faculty Disciplinary Committee with a statement showing that no answer has been served by the respondent.

- (e) Within twenty (20) days after submission of the charges and answer, or of the charges alone, as the case may be, to the Tenured and Tenure-Track Faculty Disciplinary Committee, the committee shall set a time for the commencement of a hearing, which shall not be more than thirty (30) days thereafter unless further time is granted by the Committee upon request of either party. The Tenured and Tenure-Track Faculty Disciplinary Committee shall serve as the hearing panel.

3. Conduct of Hearings before the Hearing Panel

- (a) A hearing officer who is an attorney shall preside over the hearing on the charges. The charging party and the respondent shall select a hearing officer from a list of 10 qualified attorneys compiled by the American Arbitration Association to conduct the proceedings. The charging party and respondent may each strike up to five names from the list and each shall rank, in order of preference, the names of those whom they have not stricken. The Association shall then designate as the hearing officer the available person with the highest degree of joint preference of the parties. Should more than one available person have an equally high joint preference, the Association shall select the hearing officer by lot from those with the highest joint preference.
- (b) A calendar of hearing dates in a proceeding for dismissal shall be fixed by the hearing panel after consultation with the parties to the proceeding and the hearing officer; the calendar shall be read into the record on the opening day of the hearing; it shall be adhered to unless the hearing panel orders exceptions for due cause. Whenever the interests of substantial justice appear to so require, the hearing panel may direct either or both parties to submit a summary of the evidence, a first list of witnesses to be called, or both. If the statement of the charges, or the answer thereto, appears to the hearing panel to be indefinite or obscure, the hearing panel may require a more definite statement. Where the respondent has failed to serve an answer to the charges and where it further appears that the respondent is unable to understand the charges and to participate meaningfully in the proceeding, the panel shall obtain the services of a qualified person to represent the respondent, at the respondent's expense. In the absence of such circumstances or other good cause, upon the failure of the respondent to serve an answer prior to the commencement of a hearing or to appear at the hearing, the panel may, in its discretion, preclude the subsequent assertion of any defense or the introduction of evidence on behalf of the respondent.
- (c) The hearing officer shall preside over the hearing and rule on all procedural matters, including the admissibility of evidence, subject to the right of each party to appeal to the hearing panel. Upon such appeal, the decision of a majority of the panel members shall control. The panel shall have the power to enlarge the time appointed in these procedures for doing any act or taking any proceedings, where the interests of substantial justice appear to so require.
- (d) The hearings shall not be restricted by the rules of procedure or of the admissibility of evidence which prevail in the courts of law. Subject to the provisions of section A.II.3.(c) above, each member of the hearing panel may inquire into whatever is believed relevant to the inquiry. Whenever the proceedings originate from a finding of scientific or research misconduct in accordance with the separate rules governing such proceedings, the hearing panel shall deem the report of the earlier committee to constitute the facts as to the existence of such misconduct.

- (e) The respondent and the charging party may be assisted by counsel of their choice throughout the proceedings. Counsel for both sides shall cooperate at all times with the panel and the hearing officer.
- (f) A request by either party to present witnesses shall be made to the hearing panel, which may limit the hearing of witnesses at its discretion. If witnesses are called, each party shall have the right of cross-examination. Each party may introduce exhibits, which shall constitute part of the record of the case.
- (g) A stenographic record shall be made of all proceedings at the hearing. On order of the hearing officer, procedural matters may be discussed in executive session, the minutes of which need not be included in the transcript of the record of the hearing. The transcript shall be available to all parties to the hearing.
- (h) Each party shall have equal opportunity at the final session of the hearing for the summation of the case, either in person or by counsel, but no new evidence or testimony may be introduced during such summation.
- (i) All three members of the hearing panel shall attend the hearing. If, after the commencement of the hearing, a member of the panel becomes unable to continue to serve, that member of the panel shall be excused from further service, and the member's designee (a tenured senior faculty member of the body they represent) shall serve in their place. Prior to serving on the panel, the member's designee must have read the hearing transcript and all charges and other pleadings filed in connection with the hearing and certify to having done so. Should a member of the panel repeatedly fail to carry out their obligations as a member of the panel, upon a unanimous vote of the remaining members of the panel, that member of the panel may be discharged from further service and replaced by a tenured senior faculty member of the body represented by the replaced member, such replacement member to be elected by the remaining panel members.
- (j) Upon completion of the hearing, the panel shall deliberate and issue its decision in a written report. The deliberations shall be conducted in executive session and shall be attended only by the members of the hearing panel. The decision of the panel must be based upon the evidence presented, and no recommendation of dismissal shall be made based solely upon the failure of the person involved to answer the charges or appear at the hearing. The decision of the panel must be supported by a majority of its members.
- (k) [Hearing Immunity]. The members of the Board of Trustees, the President and Provost of the University and other officers of administration, the members of the Tenured and Tenure-Track Faculty Disciplinary Committee, the Vice Dean, the Dean and members of the faculty, and all witnesses and other participants in any hearing shall be absolutely privileged as to statements or publications made in connection with the hearings, and shall have complete immunity for any decision, statement of fact, or comment relating thereto.

4. Decision and Report of the Hearing Panel

- (a) The hearing panel's decision shall resolve the matter, unless the matter is appealed, as set forth in section (d) below. The report containing the hearing panel's decision shall be in writing and shall consist of: (1) a transcript of the record of the hearing and the exhibits offered or introduced into evidence by the parties; (2) such findings, conclusions

and any proposed sanctions as the panel shall make, including a statement of the facts deemed essential to the findings; (3) a memorandum setting forth the reasons for any recommendations; and (4) any memorandum submitted by any dissenting member of the panel, at their own discretion, with reference to their opinion as to the matters in controversy.

- (b) Each finding, conclusion, and recommendation shall be reported with the numerical vote of the members of the panel but not with the names of the members who voted for or against the same.
- (c) Complete copies of items (2), (3), and (4) in section (a) above shall be transmitted to the parties to the hearing and to the President.

5. Appeal to the President

- (a) Either party may appeal the hearing panel's decision in writing to the President, who may seek consultation at the President's own discretion. The bases for appeal are limited to the following: (1) findings in support of one or more of the charges are not supported by substantial evidence in the record as a whole, or (2) hearing was not conducted fairly or was not conducted in substantial compliance with the governing rules, or (3) the sanction is disproportionate to the infraction. The appeal request should set forth the basis for the party's appeal, and any arguments in support of a reversal of the hearing panel's decision.
- (b) Upon appeal, after reviewing the report and decision of the hearing panel, and any documentation submitted in support of the appeal, the President shall issue a written decision, which shall be considered final.
- (c) [Appeal of Decision to Dismiss for Cause]. On appeal of the hearing panel's decision to dismiss the faculty member for cause, the President shall uphold the hearing panel's decision unless the President determines either: (i) that the findings against the faculty member on one or more of the charges are not supported by substantial evidence in the record as a whole; (ii) that the hearing was not conducted fairly and in substantial compliance with the rules set forth above for the conduct of such hearings; or (iii) that the sanction of dismissal is not appropriate. If the President determines either (i), (ii), or (iii), the President shall have the option to either: a) dismiss the charges; b) remand the case for a new hearing before the same or a new hearing panel; or c) reduce the sanction.
- (d) [Appeal of Decision Not to Dismiss for Cause]. On appeal of the hearing panel's decision not to dismiss the faculty member for cause, the President shall make the final determination with respect to the appropriate sanction to be imposed, including any decision to dismiss the faculty member or increase any sanction recommended by the hearing panel. If the President determines either that the hearing panel's findings are not supported by substantial evidence in the record as a whole, that the hearing was not conducted fairly, or was not conducted in substantial compliance with the governing rules to the detriment of the charging party, the President shall have the option, but shall not be required, to remand the case for a new hearing before the same or a new hearing panel.
- (e) If the President's decision is to terminate the service of the tenured faculty member, it shall be subject to approval by the Board of Trustees. The final disposition of the case

shall be made public only after the faculty member has been officially informed of the decision of the President. Until that time no information concerning the hearings shall be disclosed to the public.

B. Tenure Track Faculty

Notwithstanding provisions set forth in Title II, Article IX of the Faculty Handbook by which a non-tenured tenure track faculty member may be removed upon sufficient notice where it is unlikely that tenure will be achieved, a tenure-track faculty member may be removed for “Adequate Cause” (as defined in Title III, Article XII.2 of the Faculty Handbook), in which case the proceedings set forth below shall apply.

I. Proceedings to Terminate for Cause a Non-Tenured Tenure-Track Appointment

- (a) Whenever the faculty member’s Department Chair (the “charging party”) deems that such action is warranted, the charging party shall initiate proceedings to terminate for cause the service of a non-tenured tenure track faculty member.
- (b) The charging party shall draft a memorandum setting forth the basis for removing the faculty member and forward to the Vice Dean for Education, Faculty, and Academic Affairs of the Grossman School of Medicine (the “responsible administrator”). Upon authorization by the responsible administrator, a copy of such memorandum, together with notice of proceedings for termination of the faculty member’s service for cause, shall be e-mailed or mailed by registered mail to the faculty member involved (the “respondent”).
- (c) The respondent shall serve a written response to the charging party and to the responsible administrator within twenty (20) days after receipt of the charging party’s memorandum. The time for service of the answer may be extended by the responsible administrator in the interests of substantial justice.
- (d) The responsible administrator shall forward to the Tenured and Tenure-Track Faculty Disciplinary Committee (as described in Section A.II.2(c) above) a copy of the memoranda from each party. If the respondent fails to serve a written response within twenty (20) days, or any extension of such time, the responsible administrator shall nevertheless forward the charging party’s memorandum to the Committee with a statement showing that no response has been served by the respondent.
- (e) Both the charging party and the respondent will have the opportunity to appear before the Committee to present an oral summary of the arguments in support of their position. The respondent and the charging party may be assisted by counsel of their choice. Counsel for each party shall cooperate at all times with the panel.
- (f) A request by either party to present witnesses shall be made to the hearing panel, which may limit the hearing of witnesses at its discretion. If witnesses are called, each party shall have the right of cross-examination. Each party may introduce exhibits, which shall constitute part of the record of the case.
- (g) Each member of the Committee may inquire into whatever is believed relevant to the inquiry. Following the oral summaries, the Committee shall deliberate and deliver its decision, in writing, to both parties and to the responsible administrator. The

Committee's decision shall consist of: (1) such findings, conclusions and any proposed sanctions as the panel shall make, including a statement of the facts deemed essential to the findings; (2) a memorandum submitted by any dissenting member of the panel, at their own discretion, with reference to their opinion as to the findings, conclusions, and any proposed sanctions.

- (h) Either party can appeal the Committee's decision to the Dean. The bases for appeal are limited to the following: (1) findings are not supported by substantial evidence in the record as a whole, or (2) the sanction is disproportionate to the infraction.
- (i) After reviewing the report of the Committee, the Dean shall issue a written decision to the parties, which shall be considered final. If "cause" is found, the faculty member shall no longer be eligible for tenure at the School and may be terminated without further notice.

C. Other Disciplinary Proceedings for Tenured or Tenure-Track Faculty

The following procedure applies when a tenured or tenure track faculty is alleged to have violated or failed to abide by any rule or regulation of the Grossman School of Medicine, engaged in behavior or conduct that does not meet the professional standards of the School, engaged in an activity that is a threat to the welfare or safety of anyone in the medical center community, or violated any local, state, or federal law, for which the discipline sought is not termination.

- (a) After an internal investigation confirms evidence of a basis for such action, the Chair of the faculty member's department shall make a recommendation to the Vice Dean for Education, Faculty, and Academic Affairs of the Grossman School of Medicine for disciplinary action. Disciplinary action under this section shall include, but is not limited to, the following:
 - 1. Reprimand
 - 2. Censure
 - 3. Removal of Privileges
 - 4. Suspension
 - 5. Monetary fine
- (b) If the Vice Dean approves disciplinary action, the Vice Dean will notify the Chair, who will notify the faculty member in writing.
- (c) The faculty member has the right to appeal the decision in writing to the Dean on the following grounds: (1) the decision was not supported by substantial evidence on the record, or (2) the investigation was not conducted fairly or in accordance with the applicable policy and/or procedures; or (3) the sanction is disproportionate to the infraction.
- (d) Upon review of the record and the appeal request, the Dean shall issue a decision, which shall be considered final.

Additional Faculty Policies Applicable to Tenured/Tenure Track Faculty

Sabbatical Leave

Purpose

A sabbatical leave, as distinguished from a terminal leave, a leave without compensation, or a leave for reasons of health, is defined as a leave for the purpose of encouraging faculty members (including administrative officers who hold faculty rank) to engage in scholarly research or other activities that will increase their scholarly achievement or their capacity for service to the University. A sabbatical leave must be approved in advance by the dean and will not be granted for the purpose of taking regular academic or other employment of pecuniary advantage elsewhere. (A partial exception to this policy, applicable to certain kinds of research grants, is explained below.)

Eligibility

Except as provided by school policies that permit sabbatical leaves for Full-Time Continuing Contract Faculty, eligibility for a sabbatical leave is limited to full-time members of the faculty who have achieved tenure rights and who have completed six years of full-time service as members of the faculty at New York University.

Faculty members typically accrue time towards sabbatical at the rate of one year towards sabbatical per one year of active service. Once a faculty member has obtained six years towards sabbatical, the faculty member remains eligible for sabbatical and further years towards sabbatical are not accrued until the sabbatical is taken. Additional years towards sabbatical, beyond the three years required for one semester sabbatical or the six years required for a full year sabbatical, are not “banked” towards future sabbaticals.

For the first sabbatical at NYU six years of service must have accrued. Thereafter faculty can accrue six additional years and then take a year sabbatical at 75% of salary or a semester of sabbatical at 100%. In general, at least six years must elapse between consecutive sabbaticals. Alternately, faculty can accrue only three years towards sabbatical and take a semester of sabbatical at 75%. Upon return from that sabbatical accrual begins anew.

Term and Compensation of the Sabbatical

In general, a sabbatical leave is granted to the eligible faculty member, starting September 1, for the usual teaching terms (i.e., September to June inclusive) of one academic year, at three quarters of annual base salary. However, as an alternative, a faculty member who has qualified for a full year of sabbatical leave at three-quarters salary may apply for such sabbatical to be divided into two terms falling within a seven-year period, each such term representing a seventh semester at three-quarters of the base salary applicable thereto. As another alternative, a faculty member who is qualified for a full year’s sabbatical leave at three-quarters salary may elect, in lieu thereof, to apply for only one semester of sabbatical leave during the sabbatical year, at the full base salary for that semester.

Appropriate variations apply in units, such as the College of Dentistry, the Robert I. Grossman School of Medicine and the Libraries, in which active service is rendered on a 12-month basis rather than a 9-month basis.

The cost of replacing a faculty member during sabbatical leave will be kept as low as possible by arrangements such as rotating (“bracketing”) courses, employing part-time faculty members, and making internal adjustments in the departments concerned.

Report

At the conclusion of a sabbatical leave the faculty member will forward to the department chairperson and the dean copies of a report on activities undertaken during the period of the leave.

Return from Sabbatical

Sabbatical leaves are granted on the assumption that colleagues and students will benefit from the research and experiences of the faculty member. Accordingly, faculty taking a sabbatical have a commitment to return to the full-time faculty with full-time teaching obligations for no less than the length of time on sabbatical (one semester or one academic year). This expectation does not apply to a faculty member who retires from NYU at the end of an earned sabbatical.

Procedure for Granting a Sabbatical Leave

[Application](#) for a sabbatical leave should be made in writing by the faculty member and submitted to the department chairperson no later than December 1 preceding the academic year for which the leave is sought. Because of the impact of a leave on departmental planning, early application is recommended.

The department chairperson must forward the application with an accompanying recommendation to the appropriate dean on or before the following December 15. The recommendation shall include a statement of the proposed method of handling the normal duties of the faculty member while on leave.

The dean must forward each application and the accompanying recommendation of the department chairperson, together with the dean’s own recommendation, to the Office of the Provost on or before January 15. The Office of the Provost, after such additional consultation with the dean as may be desirable, will announce the determination.

Sabbatical Leave and Sponsored Research and Related Activities

All sabbatical leave arrangements approved by the University carry the restriction that the faculty member is not permitted to engage in any form of regular academic or other employment to supplement the sabbatical salary. However, a member of the faculty is entitled to supplement the salary provided by the University during the period of leave with funding provided by an external sponsor for research and related activities, in an amount approved by the sponsor, so long as the total compensation is no more than the full base salary and the leave otherwise comports with the terms and conditions of the award. The faculty member must take the initiative to report plans for sabbatical leave to the sponsor and identify the salary supplementation explicitly in the proposal whenever possible, and must make known to the department chairpersons and dean at the time of request for sabbatical leave that such funding is being, or will be, sought from the sponsor.

Benefits during Sabbatical Leave of Absence

During a leave of absence, benefits may be affected. The [Benefits Office](#) should be contacted for details regarding how to continue benefit coverage and the length of time for which benefits may be continued.

It is a faculty member's responsibility to contact the Benefits Office to arrange for continuation of benefits. More information is available at the Benefits Office.

Tenure Clock Stoppage for Personal Reasons

(Approved by the University Senate March 1, 2007 and amended on May 15, 2018 and on October 12, 2023.)

Tenure clock stoppage will be granted automatically twice for two separate events, each for a maximum of one academic year or two consecutive academic semesters during the probationary period for any one of, or combination of, the following personal reasons:

1. Tenure clock stoppage may be authorized during a period of full service to faculty members who are qualified caregivers of a child; and to qualified caregivers of a parent, a spouse, or a domestic partner in a health crisis of extended duration. A domestic partner qualifies if the domestic partner is registered with the University for benefits purposes. "Qualified caregiver" means day-to-day responsibility for the care of a child, parent, spouse, or registered domestic partner for a substantial portion of the period.
2. Tenure clock stoppage of up to one year may be authorized to a faculty member who is granted one or more full semesters of leave for any one of, or combination of, illness/disability leave, child birth recovery leave, or personal leave.

In the case of a parent who is responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, tenure clock stoppage will be granted automatically for up to two separate events, each for a maximum of one academic year or two consecutive academic semesters upon notification to the chair of the department or, in the case of schools without departmental organization, the dean. Stoppage is automatic once the Provost or Office of Academic Appointments has been notified.

In other cases, a request for tenure clock stoppage normally will require advance approval by the dean and the Office of the Provost. [Requests](#) should be made as early as possible, and when feasible, approvals should be in place no later than the onset of the semester preceding the period of tenure clock stoppage.

Note: The granting of tenure clock stoppage does not influence granting of tenure in the future.

Faculty Grievance Procedures for Tenured and Tenure-Track Faculty

(Grievance procedures for Tenured and Tenure-Track faculty were adopted by the University Senate May 10, 1973, approved by the Board of Trustees May 21, 1973 and subsequently on October 12, 2023)

The purpose of these regulations is to establish University procedures by means of which Tenured/Tenure Track faculty members can seek redress of their grievances. A grievant must be a faculty member of New York University when the grievant initiates the appellate grievance procedure under B, infra.

A. Faculty Grievances, General

Faculty grievances are classified into two main types:

1. Those connected with appointment, reappointment, promotion, or tenure.
2. Those concerned with other matters, such as duties, salaries, perquisites, and working conditions.

Although it may be preferable to treat all grievances as uniformly as possible, whatever the issue, those stemming from appointment decisions must be dealt with in a manner that conforms to the general appointment procedures. The initial protection for the faculty member is in the [Statement in Regard to Academic Freedom and Tenure](#) and the regulations and procedures on [Appointment and Notification of Appointment](#). It is expected that most grievance cases, particularly those concerned with matters such as duties, salaries, perquisites, and working conditions, will be settled within each school or faculty. The schools and faculties have wide latitude in establishing procedures to meet their needs. Tenured/tenure track faculty members may grieve related to matters in schools where they hold a full appointment or a Joint appointment. Faculty members may not grieve related to matters to schools in which they do not hold a full appointment or Joint appointment.

B. Proceedings at the School Level

1. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.
2. For grievances connected with appointment, reappointment, promotion, or tenure, the criteria for a grievance is a) whether the procedures used were proper; b) whether the case received adequate consideration; or c) whether the decision in question violated the academic freedom of the faculty member.
3. Each school or faculty shall establish a faculty committee to hear grievance cases in order to advise the dean. This grievance committee shall be elected by the voting members of the faculty and shall be a standing committee of the school or faculty. A majority of the committee shall be tenured members of the faculty. It shall not include departmental chairpersons or departmental heads or any faculty member whose primary assignment is administrative, and none shall have a conflict or the appearance of a conflict in reviewing the matter. The function of the committee is to advise the dean by reviewing the case and making a recommendation to the dean. The members of the grievance committee shall maintain the confidentiality of the proceedings both during and following the review, except as required by applicable law.
4. If a faculty member's grievance is not settled informally at a level below the dean, or by the dean themselves, the faculty member may appeal to the dean in writing to convoke the grievance committee of the school or faculty. The faculty member's written statement shall set forth the substance of the complaint, summarize the factual information in support of the complaint, provide documentation, if any, and request a resolution, if appropriate.
5. The dean shall convoke the grievance committee within 15 working days of receiving the faculty member's written statement and shall transmit the written complaint to the chairperson of the committee. 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 the delay to the attention of the Provost.

6. In the event the faculty in electing the committee has not named a chairperson, the committee should elect one of its members as the chair, with such authority as their committee wishes to delegate for administrative purposes.
7. The first role of the committee is to evaluate the grounds for a grievance, as summarized in 2, above. The committee shall review the grievant's written statement and may call the grievant to make an oral argument, interview witnesses and request pertinent documents from the dean or other offices or from the grievant. The second role, after reviewing its findings of fact, is to make a recommendation in writing to the dean on the merits of the grievance and a proposed resolution, if any, including reconsideration by a body that previously acted upon a matter. In performing these functions, the committee should bear in mind that it has no authority to substitute its judgment for another body in the area of professional evaluation. The members of the grievance committee have a clear obligation to maintain the confidentiality of the proceedings both during and following the review, except as required by applicable law.
8. After obtaining and considering 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 the dean's decision, together with reasons therefore, and information on the procedure for appeal.
9. If a faculty member has no grievance at a level below the dean but the dean makes a decision against the faculty member, the latter may request the dean for a hearing before the grievance committee of the school or faculty. The dean shall convoke the grievance committee within 15 working days. 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 the delay to the attention of the Provost. After receiving the recommendation of the committee, the dean shall then make a final decision and shall notify as in item 8.

C. Appeal from a Dean's Decision on Appointment, Reappointment, Promotion, or Tenure Following Review by the School Grievance Committee

1. Appeals from such decisions can be made only on the following grounds:
 - a) That the procedures used to reach the decision were improper, or that the case received inadequate consideration;
 - b) That the decisions violated the academic freedom of the person in question, in which case the burden of proof is on that person.
2. A faculty member intending to make an appeal shall indicate such intention in writing to the Provost and shall provide a written statement of appeal within 15 working days after receiving written notification of the dean's decision. The faculty member's written statement shall set forth the substance of the appeal and the grounds for the appeal [see 1a) and 1b) above], a summary of the factual information in support of the complaint, together with documentation, if any; and the resolution requested, if appropriate. An exception to the 15 working day time line may be made only with the consent of the grievant, the dean, and the Provost.

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 a standing committee of no less than three tenured faculty members selected by the Tenured/Tenure Track Faculty Senators Council, but not necessarily members of that body, and none shall have a conflict or the appearance of a conflict in reviewing the matter. This committee shall be called the ad hoc Tenured/Tenure Track Faculty Senators Council Grievance Advisory Committee. The function of the Committee is to ascertain whether or not proper procedures were followed in the grievant's case at the school level, specifically, whether the procedures used by the dean in making their decision and the procedures used by the school Committee in making its recommendations to the dean were improper or gave inadequate consideration to the case or whether the decision violated the grievant's academic freedom. The members of the ad hoc Tenured/Tenure Track Faculty Senators Council Grievance Advisory Committee have a clear obligation to maintain the confidentiality of the proceedings both during and following the review, except as required by applicable law.
4. The ad hoc Tenured/Tenure Track Faculty Senators Council Grievance Advisory Committee shall hold a hearing and shall complete its deliberations and notify the Provost of its recommendations, preferably within 30 working days of the close of the hearing, but in any case within 60 working days.
5. The Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed at the school level. Evidence that a decision appealed from is so arbitrary that it has no rational foundation may be considered on the issue of "inadequate consideration" (B-1-a above)
6. The Committee shall at all times follow the requisites of a 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 the grievant shall have the aid of an advisor or counsel.
7. After receiving the advice of the ad hoc Tenured/Tenure Track Faculty Senators Council Grievance Advisory Committee, the Provost shall decide the case and notify the grievant, the dean, and the chairperson of the ad hoc Tenured/Tenure Track Faculty Senators Council Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The decision of the Provost is final and there is no further appeal.
8. If the dean's decision is favorable to the faculty member and hence is not appealed and the Provost reverses the dean's decision, the faculty member may then invoke the appeal procedure. The review carried out by the Committee shall consider whether or not the procedures used at the Provost's level in making the decision were proper or improper (in observing expressly required procedures); and whether or not the procedures gave adequate consideration to the case (whether the procedures considered all matters that should have been considered).
9. Officers of the University and other members of the administration, the members of the grievance and appeal committees, the dean and members of the faculty, and all witnesses and

other participants in any hearing shall be privileged as to statements or publications made in connection with the grievance process, and shall have immunity for any decision, statement of fact, or comment relating thereto, all to the extent permitted under applicable law and in accordance with the Bylaws of the University.

D. Appeal from a Dean's Decision on Matters Such as Duties, Salaries, Perquisites, and Working Conditions (A-2 above)

Where such an appeal is desired by a faculty member and the Provost is so informed within 15 days after the member is notified of the decision, the Provost shall make informal procedures available. The decision of the Provost is final and there is no further appeal.

Appeal from the dean's decision can be made only on the same grounds as in Item B-1 above.

E. Copies of the Grievance Procedures

A copy of the school's grievance procedure and of this appellate procedure shall be posted at the school's web site to the attention of all faculty.

Retirement

Retirement of Tenured Faculty and Tenured Librarians [University Bylaws, Section 91]

The tenure rights of Tenured Faculty and librarians who have attained tenure will cease August 31 of the academic year, September 1 to August 31, in which they give notice of their intention to retire from active service, unless an alternative effective date is agreed upon, and there shall be no presumption of reappointment thereafter.

FACULTY POLICIES APPLICABLE TO FULL-TIME CONTINUING CONTRACT FACULTY

Core principles and procedures pertaining to Full-Time Continuing Contract Faculty are found in the [University Guidelines for Full-Time Continuing Contract Faculty Appointments, Grievance Procedures, and Disciplinary Regulations](#), which are incorporated in this Handbook. For any discrepancies, the Guidelines as maintained in the Handbook will control. In addition, colleges, schools, and institutes have their own internal rules, procedures, and policies, which may supplement but do not supersede or replace policies outlined in this Faculty Handbook.

Full-Time Continuing Contract Faculty are a distinct and important part of the University academic community and contribute significantly to the University's academic missions. School policies applicable to this group of faculty shall recognize the contributions they make to the University's commitment to teaching excellence, traditional research, and other forms of scholarly and artistic achievement, as well as University service.

Formulation of School Policies

Each school governed by the University Guidelines¹⁸ is required to establish its own policies governing the appointment, review, and reappointment of Continuing Contract Faculty consistent with school culture and history, and sensitive to the diversity of Continuing Contract Faculty roles and responsibilities in the school. These policies must contain a comprehensive set of procedures that conform to the general principles set forth herein, and must appear in a document that is readily available (in print and on the web) to all faculty members of the school.

In response to the Guidelines and as appropriate thereafter, schools shall formulate and/or amend their policies in accordance with existing school governance processes and with the expectation that Continuing Contract Faculty shall participate in formulating and/or amending the school policy to the extent and manner in which school governance policies permit. Policies on Continuing Contract Faculty developed or amended by the school according to such procedures will be reviewed by the Provost to determine whether the procedures applied in their formulation and manner of adoption have provided for adequate deliberation and representation of the view of the school's faculty taken as a whole, and whether the substance of the policy: (i) is consistent with general University policy and the University Bylaws; (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.

Newly formulated or amended school policies governing the hiring, review, and reappointment of Continuing Contract Faculty are effective and binding only upon approval of the Provost, who in reaching their decision shall consult with the Tenured/Tenure Track Faculty Senators Council (T-FSC) and the Continuing Contract Faculty Senators Council (C-FSC). All policies must be consistent with the University's Bylaws and with actions of the University's Board of Trustees.

Each school shall establish a formal process for conducting a five-year review of the school policy initially approved under these guidelines and for successive reviews of the policy and its implementation periodically thereafter. This review shall include a written report from the school dean to the Provost, who shall consider both the substance of the policy as well as its implementation.

¹⁸ At this time, the Guidelines do not apply to NYU's health professional schools (the Robert I. Grossman School of Medicine, Long Island School of Medicine, College of Dentistry, Rory Meyers College of Nursing, or the School of Global Public Health) or to NYU's portal campuses in Shanghai and Abu Dhabi. However, these schools are expected to embrace the spirit and values reflected in these guidelines, and to adopt policies accordingly.

Titles and Terms of Employment

Titles for Continuing Contract Faculty

Full-Time Continuing Contract Faculty are defined in University Bylaws, Section 87(a), *Full-Time Continuing Contract Faculty Appointments*. Continuing Contract Faculty “are faculty who are not Tenured/Tenure Track Faculty and who: (i) have full-time appointments at the University; (ii) have titles or appointments that do not prohibit indefinite contract renewals (although promotion within the appointment category, such as from Assistant to Associate, may be required for renewal); and (iii) are not visiting faculty (including persons who have tenure or are on the tenure track at another institution and persons who are on leave from another institution or company.)”

Continuing Contract Faculty have an array of titles, which may vary depending on the school, and which may overlap with Other Faculty titles (see University Bylaws, Section 88, *Other Faculty*). Continuing Contract Faculty are to be appointed using academic titles from among appropriate titles set forth in University Bylaws at that time and listed among *Nontenure Positions* (University Bylaws, Section 89, *Nontenure Positions*). Schools seeking to create materially different academic titles designed to convey Continuing Contract Faculty status must secure the approval of the Provost, who shall consult with the T-FSC and the C-FSC and make a recommendation to the Board of Trustees to amend the Bylaws accordingly.

Written Contracts

Each Continuing Contract Faculty appointment is to be secured by a written contract, specifying a fixed term, signed by the parties to it, and filed with the dean and the University Office of Academic Appointments prior to commencement of employment.

Such contracts shall include the following terms negotiated between the faculty member and the appropriate administrator with the authority to do so, and approved by the dean:

- start and end dates of the appointment;
- an indication of whether the faculty member is eligible to be considered for reappointment upon conclusion of the current contract;
- academic responsibilities, compensation, and obligations of the appointment;
- particular responsibilities and benefits; and
- agreement to be bound by applicable University policies.

In accordance with University Bylaws, Section 87(b), *Contracts and Titles*, the appointment of Continuing Contract Faculty automatically terminates at the close of the period of time stipulated in the contract, unless there is an official notice of renewal. By signing the contract, appointees acknowledge that they have received adequate notice of their termination date. Thus, reappointment can be achieved only by a school’s taking affirmative action to do so.

Areas of Responsibility

Responsibilities and assignments for Continuing Contract Faculty vary from school to school and within schools and are normally differentiated by title. Each school shall define and prioritize the responsibilities associated with Continuing Contract Faculty positions and establish performance expectations.

Responsibilities associated with Continuing Contract Faculty appointments typically include some but not

necessarily all of the following and need not be restricted to them:

- teaching including, but not limited to, classroom instruction;
- scholarship including, but not limited to, for example, research, publications, creative productions, and performances;
- student advising;
- service including, but not limited to, service to the University community and within and to one's profession; and
- additional academic roles and administrative responsibilities that contribute to the school's or University's educational, research, and service missions.

Participation in School Governance

In accordance with University Bylaws, Section 82(c), *Faculty Membership, College and School Governance*, the Continuing Contract Faculty of a school may hold its own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of the school, as it determines; and may participate in joint meetings with tenured/tenure track faculty.

Schools are expected to permit Continuing Contract Faculty to be represented within their respective school governance bodies, and to include Continuing Contract Faculty on appropriate committees, except for those involving tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty.

Transfer between Continuing Contract Faculty and Tenured or Tenure Track Appointments

While not prohibited, Continuing Contract Faculty appointments are not normally convertible to tenure track appointments. In rare cases, and then only with Provostial approval, a school may choose to convert a non-tenure track position into a tenure track one for which the incumbent is eligible to apply within the search process. In these rare cases, conversion of a non-tenure track position into a tenure track position will not foreshorten an existing contract duration as could occur, for example, if the conversion occurred before expiration of an existing contract and the contractee was not selected for the tenured or tenure track appointment. However, no school policy may prohibit a Continuing Contract Faculty member from applying for and being considered for any tenure track opening that arises within their school or elsewhere in the University; nor may any school policy treat their doing so with prejudice.

Appointment, Reappointment, Promotion, and Performance Assessment

Excellence in Faculty Appointments

Appointment processes for Continuing Contract Faculty shall reflect the University's overriding commitment to enhance academic excellence and to provide students with the best available educational experience. Thus, each Continuing Contract Faculty appointment and reappointment shall be evaluated in the light of the contribution it makes to the distinct excellence of the school, including its educational and training programs, and shall exemplify the University's commitment to appoint and retain the best faculty in all disciplines.

Hiring Plan and Process

1. [Duration of contracts]. Continuing Contract Faculty appointments that provide for the possibility of extended periods of employment support continuing involvement with students and colleagues and provide an appropriate and desirable element of job security. Thus, wherever possible,

schools are encouraged to reduce reliance on one-year contracts. However, in addition to providing schools with an essential degree of flexibility, one-year contracts may be programmatically and academically desirable in a number of schools and academic programs within schools; school policies shall include a rationale for a Continuing Contract Faculty title(s) that carries a one-year appointment.

2. [Strategic hiring plan]. Full-time contract faculty members are to be hired within the context of the school's long-term strategic planning for faculty academic programming, which is approved by the Provost. This is true for one-year as well as multi-year contracts.
3. [Hiring practices]. Hiring practices for Continuing Contract Faculty shall be transparent and fair. The process shall include involvement of department and school committees and deans, in accordance with school governance processes. Schools are expected to include Continuing Contract Faculty in the hiring process for full-time contract faculty.

Reappointment and Promotion

1. [Eligibility and Criteria for Reappointment and Promotion].
 - a. Faculty appointed under both one-year and multi-year full-time contracts may be eligible for reappointment. Contracts will specify whether this is the case. Schools are encouraged to provide regular written feedback to faculty on multi-year contracts regarding their performance.
 - b. Each school shall establish clear processes for reappointment and promotion. Each school shall set exacting standards embodying the highest levels of achievement that ensure the distinct excellence of the school's educational and training programs. Review for reappointment and promotion shall consider curricular and structural changes and improvements in academic programs. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint or promote may be impacted by curricular and structural changes and improvements in academic programs.
 - c. Where a position is to be eliminated at the end of the contract term and there is no similar position open, there is no reappointment process; however, the faculty member may request a performance review for career development to be conducted within a time framework specified by the school.

Reappointment for Multi-Year Full-Time Contracts of Three Years or More.

1. These guidelines distinguish between reappointment processes governing multi-year full-time contracts and one-year full-time contracts.
2. In the case of multi-year full-time contracts of three years or more, reappointment requires a formal review process. The process shall be conducive to ensuring that candidates for reappointment and promotion exhibit the highest level of performance and achievement – whether in teaching, the creative arts, or traditional scholarship and research.
3. Review for reappointment/non-reappointment is conducted in the penultimate year of the initial term of appointment and shall be completed by the end of that penultimate year. In the event of a decision to reappoint, the Continuing Contract Faculty shall complete the remainder of the faculty member's term and shall be reappointed, normally, for another multi-year term. In the event of a

decision to not reappoint, the contract faculty member shall be notified of the intention to not reappoint no later than August 31st of the penultimate year, and shall continue to be under contract for the final year.

4. Each school process for review of full-time multi-year contracts of three years or more, including promotion reviews, must include:
 - a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
 - a statement of the academic criteria in the areas of teaching, program development, the creative and performance arts (where appropriate), department and school service, and research and scholarship (where appropriate) that will guide the committee's evaluation;
 - the criteria of assessment in effect at the time, which shall be available to the faculty on the web;
 - a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision;
 - the grounds for stopping the contract clock for reasonable cause, e.g., medical, personal, as qualified caregiver for child, spouse, parent, registered domestic partner, or by contractual stipulation or negotiation. "Qualified caregiver" means day-to-day responsibility for the care of a child, parent, spouse, or registered domestic partner for a substantial portion of the period; and
 - the grounds for grievance and appeal as laid out in this document below.
5. In addition to formal reviews at the time of potential reappointment, each Continuing Contract Faculty member on a multi-year contract of three years or more shall annually submit to the dean an activity report, comparable in scope to reports required of tenured/tenure track faculty (T/TTF) but as appropriate for Continuing Contract Faculty appointments, whose format shall be designed in accordance with school policy as in effect at that time.
6. In addition, schools may wish to carry out formal performance assessments from time to time in the course of multi-year appointments that are longer than three years.

Reappointment for Continuous Service on One-Year or Two-Year Full-Time Contracts.

1. Though no reappointment can proceed without a performance assessment, numerous factors render the sort of formal review appropriate for multi-year appointments inapt in the case of faculty on one- or two-year contracts being considered for reappointment. Each school must formulate a policy that provides for appropriate assessment criteria adequate to determine whether reappointment is warranted. Criteria may include evaluation of classroom performance, review of curricular materials, and the like.
2. As is the case in multi-year contracts, eligibility to be considered for reappointment does not guarantee reappointment.
3. Continuing Contract Faculty may be reappointed to a series of one-year or two-year full-time contracts. In the first semester of the third year of continuous appointments, a Continuing Contract Faculty member shall be subject to formal review comparable to those to which faculty

members on longer multi-year contracts are subject. The process governing third-year reviews of faculty on continuous contracts shall include:

- a review committee, which is advisory to the dean and/or unit head, and rules determining how the committee is to be constituted;
- a statement of the academic criteria in the areas of teaching, program development, the creative arts (where appropriate), department and school service, and scholarship (where appropriate) that will guide the committee's evaluation;
- the criteria of assessment in effect at the time, which shall be available to the faculty in print and on the web;
- a published and widely available calendar for department/school-level reviews and communication to faculty members that accords fair and timely notice of a review to take place and of its outcome. Schools may have different administrative calendars; however, all schools shall provide adequate notice for individuals to pursue alternative employment in the event of a negative decision. Normally, a Continuing Contract Faculty must be notified of the intention not to be reappointed no later than March 1st of the final year of the contract, if the appointment is to be terminated on August 31st. Normally, a Continuing Contract Faculty whose period of 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 180 days prior to the termination date;
- the grounds for stopping the contract clock for reasonable cause (e.g., medical, personal, as qualified caregiver for child, spouse, parent, registered domestic partner, or by contractual stipulation or negotiation). "Qualified caregiver" means day-to-day responsibility for the care of a child, parent, spouse, or registered domestic partner for a substantial portion of the period; and
- the grounds for grievance and appeal as laid out in this document below.

Grievance Procedures for Full-Time Continuing Contract Faculty

This section establishes University procedures by means of which Continuing Contract Faculty can seek redress of their grievances. A grievant must be a Continuing Contract faculty member of New York University when the grievant initiates the appellate grievance procedure under "Appeal from a Dean's Decision on Reappointment and Promotion," below.

Principles

Each school shall have a formal and written grievance policy that is widely available and easily accessible to faculty, reflective of the distinctive culture of the school, responsive to the University's commitment to academic excellence and to 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 complaint. Each such policy must identify who is permitted to grieve, what can be grieved, the grounds upon which grievances are to be judged, and the procedures for doing so. Continuing Contract Faculty may grieve related to matters in schools where they hold a full appointment or a Joint appointment. Faculty members may not grieve related to matters to schools in which they do not hold a full appointment or Joint appointment.

Types of Faculty Grievances

Faculty grievances are classified into two main types:

1. Those connected with reappointment or promotion.

2. Those concerned with other matters, such as duties, salaries, perquisites, and working conditions.

Basis for Grievance

With respect to grievances related to reappointment and promotion, outcomes of the review process or decisions reached through the review process can be grieved only to the extent that they involve violation of University-protected rights of faculty members. Thus, a grievance must allege that 1) the procedures used to reach the decision were improper, or that the case received inadequate consideration; or 2) that the decisions violated the academic freedom of the faculty member in question, in which case the burden of proof falls to the grievant. A school's decision to not undertake the reappointment process where a position is to be eliminated at the end of the contract term and there is no similar position open is not the basis for a grievance.

With respect to grievances concerned with other matters, a grievance must allege that 1) the procedures used to reach the decision were improper, or that the case received inadequate consideration; or 2) that the decisions violated the academic freedom of the faculty member in question, in which case the burden of proof falls to the grievant.

Who Can Grieve

With respect to grievances related to reappointment and promotion: A Continuing Contract Faculty member who is not eligible for reappointment cannot grieve a decision not to reappoint. Individuals on multi-year contracts of three years or more who are subject to a review process to determine whether they are to be reappointed do 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; and they are entitled to grieve in the event they are denied reappointment without review for reasons other than elimination of the position. 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; and they are entitled to grieve the process in the event they are not reappointed after a third consecutive year of service when a third year review did not take place 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.

With respect to grievances related to other matters: All Continuing Contract Faculty, including faculty on one-year appointments, are eligible to grieve.

The School Grievance Process

1. It is expected that most grievance cases, particularly those concerned with matters such as duties, salaries, perquisites, and working conditions, will be settled within each school or faculty. The schools and faculties have wide latitude in establishing procedures to meet their needs.
2. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.
3. If a faculty member's grievance is not settled informally at a level below the dean, or by the dean, the faculty member may appeal to the dean to convoke the grievance committee of the school or faculty within 15 working days of receipt by the dean of the faculty member's written statement. The faculty member's written statement shall include the substance of the complaint, a summary

of the factual information in support of the complaint, together with documentation, if any; and the resolution requested, if appropriate.

4. Each school or faculty shall designate a faculty committee to hear grievances in order to advise the dean. 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 Tenured/Tenure Track Faculty elected by the voting members of the faculty; or shall expand its existing standing grievance committee for Tenured/Tenure Track Faculty to include (elected) senior Continuing Contract Faculty who shall participate in hearing and evaluating only those grievances that are filed by Continuing Contract Faculty, and none shall have a conflict or the appearance of a conflict in reviewing the matter. Senior Continuing Contract faculty members include Continuing Contract faculty members at the rank of professor (or equivalent) and also Continuing Contract faculty members who are at or above the rank of the faculty member bringing the grievance. The faculty grievance committee(s) shall not include departmental chairpersons or department heads or any faculty member whose primary assignment is administrative. The members of the faculty grievance committee have a clear obligation to maintain the confidentiality of the proceedings both during and following the review, except as required by applicable law.
5. In the event the faculty in electing the committee has not named a chairperson, the committee should elect one of its members as the chair, with such authority as their committee wishes to delegate for administrative purposes.
6. The dean shall convoke the committee within fifteen working days of receiving the faculty member's written statement, and shall transmit the grievant's written statement to the committee chair. In any instance in which the dean has not so convoked the grievance committee, the faculty member has the right to bring the delay to the attention of the Office of the Provost. An exception to this may be made only with the consent of the grievant, the dean, and the Provost.
7. The function of the committee is to advise the dean by reviewing the case and making a recommendation to the dean. The grievance committee does not judge the professional merits of the case, but considers the grounds specified above ("Basis for Grievance").
8. The first role of the grievance committee is to evaluate the grounds for a grievance, as outlined in Basis for Grievance, above. The committee should review the grievant's written statement, and may call the grievant to make an oral argument, interview witnesses and request pertinent documents. The second role, after reviewing its findings of fact, is to make a recommendation in writing to the dean on the merits of the grievance and a proposed resolution, if any, including reconsideration by a body that previously acted upon a matter. In performing these functions, the committee should bear in mind that it has no authority to substitute its judgment for another body in the area of professional evaluation.
9. The grievance committee reviews evidence and completes its deliberations and reports to the dean in writing of its findings of fact, and then make a recommendation to the dean for specific action. Such action may include a recommendation for reconsideration by a body which previously acted upon a matter. The committee will notify the dean of its recommendations preferably within 30 working days of receiving its charge, but in any case within 60 working days.

10. After obtaining and considering the recommendation of the grievance committee, the dean shall decide the case and in writing shall notify the grievant, any individual against whom the grievance was made, and the grievance committee of the recommendation of the grievance committee and of the dean's decision, together with reasons therefore. Information on the procedure for appeal shall be provided to the grievant.

Appeal from a Dean's Decision on Reappointment or Promotion Following Review by the School Grievance Committee

1. Appeals from a dean's decision can be made only on the following grounds: a) that the procedures used to reach the decision were improper, or that the case received inadequate consideration; or b) that the decisions violated the academic freedom of the person in question, in which case the burden of proof is on the faculty member.
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 working 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.
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, within 15 working days of receipt of notification of the request from the Provost. The Provost shall in each case obtain the advice of an ad hoc advisory committee – ad hoc Continuing Contract Faculty Grievance Advisory Committee – with faculty drawn from a standing committee that shall consist of the members of the C-FSC Grievance Committee and the T-FSC Grievance Committee; in each case committee members shall be selected within 15 working days of receipt of notification of the request from the Provost by the relevant faculty senators council but need not necessarily be members of the particular council. The ad hoc 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 Grievance Committee, one from the T-FSC standing Grievance Committee, and one senior administrator selected by the Steering Committee of the C-FSC, and none shall have a conflict or the appearance of a conflict in reviewing the matter.
4. The ad hoc 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 working days of the close of the hearing, but in any case within 60 working days. The ad hoc 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, etc. The grievant, however, may determine whether the grievant shall have the aid of an advisor or counsel.
5. The function of the ad hoc Continuing Contract Faculty Grievance Advisory Committee is to ascertain whether or not proper procedures were followed in the grievant's case at the school level, specifically, whether the procedures used by the dean in making their decision and the procedures used by the school committee in making its recommendations to the dean were improper or gave inadequate consideration to the case or whether the decision violated the grievant's academic freedom. The ad hoc Continuing Contract Faculty Grievance Advisory

Committee shall not judge professional merits, but only ascertain whether procedural safeguards (as referenced above in section 1) 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. Within 30 working days of receiving the advice of the ad hoc Continuing Contract Faculty Grievance Advisory Committee, the Provost shall decide the case, and notify the grievant, the dean, and the chairperson of the ad hoc Continuing Contract Faculty Grievance Advisory Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision. The decision of the Provost is final and subject to no further review.

Appeal from a Dean’s Decision on Matters Such as Duties, Salaries, Perquisites, and Working Conditions

Where such an appeal is desired by a Continuing Contract faculty member, and the Provost of the University is so informed in writing within 15 working days after the faculty member is notified of the dean’s decision, the Provost shall review the appeal and take such additional steps as the Provost deems necessary.

Appeals from a dean’s decision can be made only on the following grounds: a) that the procedures used to reach the decision were improper, or that the case received inadequate consideration; or b) that the decisions violated the academic freedom of the person in question, in which case the burden of proof is on the faculty member.

Copies of the Grievance Procedures

A copy of the school’s grievance procedure and of this appellate procedure shall be posted at the school’s web site to the attention of all faculty.

Disciplinary Regulations and Procedures for Full-Time Continuing Contract Faculty

General and Particular Obligations

All faculty members have an obligation to comply with the rules and regulations of the University and its schools, colleges, and departments. These rules protect the rights and freedoms of all members of the academic community.

In particular, all faculty members are obligated to comply with the standards of academic freedom as outlined in this Handbook. Disciplinary action may follow when the faculty member violates a policy of the University, such as the [Rules for the Maintenance of Public Order](#), engages in any action that interferes with the regular operations of the University or the rights of others, commits any serious violation of the law, engages in any other conduct not protected by academic freedom prejudicial to the teaching, research, or welfare of the University, or in any conduct not protected by academic freedom unbecoming of a faculty member, and so forth.

Disciplinary Procedures

The following procedure is applicable where a member of the Full-Time Continuing Contract faculty for an alleged violation of the general or particular obligations of Title III.

1. [Initiation of Proceedings] Whenever the dean of a college, school, or division of the University seeks to discipline a Continuing Contract Faculty member for alleged violations of the general and particular obligations set out in Title III, the dean shall initiate proceedings by providing the faculty member involved with written notice [by registered mail or email] setting forth clearly and directly all charges against the faculty member and informing the faculty member of their rights under this section, the Bylaws of the University, and rules regulating proceedings on such charges.
2. [Summary suspension] Summary suspension pending investigation and hearing is an extraordinary remedy, but nothing in this statement shall be interpreted as precluding such action by the President and Chancellor or the Provost or the dean of the college, school, or division involved with the assent of the President and Chancellor or Provost, whenever, in the judgment of either, suspension is necessary in the interest of the University community.
3. [Informal resolution at school level] When a disciplinary proceeding is initiated against a member of the faculty, an effort shall be made to resolve the matter informally under the direction of the dean of the faculty member's school, including an opportunity for the respondent to respond to the allegations. Where the charge is against the dean as a faculty member, the informal effort shall be under the direction of the Provost. Where the matter cannot be resolved in this manner, disciplinary proceedings shall proceed.
4. [School advisory committee] The dean shall refer the matter, with all pertinent information to an advisory committee of the faculty. The committee may be an ad hoc committee or a standing committee, and must consist of three or more members elected by voting members of the faculty, and none shall have a conflict or the appearance of a conflict in reviewing the matter. Where practicable, two or more shall be members of the Continuing Contract Faculty who have seniority in rank and/or years of service at the University; at least one shall be from the tenured faculty; and none shall have a conflict or the appearance of a conflict in reviewing the matter. Senior Continuing Contract faculty members include Continuing Contract faculty members at the rank of professor (or equivalent) and also Continuing Contract faculty members who are at or above the rank of the faculty member subject to the disciplinary procedure. The committee shall not include departmental chairpersons or departmental heads or any faculty whose primary assignment is administrative.
5. [Procedures and authority of school advisory committee] The committee shall serve as an advisory committee to the dean. It will review the existing file with respect to the complaint and provide a report of findings and recommendations for sanctions, which may include a dissenting opinion as appropriate. The report can also recommend that the dean conduct a further review on specific matters before the dean issues a determination. The committee shall complete its review and report to the dean within thirty working days of being charged with its task, except where exigent circumstances apply. The dean shall make a determination and implement disciplinary sanctions within thirty working days of receiving the committee report, except where exigent circumstances apply. If the committee does not complete its work within thirty working days, the dean shall implement disciplinary sanction(s) on the basis of the existing file within thirty working days of the committee's deadline. If the dean conducts a further review on specific matters before rendering a decision, the dean shall have an additional thirty working days from the date of the committee's report to reach a decision, except where exigent circumstances apply.
6. [List of sanctions] Sanctions for violations of the rules and regulations of the University, or its schools, colleges, and departments shall include, but are not limited to, the following:

Reprimand
Removal of privileges
Suspension
Termination

7. [Appeal of sanctions other than suspension and termination] The faculty member has the right to appeal the decision and sanctions other than suspension and termination. Such appeal should be in writing to the dean and must be made on the following grounds: (1) the decision was not supported by substantial evidence on the record, or (2) the investigation was not conducted fairly or in accordance with the applicable policy and/or procedures; or (3) the sanction is disproportionate to the infraction. The dean will consider the appeal. The dean's decision on the appeal is final.
8. [Appeal of suspension and termination] A faculty member may appeal the decision by the dean to impose the sanction of suspension or termination. Such appeal shall be to the Provost. Sanctions shall be in place pending appeal. Grounds for an appeal shall be that: a) that the procedures used to reach the decision were improper, or that the case received inadequate consideration; or b) that the decisions violated the academic freedom of the person in question, in which case the burden of proof is on the faculty member. Any such appeal must be made to the Provost within fifteen working days after receipt of notice of the decision of the dean.

In deciding the appeal, the Provost may affirm or reverse the decision of the dean or may increase or decrease the sanction imposed as the interests of substantial justice appear to the Provost to require. The Provost may consult with such individuals or groups as the Provost deems appropriate, and may remand the case for further investigation by the dean. The Provost shall make a decision within thirty working days, except where exigent circumstances apply. Where scientific misconduct is at issue, the Provost may also remand the case to the dean of the appropriate school with a request for a new or further fact-finding by the same or a new committee, appointed in accordance with the provisions of the rules governing such cases. If the Provost remands the case to the dean, the dean shall have 30 working days from the day the case is remanded to submit a report and recommendations to the Provost, who shall have 30 working days to reach a decision. The Provost's decision is final and there is no further appeal.

GRIEVANCE PROCEDURES FOR OTHER FACULTY

This section establishes procedures by means of which Other Faculty employed by New York University¹⁹ can seek redress of their grievances.

Types of Faculty Grievances

Grievances are concerned with: (a) matters such as duties, salaries, perquisites, and working conditions during the term of the faculty member's current appointment; (b) suspension or termination without pay during the term of the faculty member's current appointment; or (c) reappointment. An Other Faculty member who is not eligible for reappointment cannot grieve a decision not to reappoint.

Basis for Grievance

A grievance must allege that: 1) the procedures used to reach the decision were improper, or that the case received inadequate consideration; or 2) the decisions violated the academic freedom of the faculty member in question, in which case the burden of proof falls to the grievant.

Who Can Grieve

All Other Faculty employed by New York University are eligible to grieve. A grievant must be a faculty member of New York University when initiating the grievance procedure below, except when grieving termination under (b) above or reappointment under (c) above, in which case the grievant may initiate the grievance procedure within fifteen (15) working days of receiving notification of termination or non-reappointment.

The Grievance Process

It is expected that most grievance cases will be settled within each school or faculty. In the case of all grievances, attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.

If a faculty member's grievance is not settled informally at a level below the Dean, or by the Dean directly, the faculty member may appeal to the Dean to convoke the grievance committee of the school or faculty.

Each school or faculty shall designate a faculty committee to hear grievances in order to advise the Dean. Each school shall review grievances by Other Faculty using the same standing committee that would review Continuing Contract Faculty grievances. As noted in the Faculty Handbook, the standing committee will include senior Continuing Contract Faculty and Tenured/Tenure Track Faculty elected by the voting members of the faculty; or the school shall expand its existing standing grievance committee for Tenured/Tenure Track Faculty to include (elected) senior Continuing Contract Faculty who shall participate in hearing and evaluating grievances that are filed by Other Faculty. In the absence of a school policy or related provision in a school policy, the Dean shall appoint a committee to hear the grievance, and the committee shall consist of at least three members with at least one Tenured/Tenure

¹⁹ These procedures do not apply to: (i) adjunct and other part-time faculty, or (ii) the Grossman School of Medicine or the Long Island School of Medicine, all of which have their own procedures.

Track Faculty and one Continuing Contract Faculty. The faculty grievance committee(s) shall not include departmental chairpersons or department heads or any faculty member whose primary assignment is administrative.

The Dean shall convoke the committee within fifteen working days of receiving the faculty member's written statement. The faculty member's written statement shall include the substance of the complaint, a summary of the factual information in support of the complaint, together with documentation, if any; and the resolution requested, if appropriate. In any instance in which the Dean has not so convoked the grievance committee, the faculty member has the right to bring the delay to the attention of the Office of the Provost.

The function of the committee is to advise the Dean by reviewing the case and making a recommendation to the Dean. The grievance committee does not judge the professional merits of the case, but considers only the grounds specified above (Basis for Grievance).

After obtaining and considering the recommendation of the grievance committee, the dean shall decide the case and in writing shall notify the grievant, any individual against whom the grievance was made, and the grievance committee of the recommendation of the grievance committee and of the Dean's decision, together with reasons therefore, and information on the procedure for appeal. The committee will notify the Dean of its recommendations preferably within 30 working days of receiving its charge, but in any case within 60 working days.

Appeal from a Dean's Decision on Reappointment

Appeals from a Dean's decision can be made only on the following grounds: a) that the procedures used to reach the decision were improper, or that the case received inadequate consideration; or b) that the decisions violated the academic freedom of the person in question, in which case the burden of proof is on the faculty member.

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.

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 ad hoc advisory committee – Other Faculty Grievance Committee – drawn from a standing committee that shall consist of the members of the C-FSC Grievance Committee and the 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 Other Faculty Grievance Advisory Committee shall consist of three members, none of whom are from the grievant's school: one from the C-FSC standing Grievance Committee, one from the T-FSC standing Grievance Committee, and one senior administrator selected by the Steering Committee of the C-FSC.

The Other 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 60 days. The Other 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 they shall have the aid of an advisor or counsel.

The Other Faculty Grievance Advisory Committee shall not judge professional merits, but only ascertain whether procedural safeguards (as referenced above in “Basis for Grievances”) 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.”

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

Appeal from a Dean's Decision on Matters Such as Duties, Salaries, Perquisites, and Working Conditions; or Suspension or Termination without Pay

Where such an appeal is desired by the faculty member, and the Provost of the University is so informed in writing by the faculty member within 15 working days after the faculty member is notified of the Dean’s decision, the Provost shall review the appeal and take such additional steps as the Provost deems necessary. In such cases, the Provost will make a decision on the appeal and that decision is final. A grievant must be a faculty member of New York University when initiating the appeal procedure.

Appeals from a Dean’s decision can be made only on the following grounds: a) that the procedures used to reach the decision were improper, or that the case received inadequate consideration; or b) that the decisions violated the academic freedom of the person in question, in which case the burden of proof is on the faculty member.

SELECTED UNIVERSITY RESOURCES FOR FACULTY

Libraries

NYU Libraries is a 10-library, 5.9 million volume system whose flagship is the Elmer Holmes Bobst Library on Washington Square. To learn more about the extensive resources and services available to faculty and students throughout NYU's global network, please visit the [Libraries](#).

New York University Press

[New York University Press](#) publishes over 110 new books each year with nearly 3,000 titles in print. NYU faculty members are highly encouraged to submit book manuscripts in those disciplines where the Press is actively publishing: anthropology, criminology, cultural and American studies, environmental studies, law, media studies and communication, politics, religion, and sociology. While the Press considers manuscripts from scholars everywhere, it gives particular attention to the work of NYU faculty members.

Office of University Relations and Public Affairs

[The Office of University Relations and Public Affairs \(URPA\)](#) is responsible for ensuring that the University's message, agenda, and image are effectively and creatively projected to external and internal audiences. URPA provides assistance to NYU academic and operating units in dealing with the media; publications needs, both online and print; interaction with government at all levels; planning major events; and outreach to the community, including student volunteer efforts.

Office for University Development and Alumni Relations

[The Office of Development and Alumni Relations \(UDAR\)](#) is dedicated to soliciting the private funds necessary to support the strategic goals of the University in teaching, learning and research. UDAR raises funds for immediate University use and also for the University's endowment for such critical operations as student aid, faculty support, academic and research program development, and facilities and infrastructure. Alumni may access the [Alumni](#) site for alumni news and information about benefits and events.

Resources and Support Offices for Research

A number of University offices are dedicated to directing and supporting faculty research, including externally sponsored research. These include the [Offices of Research Development, Sponsored Programs, and Contracts and Collaborations](#); [Environmental Health and Safety](#); [Entrepreneurial Institute](#); [Leslie Entrepreneurs Lab](#); [Government Affairs](#) and [Community Engagement](#); [Office of Postdoctoral Affairs](#); [Office of Veterinary Resources](#); [University Animal Welfare Committee](#); and [University Committee on Activities Involving Human Subjects](#). NYU provides a large number of [institutional funding opportunities](#), research residencies through the [Provost's Global Research Initiatives program](#), and international research programs at the portal campuses and research institutes of NYU Shanghai and NYU Abu Dhabi.

Center for Faculty Advancement

The [Center for Faculty Advancement](#) connects and collaborates with the NYU community to recruit, retain, develop and advance faculty whose research, teaching and public engagement will positively impact the scholarly community and the world. The Center provides knowledge, resources, and engagement opportunities that: prepare faculty to meet key career milestones such as tenure, promotion, and other scholarly/professional aspirations; develop faculty academic leadership capacity; and facilitate faculty members ability to connect to, and positively impact communities throughout the world.

Work Life

As part of NYU's commitment to supporting the overall wellbeing of faculty, researchers, and administrators, the [Work Life office](#) identifies and responds to work-life challenges and needs throughout the career life cycle. Work Life's focus areas include child care, adult care, retirement, and workplace wellness. Work Life provides personalized consultations, educational programming, and connections to resources and helps to advance healthy work-life policies and practices. Faculty may seek individual consultations to find nearby child care and join a support group for adult caregivers.

Faculty Resource Network

NYU's [Faculty Resource Network](#) (FRN), established in 1984, is an award-winning professional development initiative that sponsors programs for faculty members from a consortium of over 50 colleges and universities, which are designed to improve the quality of teaching and learning at its member and affiliate institutions.

Visiting Scholars Program

The program for visiting scholars, visiting research professors, and visiting exchange professors extends specified courtesy titles and privileges to scholars of distinction who visit New York University in order to engage in research and scholarship, and in general scholarly and cultural interaction with New York University's faculty and students. The courtesy titles may not be granted for the purpose of providing free courses or other privileges to graduate or post-graduate students, or for the sole purpose of providing library privileges.

Visiting scholars, visiting research professors, and visiting exchange professors are considered guests of the University who may visit for a temporary period of up to one year (renewable). As non-employees, they have no teaching or other responsibilities and are not entitled to salary or housing. Visiting scholars, visiting research professors, and visiting exchange professors covered by this program may not in any way perform in the role of an employee at New York University. For further information, faculty members may contact their dean's office and can view the [Visiting Scholar application form](#).

The Students

THE ADMINISTRATION OF STUDENT AFFAIRS

Each school makes provisions for the organization, conduct, and supervision of intraschool student affairs including its own student government and student service groups. The [Student Government Assembly](#) (SGA), acting with the University Committee on Student Life, has special responsibilities for studying and making recommendations in areas of student concern.

The University also offers a wide range of extracurricular activities, programs, and support services for students under the jurisdiction of the Division of Student Affairs. When relevant issues or problems arise in working with students, faculty members may find useful resources and expertise in the areas listed below:

To help a student in trouble, faculty can contact [Helping Someone in Trouble](#).

The New York Division of Student Affairs

The [New York Division of Student Affairs](#) encompasses the following offices and services:

[Athletics, Intramurals and Recreation](#)

[Center for Student Life](#)

[Global Spiritual Life](#)

[Office of Student Conduct and Community Standards](#)

[Research and Assessment](#)

[Residential Life and Housing Services](#)

[Student UX, Technology, and Engagement](#)

Student Health, including

[Student Health Center](#)

[Moses Center for Students Accessibility](#)

[Health Promotion](#)

[Counseling and Wellness Services](#)

[Wellness Exchange](#)

[Wasserman Center for Career Development](#)

Student Services at NYU Abu Dhabi and NYU Shanghai

Information is available for NYU Abu Dhabi [online](#).

Information is available for NYU Shanghai [online](#).

Academic Discipline

Section 80 of the University Bylaws provides that “Academic misconduct shall be governed by the policies and procedures established by each individual college or school. All non-academic misconduct shall be governed by the University-wide Student Conduct Policy.” In general, each school handles breaches of academic discipline, such as plagiarism or cheating on examinations. Matters involving breaches of the peace or disruptive disturbances may come within the jurisdiction of the Faculty or the Senate, depending on the nature of the circumstances. The Senate has approved a “Statement of Policy on Student Conduct at New York University” and the “Student Disciplinary Procedures,” as well as a general set of “New York University Rules for the Maintenance of Public Order.” For further information, contact the Dean’s Office in the appropriate school or the Office of the Vice President for University Life and Global Engagement.

Student Press

The general undergraduate newspaper is the Washington Square News, published daily and available [online](#) and through a smartphone app.

Privacy of a Student’s Educational Records

Among its several purposes, the federal Family Educational Rights and Privacy Act of 1974 (FERPA) was enacted to protect the privacy of a student’s education records, by limiting access to student records and the disclosure of information contained in them, to establish the rights of students to inspect and review their education records, and to provide students with an opportunity to have inaccurate or misleading information on their education records corrected. See [New York University Guidelines for Compliance with the Family Educational Rights and Privacy Act \(FERPA\)](#).

Selected University Policies

SELECTED POLICIES CONCERNING THE PROTECTION OF RIGHTS AND OTHER MATTERS

[Academic Conflict of Interest and Conflict of Commitment Policy](#)
[Affirmative Action Policy and Equal Opportunity Policy Statement](#)
[Code of Ethical Conduct](#)
[Educational and Research Uses of Copyrighted Materials Policy Statement](#)
[Honorary Degrees Policy](#)
[Legal Protection for Faculty Members Policy](#)
[Memberships and Subscriptions Policy](#)
[New York University Guidelines for Compliance with the Family Educational Rights and Privacy Act \(FERPA\)](#)
[Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees](#)
[Personal Relationships in the Workplace Policy—New York, District of Columbia, and California](#)
[Preventing Threatening or Violent Behavior in the Workplace Policy](#)
[Principles and Procedures for Dealing with Allegations of Research Misconduct](#)
[Procedures for Termination or Reorganization of Academic Programs](#)
[Sexual Misconduct, Relationship Violence, and Stalking Policies](#)
[Sponsored Research Guidelines](#)
[Statement of Policy on Intellectual Property](#)
[University Calendar Policy on Religious Holidays](#)

SELECTED POLICIES CONCERNING GOOD ORDER IN THE CONDUCT OF UNIVERSITY AFFAIRS

[Guidelines for the Use of University Facilities](#)
[Guidelines for Administrative Implementation of NYU Policies on Speech, Speakers and Dissent](#)
[Non-Solicitation Policy - New York, District of Columbia, and California](#)
[Policy on Substance Abuse and Alcoholic Beverages](#)
[Rules for the Maintenance of Public Order](#)
[Speakers and Other Campus Visitors Policy](#)
[Student Conduct Policy](#)
[University Smoke Free Campus Policy](#)