

FACULTY HANDBOOK

NEW YORK UNIVERSITY
A private University in the Public Service

ARCHIVED

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Introduction

LETTER FROM THE PRESIDENT

I have the great privilege of greeting you as president and professor of New York University. In both capacities, I salute you for intellectual endeavor of the highest order—in the classroom, laboratory and beyond—mentoring and advising graduate and undergraduate students. In all this and more, you internalize our collective interest as part of your own interests and thereby embrace the notion of a common enterprise university. For the inescapable challenge of stating, debating, and renewing the purpose of such a university demands that all faculty act as true partners, each contributing to the university's self definition as it emerges over time.

At the core of every great institution of learning is its faculty. And you join us at an exciting time in the University's long and distinguished history. We are at a threshold moment, for we have chosen to transform our institution from one of the leading research universities in the world into an institution that will establish a new level of educational excellence. You are at the core of that effort, and we will not compromise in our ability to secure the best possible talent to join you as we build an institution of unique stature.

President John Sexton

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 and employees are expected to carry out their institutional responsibilities in accordance with applicable legal and ethical principles. 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.

Please refer also to the "[NYU Code of Ethical Conduct](#)".

FOREWORD

Purpose of Handbook

This Handbook is designed to acquaint members of the faculty and administration of New York University with the general organization and functioning of the institution and with various policies, procedures, and conventions. In keeping with this purpose, it has been compiled from a number of sources. Some parts quote those formulations that have a controlling effect throughout the University, such as the [Charter](#) granted by New York State, the University's [Bylaws](#), and various policy statements and procedures formally adopted by the Board of Trustees. A careful attempt has been made to set forth such passages in a way that will prevent their being confused with those statements that merely describe practices that have evolved or have been adopted administratively over the years. Matters that have a controlling effect are subject to reasonable interpretation by the officers charged by the Bylaws with that responsibility, but can be changed only by action of the body or bodies that enacted them. Matters not in this category may be modified by administrative action from time to time as may prove advisable.

Important Additional Information

The separate schools and colleges will supplement this text with information on local procedures and day-to-day operations. 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.

Names, addresses, and telephone numbers have not been cited, because of the expected long life of this Handbook. Such 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, that 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 the number of policies available on the web will continue to increase over time.

It is expected that this Handbook will be brought up to date periodically and that a version will be created for and kept up to date on the NYU web site. A faculty member may verify information cited in this Handbook with the Dean's Office.

The University

HISTORY AND TRADITIONS OF NEW YORK UNIVERSITY

A Brief History of New York University

In the early part of the 19th century, a group of prominent New Yorkers, among whom were several individuals who would become founders of New York University, formed the New York Athenaeum, a society devoted to the discussion and advancement of science, art, and literature. The concept of higher education, grounded in practical and utilitarian concerns rather than solely on scientific or professional considerations, was a considered topic.

In December 1829, a group of nine men, including representatives of the clergy, the commercial occupations, law, and medicine met at the home of Reverend James Mathews to explore the possibility of establishing an institution of higher education that would operate according to their collective vision. This gathering and several subsequent others resulted in the call for a public meeting to lay the groundwork for the establishment of the University of the City of New-York.

During the public meeting, which took place at the New-York Historical Society in January 1830, Jonathan Wainwright of Grace Episcopal Church echoed the general thinking of the group, now appropriately called the University's founders. Complementing the Jacksonian politics of the era, he proposed a curriculum based on "useful instruction" for the mercantile class. Albert Gallatin, resident of New York City and former Secretary of the Treasury, shared the vision of the formulation of a non-denominational college, which would "enlarge the opportunities of education for those qualified and inclined." He described his motivation in a letter to a friend: "It appeared to me impossible to preserve our democratic institutions and the right of universal suffrage unless we could raise the standard of general education and the mind of the laboring classes nearer to a level with those born under more favorable circumstances."

Not only would traditional courses in law, medicine, and theology be offered, but also courses, which taught the skills that would enable students to become "merchants, mechanics, farmers, manufacturers, architects, and civil engineers." The curriculum would include modern languages in addition to Latin and Greek, history, natural science, philosophy, and economics. Financing was arranged through the sale of stock at \$25 per share. Shareholders, with one vote for each \$100 subscribed, chose the 32 members of the first Council. Albert Gallatin was elected President of the Council and Reverend James Mathews became the first Chancellor. Shortly thereafter, during a convention of national leaders in the chamber of the Common Council at City Hall, Gallatin outlined his educational philosophy and suggested establishing an English college, in addition to the classical curriculum, where the study of ancient languages would not be required.

In 1830, the New York State Legislature received a petition to charter the University of the City of New-York which included a plan for two departments of instruction: "one for elementary and practical education in the classics, in English and American literature, and the sciences, and one partaking of the character of a university as on the continent of Europe," as in the German universities and the newly founded University of London. Medicine, law, and teacher instruction were to follow. On April 18, 1831 the New York State Legislature accordingly chartered the University of the City of New-York.

The University Council rented lecture rooms in Clinton Hall, a new four-story building located downtown near the City Hall, and instruction began in the fall of 1832. Since Clinton Hall was situated in the heart of the bustling, noisy commercial district, the University Council looked uptown for a permanent and more suitably academic environment. For \$40,000, the Council purchased the northeast block of Washington Square East and issued a report calling for a “commodious but plain” building to be erected.

Through the influence of Chancellor Mathews, the architectural firm of Town, Davis, and Dakin was chosen to design the building. In spite of resistance within the University, Mathews chose an elaborate gothic design from among the alternatives offered by the designers, ignoring the earlier directive for simplicity. In the summer of 1833, workmen laid the cornerstone of what came to be known as the old University Building. The interior contained a great gothic chapel, as well as several classrooms, lecture spaces, and living quarters. In 1835, with the upper two stories yet unfinished, the University community eagerly took possession of its new and permanent home, which was formally dedicated on May 20, 1837.

Undergraduate enrollment hovered at 150 students for most of the 19th century; however, the Schools of Law (1835), Medicine (1841) and College of Dentistry (1865) grew rapidly. Development of New York University into a modern university system dates from the late 19th century, at which time it acquired an educational scholar as Chancellor, Henry Mitchell MacCracken. The Washington Square campus added the Graduate School of Arts and Science (1886), the School of Pedagogy (1890), now the Steinhardt School of Culture, Education, and Human Development, and the School of Commerce (1900), now the Leonard N. Stern School of Business. MacCracken brought the independent proprietary schools of law, medicine, and dentistry under central administrative control. In 1894, after discarding a plan for merging with Columbia College, he moved the undergraduate schools of arts and science and engineering further north from the urban crowding of Bohemian-bordered Greenwich Village to University Heights in the Bronx. The stimulus of Columbia University’s growing fame and prosperity, and of scholarly innovations in graduate study at Johns Hopkins, helped the University at this juncture to experience real growth.

The Council amended its charter in 1893, distancing the University from close political and clerical ties, and began to expand the educational mission, to seek gifts of funds, and to foster competition in intercollegiate athletics. A research-focused undergraduate and engineering curriculum was centered at the Bronx campus. The old University Building was replaced by the larger, more space-efficient Main Building in 1895 to accommodate growth at Washington Square. The medical school merged with Bellevue Medical College in the 1890s and thus became allied to New York City’s great public hospital, lineal descendent of the 1736 colonial almshouse hospital. Bellevue and the University Medical Center then developed into a unified teaching hospital and research center.

In the late 19th century, the University began to attract a more business-like Board of Trustees and interested donors such as industrialist/financier Jay Gould and his family, and began in 1887 to admit women and African Americans into what formerly comprised a mainly white male student body. The small, classical University of the City of New-York became New York University in 1896, and began to fulfill its mission of educative partnership with New York City. The University’s urban milieu fostered a dynamic tension between competing claims of liberal and professional education, a dominant theme in the development of higher education in the United States. New York City’s population grew by 1.3 million between 1900 and 1910, with

Eastern European Jews accounting for about half that number. Households of mixed German-Irish immigrants in the five boroughs of New York soon outnumbered those of third-generation Americans.

By the end of World War I, the University had established an additional arts and science division in Greenwich Village in the form of Washington Square College (1914) and had established the Graduate School of Business (1916), now the Leonard N. Stern School of Business, Graduate Division in the financial district. High professional enrollments of commuting students at Washington Square coexisted with the smaller University Heights residential colleges for decades. The past 65 years have seen the founding or expansion of the Institute of Fine Arts (1933), the School of Continuing and Professional Studies, formerly the School of Continuing Education (1934), the Courant Institute of Mathematical Sciences (1934), the Robert F. Wagner Graduate School of Public Service, formerly the Graduate School of Public Administration (1938), the Post-Graduate Medical School (1948), the Silver School of Social Work, formerly the School of Social Work (1960), the Tisch School of the Arts, formerly the School of the Arts (1965), the Gallatin School of Individualized Study, formerly the University Without Walls (1972), and the College of Nursing (2005), formerly a division within the Steinhardt School. A grant-funded self-study in 1956 laid out the proposed restructuring of post-war educational goals and policies, including the addition of the post of president to the administrative chain to better facilitate external relations such as fundraising and government relations.

The University underwent financial difficulties in the late 1960s, from which ensued the sale of the University Heights campus in 1972. At the same time, University College (1832) and Washington Square College (1914) – now the College of Arts and Science – merged at the Square, and the School of Engineering and Science moved to Brooklyn Polytechnic Institute in downtown Brooklyn. These difficulties had one major, very positive result: they provided then-President James Hester and University officials with the opportunity to make a sweeping assessment of the future of NYU. During Hester's tenure (1962-1975), NYU began to improve the quality of its faculty, strengthened curriculum, and established more stringent admissions requirements. It was at this juncture that NYU came to conceive itself as a specifically urban university.

In the late 1970s, President John Sawhill, who succeeded James Hester, put the University on a firm financial footing and positioned NYU for the next stage in its development. The movement to advance the level of scholarship at NYU gained momentum with the appointment of John Brademas in 1981. Dr. Brademas had come to NYU after a distinguished 22-year career in the U.S. Congress. Under his leadership, the University began to undergo a renaissance at every level, and nowhere is this more clearly reflected than in the construction and renovation programs of the 1980s, among the most extensive ever undertaken by an urban university. The building of residence halls, which continued under President Oliva, resulted in the transformation of Washington Square into a residential campus; at the same time, the building and renovating in the 1980s of facilities that support academic programs has been integral to the continued high caliber of those programs. NYU emerged during Dr. Brademas' tenure as an institution of national reputation.

The University's stature as a research institution of the first order was achieved under the leadership of President L. Jay Oliva, who served from 1991 to 2002. Dr. Oliva held a succession of high academic and administrative posts, including that of Chancellor, before becoming the first member of the faculty to be elected president. His leadership was crucial to the long-term

growth and development of New York University, and his administration was marked by a series of important advances. These included the successful effort to build a “campus in the city”; major growth in international studies, drawing record numbers of international students and scholars to NYU and establishing more study centers abroad; and strong support for the research work of the faculty while maintaining a high level of classroom instruction. Under President Oliva the University also saw the continuing consolidation of its programs at Washington Square, represented by the relocation of the Graduate Division of the Stern School of Business to the Square in 1992.

NYU’s current president, John Sexton, also is the Benjamin Butler Professor of Law and NYU Law School’s Dean Emeritus, having served as dean for 14 years. He joined the Law School’s faculty in 1981, was named the School’s dean in 1988, and was designated the University’s president in 2001.

President Sexton, at his installation on September 26, 2002, issued what he saw as the principal challenge of his presidency: “to dare to use the gifts we have to create the category change we need: a transformation in the years ahead from a leading university to one that will be among a handful of ‘leadership universities,’ those few that execute their core mission with such manifest excellence that they become the models others emulate. Our purpose, in short, is to create at NYU one of the first exemplars of what universities will be in this new century.”

Toward that end, the president is leading an intensive effort over the next five years, through the Partners program, to expand, strengthen and further energize the arts and sciences, the academic core of the University. The cornerstone of a larger \$2.5 billion capital campaign, the Partners program is led by a gift of \$60 million from six trustees, and matched by another \$150 million in University funds.

Between the start of the 2004-2005 academic year and the end of the 2009-10 academic year, the University will expand arts and science faculty by some 20 percent, or 125 positions, the most rapid expansion of its faculty in NYU’s history.

The Story of New York University is intertwined with the growth and development of New York City, and faculty and graduates have provided the city notable leadership in law, medicine, science, politics, the arts, and in the American imagination. Members of the faculty have achieved notable success with fellowships and prizes, including Guggenheim and MacArthur fellowships, Pulitzer and Nobel prizes, and membership in the National Academy of Sciences. In 2006-07, the University enrolled 38,735 students for degrees [19,582 undergraduate and 15,355 graduate plus 3,798 in professional and global programs], and full-time faculty members at Washington Square, mid-Manhattan, and the Schools of Medicine and Dentistry numbered approximately 3,500.

New York University has emerged as a nationally and internationally recognized research university, yet it has never strayed from its original mission. Indeed, the complexity of being such a university in an increasingly global city has given the institution a texture and depth unique in America. The University has sought and continues to seek to merge tasks that elsewhere in this country are seen as requiring different institutions—research university, liberal arts college, urban comprehensive institution, center for professional education—and to make sure that New York City’s cosmopolitan nature is reflected throughout.

The opportunities and challenges facing New York University at the beginning of the 21st century are ones it has confronted throughout its history. The purpose of the founders (some of whom were in the world of business—not unlike the Trustees of the contemporary University) was explicitly an urban one. In the spirit of its original mission of providing talented students with an agency for social mobility, and in its expanded role as an internationally important center of research and teaching, the University today offers an excellent academic program; it retains and attracts outstanding faculty; it maintains and constantly enlarges its special relationship to the surrounding city. Clearly New York University was planned from the beginning to be exactly what it has become: “A Private University in the Public Service.”

(Portions of the above brief history adapted from New York University and the City; an illustrated history by Thomas J. Frusciano and Marilyn H. Pettit, New Brunswick, 1997)

University Traditions

Although the name under which the University was originally chartered was the “University of the City of New-York,” the institution from the beginning was commonly known as New York University, and the name was officially so changed in 1896. Despite the seemingly public nature of the name, New York University has always been an independent and autonomous institution of higher education, financed primarily by private endowments, current gifts, and fees. It is not to be confused with other institutions having similar names, the oldest of which is the University of the State of New York, created originally in 1784 as a corporation authorized to charter and control institutions of higher and secondary education in the state; it is now the corporate name of the State Education Department headed by the Board of Regents.

Another, and more recent, such foundation is the State University of New York (SUNY), established in 1948 to coordinate and develop under a board of trustees the state-financed institutions of higher education; still another is the City University of New York (CUNY), established in 1961 to coordinate the municipally supported colleges governed by the Board of Higher Education of the City of New York.

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,” together with the name of the University and the roman numerals for 1831, the year of the founding of the institution. When reproduced, the darker portions of the seal are usually printed in violet, the official color of the University.

In recent years a simplified version of the torch alone has been abstracted from the official seal and has gained wide acceptance when used as a symbol of New York University to identify publications, letterheads, buildings, etc. It appears on the cover of this Handbook.

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 old Gothic 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. Both considerations may have entered into the selection, of course. Over the years various shades of violet have been

used as the University color. In 1964, however, the University Senate decided that the official standard for University use would be a particular bluish shade of violet, registered with the Color Association of the United States as “Mayfair Violet, 17575.” The Senate also decided at that time that the academic robes for the University would be produced in Mayfair Violet.

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 then to the Chancellor of the University. When the position of the Chancellor is vacant, the functions of the Chancellor are performed by the Provost of the University.

The academic administration of the University is shared by general and regional University officers, 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 men and women, about 80% of whom are former students of the University. Six are specifically designated as Alumni Trustees; one such Alumni Trustee is elected each year. All Trustees serve six-year terms and, except for the Alumni Trustees who may not succeed themselves in that capacity, are eligible for re-election at the end of a term in office. Terms are staggered so that one-sixth of the Board is elected each year. The Trustees have enacted Bylaws that outline the basic structure of the University and determine the principal officers and agencies that will deal with its affairs and the ways in which those affairs are to be conducted.

The Board of Trustees holds an annual meeting each October and meets at various other times during the year. At the annual meeting in October, the Trustees elect their own officers, who serve until the next election. Between meetings, the Executive Committee has broad authority to act for the Board. Other standing committees are the Academic Affairs Committee, Audit Committee, Committee on Trustees, Development Committee, Financial Affairs Committee, and Alumni Affairs Committee.

The conduct of educational matters throughout the University is entrusted, under the leadership of the President, 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 [Bylaw 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 he or she holds 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 school, college or institute or a representative committee of the faculty thereof, each of whom will serve at the pleasure of the President and Chancellor; will consult or cause his or her 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 his or her duties and may appoint advisory councils of senior management and academic leaders and others as he or she deems appropriate; subject to Board policies regarding conflicts of interest and executive sessions, may attend meetings of any standing 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.

Provost [Bylaw 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 [Bylaw 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 Health [Bylaw 35]

The Executive Vice President for Health 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 for Health will be the senior assistant to the President and Chancellor in all matters involving the schools of Medicine, Dentistry and Nursing and other health-related areas within the University; will work with the deans and other University officials on long-term academic, financial and operational strategies for health and health-related activities at the University; will be the principal liaison between the University and NYU Hospitals Center and its subsidiaries; and will have such other powers and duties as the President and Chancellor, Chair or Board may prescribe from time to time.

Secretary and General Counsel [Bylaw 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 and its Executive Committee and other standing committees and distribute them to Trustees in accordance with these Bylaws; will cause notice to be given to Trustees and officers of Board and Board committee meetings and acts of the Board and Board committees affecting them; will be responsible for the issuance of diplomas and 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 [Bylaw 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 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. (Those interested in complete details are referred to the relevant Bylaws of the University— Chapters VII and VIII.)

In summary, the University Senate is empowered to act upon “educational matters and regulations of the academic community that affect more than one school.” (See Bylaw 59(c).) Senate decisions in such matters are binding upon all faculties unless overruled by the Board of Trustees on an appeal lodged by a faculty. University-wide commissions report their findings and recommendations to the Senate. In addition, it is the deliberative body of the University for academic policies, structure, and procedures, including proposals for changes; it is concerned with the academic program and structure, personnel and budgetary policies, development of facilities, and community, professional, and educational relations of the University. It makes recommendations to the President, and, through the President, to the Board of Trustees concerning the policies and practices of the University. The Senate may also make recommendations for consideration by each of the faculties concerning their internal educational programs and policies. The Senate is authorized to define the educational terms used in catalogs, bulletins, and other announcements, upon which it may also make advisory recommendations; it is responsible for fixing the academic calendar and determining the length of terms and vacations, for arranging the Commencement exercises, and for establishing regulations on academic costume.

Bylaw 60 reads as follows: “The Senate will consist of the President and Chancellor, and not more than eighty-four voting members as follows: (a) not more than thirty-six members of the Faculty Senators Council, including one representative of the Division of the Libraries of the University; (b) not more than fifteen academic members of the Deans Council; (c) not more than twenty-three members of the Student Senators Council; (d) not more than five representatives of the Administrative Management Council; and (e) not more than five officers of the University, including the President and Chancellor, the Provost, The Executive Vice President, and Executive Vice President for Health, the Secretary and General Counsel, or such other officers of the University as may from time to time be designated by the President and Chancellor.”¹ The faculty members are elected—one or more per school or college—from the faculties of the constituent

¹ Bylaw 60, cited in the Faculty Handbook, is amended by the uncodified “Interim Amendment to the Amended and Restated Bylaws With Respect to Senate Representation For the University's Polytechnic School of Engineering,” which was approved by the Board of Trustees on December 18, 2013 as recommended by the University Senate. The action, which amends the composition of the University Senate beginning on January 1, 2014 through August 31, 2014, in relevant part provides “that the composition of the University Senate will be increased by four members beginning on the date of the Merger through August 31, 2014 as follows: (a) the faculty member of NYU-Poly who currently serves as an Observer on the Faculty Senators Council (“FSC”) will become an FSC representative in the University Senate; (b) the Dean of the School of Engineering will become a Deans Council representative in the University Senate; and (c) an undergraduate student and a graduate student in the School of Engineering, each selected as determined by the Student Senators Council (“SSC”), will become SSC representatives in the University Senate.”

schools of the University listed in Bylaw 70, according to the number of full-time members in their professorial ranks. (For this and other purposes, the faculties of the School of Medicine and of the Post-Graduate Medical School are regarded as one medical 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.) Faculty Senators are divided into three classes with staggered three-year terms of office. The deans hold their seats ex-officio, as do five of the administrative members. The other administrative Senators are designated at the discretion of the President and Chancellor. One student Senator is elected annually from each school or college, except that two schools, which include both undergraduate and graduate divisions, elect one student Senator from each division. In addition, up to seven student Senators may be appointed at large by the Executive Committee of the Senate with the advice and consent of the regular student Senators.

Some understanding of how the Senate functions may be gained by considering its Councils and the structure and interests of its committee system. The faculty Senators constitute the Faculty Senators Council; the academic deans belong to the Deans Council; the students are organized as the Student Senators Council. All these groups 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.

The standing committees of the Senate, all of which include members drawn from the three Councils as well as appropriate central administrative members of the Senate (including representatives of the Administrative Management Council), are the Academic Affairs Committee; the Executive Committee; the Committee on Organization and Governance; the Public Affairs Committee; the Faculty Affairs Committee; the Financial Affairs Committee; and the University Judicial Board. The Executive Committee, composed of the President and Chancellor and the chairpersons of the three Councils, is authorized to act on urgent matters that may arise at times when the full Senate cannot be convened. The Faculty Affairs Committee (formerly the Faculty Personnel Committee) is composed of all the members of the Faculty Senators Council, as required by Bylaw 64(a). In addition, the Senate has certain special committees.

The Senate generally meets monthly during the months of October, November, December, February, March, April, and May in accordance with a schedule adopted by the Senate during the academic year and at other times, upon three days' notice, at the special call of the President and Chancellor or by written request of five members.

University Councils and Commissions

[The Faculty Senators Council](#)

Each of the faculties, according to its size, has one or more representatives on the Faculty Senators Council, a University-wide body of elected professors. University Bylaw 64(a) provides that "The Faculty Senators Council may consider any matters of educational and administrative policy and will function as the Faculty Personnel Committee of the Senate. It will designate representatives on the other standing committees, and in appropriate instances on the ad hoc committees, of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other educational functions as are assigned to it by the President and Chancellor or by the Board. The

administration of New York University and the Faculty Senators Council have agreed to the following five Principles of Joint Shared Governance (*Approved by the Board of Trustees, December 12, 2012*):

1. Representation

The Faculty Senators Council (FSC) will have a representative (from the 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 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 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 FSC is not in session, the FSC 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 FSC’s provisional review committee are subject to full FSC review and approval. The FSC 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 FSC. The administration will then promptly convey its final decision to the FSC.

4. Reasoned Justification

When the FSC submits advice in writing to the University administration and the administration does not agree with or accept the FSC’s advice, the administration will provide its reasons for not accepting the FSC’s advice to the FSC in writing and in a timely matter.

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 FSC communication or if it reflects the personal view(s) of the author(s).

The Deans Council

University Bylaw 65(a) provides that “The Deans Council may consider any matters of educational and administrative policy, and will make appropriate recommendations to the President and Chancellor and other University officers. It will perform such other functions as are assigned to it by the President and Chancellor or by the Board.”

The Student Senators Council

University Bylaw 66(a) provides that “The Student Senators Council may consider any matters in which the interests, rights, or responsibilities of students are involved, and will take special responsibility for bringing to the attention of the Senate all matters concerning the students’ extracurricular life at the University. For this purpose, the Council will invite the presidents of student governments in the several schools, and such faculty members and administrative officers as may be specified in the rules of the Council, to function together as the University Committee on Student Life. The Committee may work through such local units as may be appropriate at the various geographical centers of the University, and will transmit to the Senate, through the Student Senators Council, its policy recommendations concerning student life. The Student Senators Council will designate representatives on the standing committees and, in appropriate instances, on the ad hoc committees of the Senate. It may bring to the attention of the various committees of the Senate any matters that it believes should be presented to the entire Senate. It may bring to the attention of the President and Chancellor any matters that it wishes to discuss with him or her. It will perform such other functions as are assigned to it by the President and Chancellor, by the Board, or by the Senate.”

The Administrative Management Council

University Bylaw 67(a) provides that “The Administrative Management Council of the Senate will be the liaison in the Senate for the Administrative Management Council of the University, which is composed of elected representatives from the professional and administrative staffs of each school and division of the University. The Administrative Management Council of the University functions as an initiative, deliberative and responsive body concerning policy issues, serves as a vehicle for promotion the continued professional growth and development of its constituents, and has a commitment to community service. The Administrative Management Council of the Senate will designate representatives on the standing committees of the Senate and, where appropriate, on any ad hoc committees of the Senate. The Administrative Management Council of the Senate may bring to the attention of the various committees of the Senate matters of concern to the University’s professional and administrative staffs that it believes should be presented to the entire Senate.”

Graduate Commission

University Bylaw 68(a) provides that “There will be a Graduate Commission having power, subject to the approval of the Senate, to recommend to the President and Chancellor and the Board general policies respecting graduate study in the University leading to masters’ and doctors’ degrees in course except first professional degrees. The Commission will undertake studies and present proposals designed to strengthen the program of graduate instruction in the University. The Commission will review the work of the schools concerned with the preparation of candidates for the degrees under the purview of the Commission, will specify the means of

maintaining comparable standards of work for the degrees and of assuring the complete availability of the general graduate offering of the University to every qualified student regardless of the school in which he or she is primarily enrolled, and will in appropriate instances promote the integration or coordination of graduate study by accrediting total programs in the several schools. The recommendations of the Commission will be implemented through suitable directives by the President and Chancellor, the Provost and the Executive Vice President for Health.”

Other University and Interschool Committees and Commissions

University Bylaw 69(a) provides that “The Senate or the President and Chancellor may from time to time appoint other University and interschool committees and commissions, which will have such powers and duties as are delegated to them at the time of their organization until modified or annulled by action of the appointing authority.”

Organization of Schools, Colleges, and Departments

Schools, Faculties, and Divisions of the University [Bylaw 70]

- (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	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 Continuing and 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	Polytechnic School of Engineering

- (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 School of Medicine and for the Post-Graduate Medical School, that 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 that 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) 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, as the administrative head of the school, is “responsible for carrying out the policies of the University” and for executing “such rules as his or her faculty may from time to time adopt.” The dean presides at faculty meetings, supervises the work of faculty members, and makes recommendations to the Chancellor of the University for the appointment, promotion, tenure as appropriate, dismissal, and retirement of officers of instruction and administration in the school. The dean is responsible for the preparation and submission of the budget for the school and for its implementation when approved. (See Bylaw 71.) 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

The President and Chancellor is authorized to divide courses of instruction into departments. The chief executive officer of a department within one school bears the title of “chairperson” and is responsible to the dean of that school. The chief executive officer of a University department, created to provide instruction in more than one division of the University, bears the title of “head” and is responsible through the appropriate deans to the President and Chancellor and the Provost. (See Bylaws 71 and 72.)

Responsibilities of the Faculties [Bylaw 76]

- (a) Educational Conduct and Functions. The educational conduct of each of the several schools and colleges, within the limits prescribed by these bylaws or by the Board, is committed to the faculty of each of the schools, and to such officers of the 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 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 schools concerned therewith.
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(d) Libraries. It is the duty of the faculty of the Division of the Libraries to develop and implement the acquisition policies 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 provide access to the content of the collections by organizing them, by developing bibliographic guides, and by providing bibliographic assistance and instruction; 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 rules concerning the use of the libraries' collections.

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

LIBRARIES

A Brief History

During its early years, New York University, in the urban tradition, drew upon the library resources of the community to provide the best research tools for students and faculty alike. Close working relationships were established with the New York Society Library and many other specialized libraries throughout New York City, while the University's own collection grew slowly, chiefly by donations of books, and was concentrated in the professional fields of law and medicine. The first official University library was assembled in 1835—281 volumes worth \$620.75. Housed on the third floor of the University Building, the new gothic structure at Washington Square, it was by no means a central collection. With the movement of the University center to University Heights in 1894, the Gould Memorial Library was established to provide the University the level of library service necessary to support the curriculum. The Gould Library was designed by Stanford White as a tribute to Jeffersonian educational and architectural ideals. The schools at Washington Square continued at first to rely on the library resources available in the city, but in 1921 began assembling a library in the Main Building.

After World War II, the growth of public higher education and the overwhelming demands placed upon the traditional urban sources of academic library research within New York City led the University to embark on a bold new program to create research library resources to be devoted primarily to the University community. Attention was first turned to the professional schools, where the need for expanded facilities had become most pressing. The completion of Vanderbilt Hall in 1951 provided excellent facilities for the Law Library. In 1957 the Medical Library expanded into a new building to ensure its ability to meet the needs of the advanced programs of the School of Medicine. The Meyer Gold Library at Trinity Place (the business collection, now a part of Bobst Library) and the Institute of Fine Arts Library, One East 78th Street, closely followed.

By the early 1960s, the University recognized that its future success required the establishment of a new central library building at the Square. Book collections and library personnel were scattered in 28 separate locations, many ill-suited for storage or study. With the aid of an \$11 million gift from Elmer Holmes Bobst, pharmaceutical entrepreneur and philanthropist, the University's new main library, the Elmer Holmes Bobst Library, opened in 1973. Designed by architects Philip Johnson and Richard Foster, the 12-story Longmeadow redstone building (with two more floors below ground level) covers a full city block at the southeast corner of Washington Square and houses a collection of over 3 million volumes.

The extraordinary growth of the University's academic programs in recent years, along with the rapid expansion of electronic information resources, has provided an impetus for new development in NYU's libraries, and they continue to enhance their services for NYU students and faculty and to strengthen research collections.

Library Facilities and Services

The striking, 12-story Elmer Holmes Bobst Library, is the flagship of an eight-library, 4.6 million-volume system that provides students and faculty members with access to the world's scholarship and serves as a center for the University community's intellectual life. The New York University system includes seven other specialized libraries: those of the Institute of Fine Arts, the Courant Institute of Mathematical Sciences, the Real Estate Institute, and the Law, Medical, and Dental Schools. Faculty have borrowing privileges to the libraries at Cooper Union, Mannes College of Music, the New School, and Parsons School of Design, through the Research Library Association of South Manhattan. Faculty also have reading privileges at Columbia, Yale and Princeton.

The Bobst Library houses more than 3.3 million volumes, 29 thousand journal subscriptions, and over 5 million microforms; and provides access to thousands of electronic resources both on-site and to the NYU community around the world via the Internet. The Library is visited by more than 6,400 users per day, and circulates ca. 500,000 books annually.

Bobst Library offers three specialized reference centers, 28 miles of open stacks shelving, and approximately 2,000 seats for readers. The stacks are open until midnight and a 24-hour study area is located on the A & B levels.

The Avery Fisher Center for Music and Media, one of the world's largest academic media centers, has over 100 audio and video viewing carrels and 5 media-enhanced classrooms; students and researchers use more than 51,000 audio and video recordings per year. The Studio for Digital Projects and Research offers a constantly evolving, leading-edge resource for faculty and student projects and promotes and supports access to digital resources for teaching, learning, research and arts events.

Among the noteworthy collections of Bobst Library are those in American and English literature and history, economics, education, science, music, United Nations documents, Near Eastern and Ibero-American languages and literatures, and Judaica and Hebraica. Bobst Library is also home to significant special collections such as the Fales Library of English and American Literature, one of the best collections of English and American fiction in the United States. Fales contains the unique Downtown Collection, archives documenting Downtown New York literary and artistic creativity from the 1970s to the present, focusing on the developments of postmodern writing and dance, performance art, outsider art, and the downtown music scene. Bobst Library houses the Tamiment Library, one of the finest collections in the world for scholarly research in labor history, socialism, anarchism, communism, and American radicalism. Tamiment includes the Archives of the Abraham Lincoln Brigade and the Robert F. Wagner Labor Archives, which holds the Jewish Labor Committee Archives, and the historical records of more than 200 New York City labor organizations.

Librarians who are subject specialists serve as liaisons to faculty in the various New York University schools and departments. Faculty participation in the collection development process is encouraged. In addition to collection development, the subject specialists provide specialized reference assistance, library instructional sessions, and work directly with faculty and students to assist with specific research needs.

Beyond Bobst, the library of the renowned Courant Institute of Mathematical Sciences focuses on research-level material in mathematics, computer science, and related fields, and the Stephen Chan Library of Fine Arts at the Institute of Fine Arts houses the rich collections that support the research and curricular needs of the Institute's graduate programs in art history and archaeology. The Jack Brause Real Estate Library at the Real Estate Institute is the most comprehensive facility of its kind, designed to meet the information needs of the entire real estate community.

Complementing the collections of the Division of Libraries are the Frederick L. Ehrman Medical Library of NYU's School of Medicine and the Dental Center's Waldman Memorial Library. The Law Library serves the programs of the School of Law and is strong in a variety of areas, including legal history, biography, jurisprudence, copyright, taxation, criminal, labor, business and international law plus such legal specialties as urban affairs, poverty law and consumerism. The Web sites of all the libraries at the University can be found at <http://www.nyu.edu/academics/libraries.html>. Faculty can also stay in touch electronically with New York University Libraries by subscribing to the listserv LIBLINK.

[New York University Press](#)

Founded in 1916 by Elmer Ellsworth Brown, then Chancellor of the University, New York University Press was, in his words, created "to publish contributions to higher learning by eminent scholars."

In the more than 85 years since its founding, the Press has sought to reflect the intellectual vitality of New York University by publishing a wide array of provocative and compelling titles, as well as works of lasting scholarly and reference value. NYU Press was once best known for its publication of The Collected Writings of Walt Whitman, the most comprehensive and definitive series of the poet's work. In more recent years, the Press has published major new, award-winning works such as the three-volume [Encyclopedia of Jewish Life Before and During the Holocaust](#) (a 2001 National Jewish Book Award winner) and distinctive works of scholarship in history, religion, psychology, literature, cultural studies, politics, sociology, film, and law. In addition, the Press has established lists in New York regional history, politics and culture, Balkan Studies, and growing lists in such fields as Jewish studies, African-American studies, Asian-American studies, Latino/Latina culture, and youth culture in general. NYU Press publishes approximately 100 new books each year, enjoys a backlist of over 1500 titles, and was described recently by the Chronicle of Higher Education as "a major player in academic publishing."

The Press seeks manuscripts without regard to the affiliation of the author, and, over the years, the Press's publishing program has come to include an international roster of scholars. As an academic publisher, the Press utilizes outside peer review as part of the editorial review process of all proposed book projects. Members of NYU are highly encouraged to submit book manuscripts in those disciplines where the Press is actively publishing, and the Press will give particular attention to the work of faculty members. Inquiries should be addressed to the director (see the NYU Public Directory for contact information).

UNIVERSITY RELATIONS AND PUBLIC AFFAIRS

New York University is a large community of 50,000 students, members of faculties, administration, and staff. Informing the various interested sectors of the public of news and developments within our community is the primary mission of the Office of Public Affairs and the bureaus reporting to it

NYU's dramatic rise over the past 15 years brings with it ever-increasing media attention and scrutiny, much of it positive, some if it less so. It is hard to overstate the importance of effective communications in supporting the University's strategic goals. Thoughtful communications about NYU's efforts as a research university and member of the community of major New York institutions are crucial for enabling public officials, academics, donors (whether individuals, alumni, foundations, or corporations), candidates for admissions, parents of students, our neighbors, as well as those in our own community to better understand us and engage with us in an informed and productive fashion.

Among the communications tools employed by the Office of Public Affairs are news releases, contact with editors and editorial specialists in print and electronic media, bulletins and catalogs, advertising, still photography, motion picture film and video, direct mail, distribution of reprints of notable speeches and policy statements by administration and faculty, and the use of the web and other means of electronic communications.

But the public relations of New York University are, literally, also the business of everyone who works for the University, from its President and Chancellor to its newest employee. For while the Office of Public Affairs is charged with the formal mission of helping to enhance the public recognition and stature of the University and its scholars by disseminating official information through recognized media and established channels of information, some of the most telling impressions those interacting with NYU gain may depend on how courteously a telephone is answered; what a staff member tells friends about work; how effectively a member of our community works in his or her home community; and how students respond to the quality of teaching and the counseling they receive throughout their undergraduate and graduate years here.

The Office of Public Affairs is eager to support NYU's faculty and work closely with them to publicize their academic efforts and achievements. In addition, the Office works to make connections between news organizations and scholars with expert knowledge, enabling faculty members to educate the public widely on issues of civic importance.

See the NYU Public Directory for contact information.

THE OFFICE FOR UNIVERSITY DEVELOPMENT AND ALUMNI RELATIONS

University Development

The Office for University Development and Alumni Relations (UDAR) is responsible for raising the funds required to ensure that the University carries out its primary missions—providing education of the highest caliber to its students, and public service to the community and nation. As a private institution, New York University relies on individual, foundation, and corporate philanthropy to augment revenue from tuition, fees, and investment return on endowment. In concert with other offices of the University, UDAR coordinates the efforts of the Board of Trustees, School Councils and Boards, University personnel, alumni, and friends of the University to attract support from the private sector.

Each school of the University coordinates their fundraising efforts through UDAR. Each school has a development director who works with the dean or deans of that school and its faculty members on development projects. Through the development director, UDAR can assist faculty members with proposal development and research on prospective donors. To ensure that more than one representative of the University does not solicit prospective donors at a time, all requests to approach a donor are cleared through UDAR. This office is also the route through which faculty members request the assistance of University trustees in their solicitations.

In addition to the individual fundraising efforts of each school director, UDAR also engages alumni and supporters of the university with a range of fundraising events and programs. UDAR coordinates the University's annual fund solicitation efforts through The Fund for NYU and has established the Young Alumni Leadership Circle to engage recent graduates in giving to the University. UDAR assists faculty, alumni, and friends with making planned gifts through the Office of Planned Giving, and recognizes donors who have made significant gifts to NYU as members of several honorary gift societies. This office also coordinates the fundraising activity of the NYU Parents Program and the NYU Parents Committee.

In the fall of 2004, New York University, through UDAR, launched the Campaign for NYU — a comprehensive fundraising drive involving each of NYU's trustees and deans, as well as University-wide administration and staff. The Campaign will run until 2008, and will raise significant philanthropic support to advance research, learning, teaching, and scholarship at NYU. The Campaign will provide essential financial resources for faculty recruitment and housing, student financial aid, research and programmatic support, and the creation and renovation of facilities that support academic and research programs.

Alumni Relations

To facilitate the engagement and participation of NYU's 300,000 plus alumni, UDAR has implemented a wide range of alumni programs, events, and publications. Recently introduced initiatives include a University-wide Alumni Reunion Weekend celebration held each spring; NYU Alumni Magazine, mailed twice a year to all NYU graduates; the NYU in Your Neighborhood series of alumni receptions around the country with President Sexton, deans and leading faculty; and the Recent Alumni Network, engaging recent graduates of the University; as

well as numerous other publications, career networking events, alumni volunteer opportunities, and student orientations.

UDAR also works to promote the many benefits that are available to New York University alumni, among which are access to University facilities and services such as the Office of Career Services; the Jerome S. Coles Sports and Recreation Center and Palladium Sports Center; the Elmer Holmes Bobst Library and Study Center; as well as credit card, travel, and insurance programs. UDAR helps promote the exchange of information among alumni and alumni organizations by providing free online communications resources, including email forwarding services, online directories of alumni contact information, and an online jobs database.

UDAR oversees the activities of the NYU Alumni Association. The NYU Alumni Association President chairs the Alumni Association's Executive Committee of elected officers and represents alumni to the University.

For more information on alumni benefits and programs, including the Fund for NYU, visit the [Alumni site](#).

The Faculty

(This part of the Faculty Handbook, The Faculty, begins under the heading Academic Freedom and Tenure with Titles I-IV of the University's formal rules of tenure and related provisions. It's followed by Other Faculty Policies, with 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. It should be noted that other important policies can be found in Selected University Policies.)

ACADEMIC FREEDOM AND TENURE

Title I: Statement in Regard to 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 December 2, 1996)

I. Authorization by the Board of Trustees¹

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.

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 teacher in teaching and of the student in learning. Academic freedom imposes distinct obligations on the teacher such as those mentioned hereinafter.

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 men and women of ability.

IV. Academic Freedom

Teachers 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.

¹ The reference to the Bylaws and a number of bracketed sectional headings have been added.

Teachers 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.

Teachers 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.

V. *Academic Tenure*

1. Part-time positions and other positions] A distinction is made between part-time and full-time members of the teaching staff. 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 teaching staff. The full-time members of the teaching staff are those teachers 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. [Cf. Bylaw 84.]

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 teachers 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 School of Medicine and its departments, the Leonard N. Stern School of Business and its departments, and the College of Dentistry and its departments and its College of Nursing, 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 School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, 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 he or she 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: (1) the sixth year as a full-time associate professor at New York University; or (2) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, the eighth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor; or (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, the eleventh year, as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor; or (c) in the Leonard N. Stern School of Business or any of its departments, the tenth year as full-time teacher at New York University in the rank or ranks of assistant professor or associate professor, or (3) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, the fifth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and 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; (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, the eighth year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and 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; (c) in the Leonard N. Stern School of Business or any of its departments, the seventh year as a full-time teacher at New York University in the rank or ranks of assistant professor or associate professor and follows a term at 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.

If a full-time teacher at the time of his or her first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he or she has gained permanent or continuous tenure in another institution of higher education in the United States having tenure regulations similar to those in effect at New York University and leaves that institution to accept appointment as a full-time associate professor at New York University, it is assumed that he or she has permanent or continuous tenure at New York University unless it is agreed in writing that his or her appointment is for a probationary period of not more than four years. It shall be the responsibility of the University official hiring the teacher to raise the question of tenure possibly achieved elsewhere.

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 his or her own field, as well as his or her capacity for inclining students toward noteworthy attainments. It should be granted only to men and women 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: (1) if the reappointment is for the fourth year as a full-time professor at New York University; or (2) if the reappointment is for the sixth year as a full-time professor or associate professor at New York University; or (3) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, if the reappointment is for the eighth year as a full time teacher at New York University in the rank or ranks of assistant professor, associate professor, or professor; (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments or its College of Nursing, if the reappointment is for the eleventh year as a full-time teacher at New York University in the rank or ranks of assistant professor, associate professor, or professor; (c) 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 teacher at New York University in the rank or ranks of assistant professor, associate professor, or professor, or (4) (a) in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry and its departments and its College of Nursing, and the Leonard N. Stern School of Business and its departments, if the reappointment is for the fifth year as a full-time teacher 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 in paragraph six of this section; (b) in the School of Medicine or any of its departments and the College of Dentistry or any of its departments and its College of Nursing, if the reappointment is for the eighth year as a full-time teacher 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 in paragraph six of this section; (c) 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 teacher 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 in paragraph six of this section.

If a full-time teacher at the time of first appointment at New York University has formally disclosed to the appropriate dean or officer of central administration the fact that he or she has gained permanent or continuous tenure in another institution of higher education in the United States having tenure regulations similar to those in effect at New York University and leaves that institution to accept appointment as a full-time professor at New York University, it is assumed that he or she has permanent or continuous tenure at New York University unless it is agreed in writing that his or her appointment is for a probationary period of not more than three years. It shall be the responsibility of the University official hiring the teacher to raise the question of tenure possibly achieved elsewhere.

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 (3), or paragraph 5, clause (4), of this section. In determining whether prior service at another educational institution should not be included, consideration shall be given to whether or not the prior service: (a) was in 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 not be included within 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

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 teacher gains permanent or continuous tenure at New York University in one rank, his or her tenure will not be invalidated by subsequent promotions in rank.

VI. *Termination of a Tenure Appointment*

1. When a member of the teaching staff has permanent or continuous tenure or is serving an appointment for a term of years which has not expired, his or her services may be terminated 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.²
2. Termination for cause:
 - a) [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 of a character seriously prejudicial to his or her teaching or research or to the welfare of the University. [Cf. Bylaw 87, Removal.]
 - b) [Rules; notice; record] Proceedings for termination of service for cause shall be conducted in accordance with such rules as may from time to time be adopted 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 preferred against him or her and informing him or her of his or her rights under this section and under relevant University bylaws and rules regulating proceedings on such charges. The person charged shall be entitled to a hearing before a hearing panel of the Faculty Tenure Committee of the University in accordance with the regulations pertaining thereto. A full stenographic record of the hearing shall be given to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers or other scholars, whether from this University or from other institutions.
 - c) [Appeal to the Tenure Appeal Committee] 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 Faculty Tenure Committee shall be forwarded to the Tenure Appeal Committee for review and final determination. In the absence of such request, the findings, conclusions, and proposed sanctions of the hearing panel shall be final.

² The Board of Trustees has approved resolutions concerning "[Procedures for Termination and Reorganization of Programs](#)" dated December 10, 1979 and December 1, 1997

- d) [Rules bind all parties] The rules regulating proceedings to terminate service for cause shall be binding upon all parties.
- e) [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 President and Chancellor the dean of the college, school, or division involved with the assent of the President and Chancellor whenever, in his or her judgment, continuance of the person in service threatens substantial harm to himself or herself, to others, or to the welfare 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.
- f) [Review of suspension] In the event of summary suspension, the propriety and effect of such suspension shall be reviewed by the hearing panel of the Faculty Tenure Committee 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.
- g) [Salary following dismissal] A person having permanent or continuous tenure who is dismissed for cause may, upon the recommendation of the hearing panel of the Faculty Tenure Committee and, in the event of an appeal, upon the approval of the Tenure Appeal Committee, receive his or her salary for up to one year from the date of mailing to him or her, by registered mail, of a notice of such dismissal.

VII. Existing Commitments

This statement, while applicable generally to all members of the teaching staff of New York University at the time of its adoption, is not intended to modify existing commitments, as in the case of assistant professors previously appointed without reference to non-tenure restrictions.

II. 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 embarrassment 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 transferring] It is assumed that a teacher may answer an informal inquiry about whether he or she would be willing to consider transfer to another institution under specified conditions without previous consultation with University officials, with the understanding, however, that if a definite offer follows he or she

will not accept it without giving such notice as is indicated in the preceding provisions. A teacher is at liberty to ask his or her superior officers to reduce, or waive, the notification requirements there specified, but he or she is expected to conform to their decision on these points.

IX. 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

X. 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 his or her 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 he or she 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 his or her 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 his or her 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 his or her 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.

XI. Notification of Non-Tenured Faculty Members

1. [Notification; prospects] During his or her probationary period, each full-time assistant professor, associate professor, and professor shall be notified annually by the departmental head or chairperson, or by the dean in schools without departmental organization, of his or her prospect of being recommended by the department on the evidence then available for an appointment resulting in tenure. Where it is unlikely that tenure will be achieved, such notification shall be in writing³.
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 his or her dean at least 120 days prior to the termination date of the period of appointment, to an extension of his or her 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 Section X.

³ In addition to the current requirement of yearly notice to each faculty member, set forth in Title II, Section XI.1, 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 School of Medicine and any of its departments, the Leonard N. Stern School of Business and any of its departments, and the College of Dentistry and any of its departments including its College of Nursing, 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.

XII. 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 his or her 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 he or she has received from the department head or chairperson and the advisory body.
 - b) The Provost shall support or oppose the dean's recommendation in his or her 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: Rules Regulating Proceedings to Terminate for Cause the Service of a Tenured Member of the Teaching Staff, Pursuant to Title I, Section VI, of the Statement in Regard to Academic Freedom and Tenure

(Titles III and IV were adopted by the University Board of Trustees on October 24, 1960 and have been amended through December 8, 1986)

I. Initiation of Dismissal Proceedings

1. 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 for cause the service of a tenured member of the teaching staff. He or she shall formulate, or cause to be formulated, the charges in writing. A copy of such charges, together with notice of proceedings for termination of his or her service for cause, shall be mailed by registered mail to the person involved (“the respondent”).
2. The respondent shall serve a written answer upon his or her dean and the President and Chancellor of the University within twenty days after service of the charges and notice upon him or her 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.
3. Upon receipt of the answer of the respondent, the dean shall forward to the chairperson of the Faculty Tenure Committee copies of the written charges and of the answer to such charges.
4. If the respondent fails to serve a written answer within twenty days, or any extension of such time, the dean shall nevertheless forward the charges to the chairperson of the Faculty Tenure Committee with a statement showing that no answer has been served by the respondent.
5. Within fifteen days after submission of the charges and answer, or of the charges alone, as the case may be, to the Faculty Tenure Committee, the chairperson of such committee shall set a time for the commencement of a hearing, which shall not be more than thirty days thereafter unless further time is granted by the chairperson upon request of either party.

II. The Faculty Tenure Committee and Its Hearing Panels

1. The Faculty Tenure Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to establish a hearing panel to hear the charges against a tenured faculty member in proceedings for termination of his or her service for cause. Its powers are confined to such cases and do not extend to grievances concerning the terms of special contracts of employment, promotion, salary, conditions of work, or similar questions.

2. The Faculty Tenure Committee shall consist of a faculty representative from each school or college in the University. The representative shall be a former elected senator who is still a full-time teacher in the University and is not a dean or the incumbent of a comparable administrative position. The former senator whose term has most recently concluded shall be named first, and in his or her absence by reason of leave, illness, or other inability to serve, the next most recent former senator, and if he or she be unable to serve, then the next most recent former senator, and so on until the list of former senators has been exhausted. If two or more senators had their term of office expire on the same date, lots shall be cast to determine the former senator who shall first be eligible to serve. If there be no available and properly qualified member of the faculty of any unit, then a representative who is eligible to be an elected member of the Senate shall be elected by the faculty of the unit in the manner in which a member of the Senate is elected. The Faculty Tenure Committee shall, when the Committee is called upon to consider a case, elect a Committee chairperson who shall serve until a hearing panel has been selected and has elected its own chairperson.
3. Whenever a case has been referred to the Faculty Tenure Committee, the Committee shall designate from its membership a hearing panel of five members to hear and decide the case. One member of the panel shall be the faculty representative from the same school or college as the respondent. The remaining four members shall be selected by the Faculty Tenure Committee, and such selection shall proceed notwithstanding the unavailability to serve of any former senator from one or more schools or colleges. The hearing panel shall select its own chairperson. Once identified to serve in a particular case, the members of the hearing panel shall continue to serve until the completion of all proceedings, except as otherwise provided by these rules.

III. Conduct of Hearings Before the Hearing Panel of the Faculty Tenure Committee

1. An arbitrator who is an attorney shall be the presiding officer at the hearing on the charges. The arbitrator shall be chosen from a list of 12 qualified attorney-arbitrators compiled by the American Arbitration Association. The charging party and the respondent each may strike up to four 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. 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. A calendar of hearing dates in a proceeding for dismissal shall be fixed by the chairperson of the 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 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. 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.

3. The arbitrator shall conduct the hearing and rule on all procedural matters, including the admissibility of evidence, subject to the right of each party to appeal to the 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.
4. 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 3 of this article III, each member of the panel, at the hearing, may inquire into whatever is believed relevant to the inquiry. 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.
5. The respondent may be assisted by counsel of his or her choice, as may be the charging party. Counsel for both sides shall cooperate at all times with the panel and the arbitrator.
6. A request by either party to present witnesses shall be made to the panel, which may limit the hearing of witnesses at its discretion. If witnesses are called, each party shall have the right of cross-examination.
7. Each party may introduce exhibits, which shall constitute part of the record of the case. They shall be retained in the custody of a suitable person designated by the chairperson unless, after appropriate precautions to preserve a record of their purport, the chairperson shall order otherwise.
8. A stenographic record shall be made of all proceedings at the hearing. However, on order of the chairperson, 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. This transcript shall be available to all parties to the hearing.
9. 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.
10. All five members of the hearing panel shall be present at the hearing. If, after the commencement of the hearing, a member of the panel becomes unable to continue to serve, he or she shall be excused from further service. Should a member of the panel

repeatedly fail to carry out his or her obligations as a member of the panel, he or she 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, and should the number of panel members be reduced to fewer than three, the Faculty Tenure Committee shall designate a new hearing panel which shall commence a de novo proceeding. The members of the original panel who remained on the panel at the time that it ceased to function shall be eligible to serve on the successor panel. The affirmative vote of a majority of the panel shall constitute any action by the panel. Subject to the foregoing, the panel may adopt rules not inconsistent with the provisions herein set forth.

11. Upon completion of the hearing, the panel shall deliberate and make 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 panel must be supported by a majority of its members 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.

IV. Report of the Hearing Panel of the Faculty Tenure Committee

1. The report of the hearing panel of the Faculty Tenure Committee shall be in writing and shall consist of (a) a transcript of the record of the hearing and the exhibits offered or introduced into evidence by the parties; (b) such findings, conclusions, and proposed sanctions as the panel shall make, including a statement of the facts deemed essential to the findings; (c) a memorandum setting forth the reasons for any recommendations, including any recommendation for severance pay where dismissal for cause is recommended; and (d) any memorandum submitted by any member of the panel, at his or her own discretion, with reference to his or her opinion as to the matters in controversy.
2. 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.
3. Complete copies of items (b), (c), and (d) described in section 1 of this Article IV shall be transmitted to the President of the University and to the parties to the hearing. Either party may take an appeal from the findings, conclusions, and recommendations of the hearing panel by filing a written notice of appeal with the President of the University within ten days of the receipt of the aforesaid items. In the event of an appeal, the full report as described in section 1 of this article IV shall be submitted to the Tenure Appeal Committee as described below.

V. The Tenure Appeal Committee of the University

1. The Tenure Appeal Committee shall have jurisdiction, under the “Statement in Regard to Academic Freedom and Tenure” published by the Board of Trustees of New York University, to hear an appeal from the findings, conclusions, and recommendations of a hearing panel of the Faculty Tenure Committee in a proceeding for the termination for cause 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. 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 Faculty Council; 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. 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 Faculty Council and the Board of Trustees. Any substitute for the chairperson of the Faculty Council shall be a member of the Faculty Council and any substitute for the chairperson of the Academic Affairs Committee of the Board of Trustees shall be a trustee of the University.

VI. Action by the Tenure Appeal Committee

1. Upon the request of either the respondent or the charging party, the Tenure Appeal Committee of the University shall consider the findings, conclusions, and recommendations of the hearing panel of the Faculty Tenure Committee on the record made at the hearing before the panel. If the Tenure Appeal Committee deems the record not complete, it may refer the matter back to the panel for further data, findings, and recommendations.
2. An opportunity for argument before the Tenure Appeal Committee shall be afforded to each of the parties or their representatives before the final vote on the merits of the controversy.
3. Upon appeal a tenured member of the teaching staff shall be removed for cause only by a vote of a majority of the Tenure Appeal Committee to affirm the findings of the hearing panel in support of one or more of the charges. A recommendation for dismissal for cause made by the hearing panel shall be upheld only if the Tenure Appeal Committee determines: (i) that the findings against the respondent on 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 dismissal is appropriate. If the Tenure Appeal Committee does not determine that the findings in support of one or more of the charges are supported by substantial evidence in the record as a whole, or determines 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 dismissal for cause 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 provided, however, that any decision to increase the sanction recommended by the hearing panel must be upon the unanimous vote 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 report setting forth its findings and conclusions, stating the reasons therefor, including the dissenting views of any member of the Committee.
6. The secretary of the University shall provide a copy of the report of the Tenure Appeal Committee to the parties and to the President of the University.
7. The final disposition of the case shall be made public only after the parties to the hearing have been officially informed of the decision of the Tenure Appeal Committee. Until that time no information concerning the hearings shall be disclosed to the public.

VII. General Provisions

1. 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 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.

Title IV: General Disciplinary Regulations Applicable to Both Tenured and Non-Tenured Faculty Members

1. [General obligations] Quite apart from any question of tenure or the termination for cause of the service of a faculty member with tenure, 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 obligation] In particular, the faculty member is obligated to live up to the standards of academic freedom as outlined in this statement. Disciplinary action may also follow when the faculty member engages in other conduct unbecoming a member of the faculty, such as violation of the New York University [Rules for the Maintenance of Public Order](#), any action which interferes with the regular operations of the University or the rights of others, any serious violation of the law, or any other conduct prejudicial to the teaching, research, or welfare of the University, and so forth.

Disciplinary Procedures

- A. The following procedure is applicable where a question arises concerning an alleged violation by any member of the faculty of a rule or regulation of the University, with the exception of the proceedings brought by the appropriate official to terminate the services of a faculty member with tenure.
- B. Initiation of Disciplinary Proceedings
 1. [Who may file a complaint] Any officer of the University, any member of the faculty or staff, or any student may file a complaint against a member of the faculty for conduct prohibited by the rules and regulations of the University, or its schools, colleges, and departments.
 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. [Where to file a complaint] The complaint shall be filed with the dean of the faculty member's school, except that a complaint against a dean shall be filed with the Provost. Complaints must be filed within a reasonable time after an alleged violation.
 4. [Informal resolution at school level] When a complaint is filed against a member of the faculty, an effort shall be made to resolve the matter informally under the direction of the dean of the member's school at the departmental level or with a committee of the faculty of that school. 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.

5. [Hearing committee for the non-tenured] Where the faculty member does not have continuous or permanent tenure, the matter shall be referred, with all pertinent information, to the Chairperson of the Faculty Council, who shall appoint a special committee of the faculty, either members of the Council 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. The Chairperson of the Faculty Council shall appoint the chairperson of the committee.
6. [Procedures and authority under Item 5] The special hearing committee shall adopt its own rules of procedure and shall have authority to impose any of the penalties, other than dismissal, listed in paragraph B.9 and to recommend dismissal. Decisions shall be by majority vote. A recommendation for dismissal must be approved by the dean (except where he or she is the subject of the charge) and the Provost.
7. [Hearing committee for the tenured] Where the faculty member has continuous or permanent tenure, and the proceeding or charge was not brought by the President, and Chancellor, the Provost, or the dean of the member's school or college, specifically in order to terminate service (Title III), the matter shall be referred to the chairperson of the Faculty Tenure Committee, who shall appoint a special hearing committee and chairperson from the membership of the Faculty Tenure Committee. One member of the hearing committee shall be from the college or school in which the faculty member holds primary appointment.

8. [Procedures and authority under Item 7] The special hearing committee of the Faculty Tenure Committee shall adopt its own rules of procedure and shall have authority by majority vote to impose any of the penalties, other than dismissal, listed in paragraph B.9. If the possibility of dismissal should be at any time involved, the procedure must follow that in Title III.
9. [List of penalties] Penalties 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:
 - a) Reprimand
 - b) Censure
 - c) Removal of privileges
 - d) Suspension
 - e) Dismissal
10. [Appeal] A faculty member may appeal the decision by the hearing committee to impose a penalty. Appeal shall be to Provost. 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 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. Any such appeal must be made to the Provost within fifteen calendar days after receipt of notice of the decision of the hearing committee. The Provost may seek the advice of such individuals or groups as he or she deems appropriate.

In deciding the appeal the Provost may affirm or reverse the decision of the hearing committee, 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 him or her 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.

OTHER FACULTY POLICIES

Faculty Membership and Meetings

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 are reproduced here.

Faculty Membership [Bylaw 79]

- a) Voting Members. The voting members of each faculty shall consist of the President and Chancellor, the Provost, the dean of the faculty, and the professors, associate professors, and assistant professors (or in the Division of the Libraries, the curators, associate curators, and assistant curators), who serve on a full-time basis. In addition, the Executive Vice President for Health will be an ex officio voting member of the faculty of the School of Medicine, of the Post-Graduate Medical School, and of the College of Dentistry; and each vice president or deputy provost or vice provost who has academic responsibilities will be an ex-officio voting member of the faculty of each school in his or her purview.
- b) Attendance at Faculty Meetings. In addition, professors emeriti, adjunct and clinical and visiting professors of each grade and research professors without tenure of each grade, instructors, library associates, lecturers, senior language lecturers, language lecturers, master teachers, teachers, master artists, and artists-in-residence, whether they teach on a full-time or part-time basis, are entitled, subject to faculty regulations, to attend faculty meetings, but they will not have the right to vote at such meetings, except as provided below. Every year, each faculty through affirmative action of its voting members as specified in subsection (a) of this Section 79 may in its discretion, and according to its own qualifications, grant voting privileges to all or some of the individuals described above on matters affecting that faculty only, and excepting matters directly or indirectly affecting the individual's candidacy for a degree or his or her status on the faculty at the University, and the election of members of the Faculty Senators Council or University commissions.
- c) Officer of Instruction. An officer of instruction serving on a full-time basis in the University will be a full-time member of the faculty of each school in which he or she gives instruction regularly, but will have voting rights in the election of members of the Faculty Senators Council only in the school of his or her principal assignment as determined for this purpose by the President and Chancellor.
- d) Roster. The roster of faculty members entitled to voting rights in each faculty under subsections (a), (b), and (c) of this Section 79 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 [Bylaw 80]

Each faculty will hold at least four meetings each year, at such times and places and under such rules of procedure, consistent with these bylaws, as it may determine. 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 appears in a 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 Bylaws 82, 73, and 84, approved May 27, 1968, as amended through January 1, 2014, 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, the professional librarians of New York University have had full faculty status. Their titles of rank are equated with those of the teaching ranks.

Professors and Associate Professors; Curators and Associate Curators [Bylaw 82]

- a) Appointments. Professors and associate professors are usually appointed to serve on a full-time basis, and 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 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 are granted tenure rights under conditions similar to those applicable to professors and associate professors.

Assistant Professors; Assistant Curators [Bylaw 83]

- a) Appointments. Assistant professors are usually appointed for one year only, but full-time service in this rank may be counted, to the extent permitted under the rules of the Board of Trustees, toward the attainment of tenure by assistant professors that are promoted to the rank of associate professor or professor.
- b) Maximum Duration. A full-time assistant professor in any school, college, division, or department except the School of Medicine and its departments, and the College of Dentistry, its College of Nursing and their departments, and the Leonard N. Stern School of Business and its departments, who is not promoted at the expiration of seven 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 School of Medicine, the College of Dentistry and its College of Nursing or any of their 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 as the expiration of nine years as a full-time assistant professor shall be ineligible for further full-time appointment in the University.

- c) Notice. The appropriate dean or departmental chairperson shall as a matter of academic courtesy give notice of these rules to full-time assistant professors in any school, college, division, or department except the School of Medicine and its departments, the College of Dentistry, its College of Nursing and their departments, and the Leonard N. Stern School of Business and its departments, in the sixth year of service as assistant professor, or, in the School of Medicine or any of its departments and the College of Dentistry, its College of Nursing and their departments, in the ninth year of service as assistant professor, or in the Leonard N. Stern School of Business or any of its departments, in the eighth year of service as an assistant professor, but no assistant professor or instructor shall be promoted or acquire tenure rights on the ground that he or she did not receive a notice or reminder of this section of the bylaws.
- d) Libraries. Assistant curators in the Division of the Libraries (including assistant curators in the School of Medicine) are appointed on the same terms and conditions as assistant professors at New York University, without extension of probationary period as provided for assistant professors in the 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. An exception is made, under special administrative arrangements approved by the President and Chancellor, for assistant curators appointed prior to October 1, 1972.

Non-Tenure Positions [Bylaw 84]

- a) Types of Nontenure Positions. 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. 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 include the following:
- instructor;
 - research professor, research associate professor, research assistant professor (except when the title of research professor is conferred as a distinction upon a person already having tenure at New York University);⁴
 - adjunct professor, adjunct associate professor, adjunct assistant professor;
 - clinical professor, clinical associate professor, clinical assistant professor;⁴
 - visiting professor, visiting associate professor, visiting assistant professor;

⁴ In the School of Medicine, these designations denote part-time status. For full-time service appointments, the designations "Professor (Research or Clinical)", "Associate Professor (Research or Clinical)", and "Assistant Professor (Research or Clinical)" are used.

- senior research scientist, research scientist, associate research scientist, assistant research scientist;
- senior research scholar, research scholar, associate research scholar, assistant research scholar;
- senior language lecturer and language lecturer;
- lecturer, master teacher, teacher, master artist, artist-in-residence;
- teaching fellow, teaching associate, teaching assistant;
- associate, research associate, assistant, clinical assistant, graduate assistant, research assistant.

Any position designated by a title not specified in this chapter shall be a non-tenure position unless the Board of Trustees determines otherwise.

b) In Specific Schools.

Additional nontenure positions in specific schools include the following:

In the Tisch School of the Arts:

- arts professor, associate arts professor, assistant arts professor;
- visiting arts professor, visiting associate arts professor, visiting assistant arts professor.

In the Steinhardt School of Culture, Education, and Human Development:

- music professor, music associate professor, music assistant professor

In the School of Medicine:

- professor (clinical), associate professor (clinical), assistant professor (clinical);
- professor (research), associate professor (research), assistant professor (research)

- c) Full-time Instructor. A full-time instructor is usually appointed for one year only, but if not promoted at the expiration of three years as an instructor shall be ineligible for further full-time appointment in the University. Full-time service in the rank of Instructor may not be counted towards the attainment of tenure by instructors who are promoted to the rank of Associate Professor or Professor. Library Associates are appointed on the same terms and conditions as Instructors.

Further Information on Selected Non-Tenure Track Position Titles

The title *instructor* is ordinarily applicable to an appointee as an officer of instruction who has not completed the Ph.D. or equivalent degree necessary for entry into the rank of assistant professor, but whose academic preparation is sufficiently advanced to indicate the likelihood of completing that degree and who otherwise gives evidence of character, productive scholarship, and ability to teach.

The title *acting professor* (or *acting associate professor* or *acting assistant professor*) is applicable to a temporary appointee of appropriate caliber who may succeed to unqualified appointment to the rank thus tentatively occupied, but who ordinarily has no assurance of such succession. Occasions for such temporary appointment are rare and are employed only when other designations fail to satisfy the circumstances.

The title *visiting professor* (or *visiting associate professor* or *visiting assistant professor*) is ordinarily applicable to an appointee who is a member of the teaching staff on leave of absence as a full-time teacher of corresponding professorial rank from another institution, but may be applicable to an appointee who does not have a home institution. The duration of the appointment of a visiting professor is normally one year, but shall not exceed three years. In the event of subsequent appointment to the tenure track, the time as visitor will count as part of the probationary timetable.

The title *research professor* (or *research associate professor* or *research assistant professor*) may be employed as a courtesy title without tenure implications, for part-time or full-time service or visiting individuals whose primary activities are in the area of research.

The title *research scientist* or *research scholar* (*senior, associate* or *assistant*) may be used for those temporarily serving on year-to-year appointments under research contracts, without tenure implications.

The title *clinical professor* (or *clinical associate professor* or *clinical assistant professor*) is applicable in the medical, dental, and certain other divisions to appointees whose professional attainments are comparable to those required for the regular professorial grades but whose teaching service is part-time or whose qualifications and responsibilities are fundamentally distinguishable from those of appointees in the tenure-earning ranks.

The title *language lecturer* (or *senior language lecturer*) is applicable in the Faculty of Arts and Science and in the School of Continuing and Professional Studies to an appointee whose professional attainments are in the area of language instruction and whose qualifications and responsibilities are fundamentally distinguishable from those of appointees in the tenure-earning ranks.

The title *adjunct professor* (or *adjunct associate professor* or *adjunct assistant professor*) is applicable to an appointee whose academic preparation and professional attainments are such as to meet the qualifications for the regular professorial grades as set forth in the tenure statement but who usually does not have a current professorial connection with any other institution and is appointed to teach, usually a part-time program, in New York University on a purely temporary basis. Appointment in these ranks is made on a year-to-year or semester-to-semester basis.

The title *lecturer* is applicable to an appointee who is an individual of distinction in a professional field, who is not otherwise on the teaching staff of the University, and who is engaged to give a series of lectures or to teach on a part-time basis during a specified semester or year.

The title *teaching assistant* is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a teaching assistant are

ordinarily related to the field or discipline of a student's degree studies at NYU and are primarily focused on the development and exercise of teaching skills. Generally, such appointments entail stipend support and tuition remission.

The title *graduate assistant* is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a graduate assistant are ordinarily related to the field or discipline of a student's degree studies at NYU and are primarily focused on the development and exercise of a variety of professional and technical skills. Generally, such appointments entail stipend support and tuition remission.

The title *research assistant* is applicable to a graduate student pursuing a prescribed course of study at this institution who, because of outstanding qualifications, is appointed to part-time duties concurrent with his or her academic program. The duties of a research assistant are related to the field or discipline of a student's degree at NYU and are primarily focused on the development and exercise of a variety of research-related skills. Generally, such appointments entail stipend support and tuition remission.

The designations *instructor, lecturer, associate teacher, master teacher, master artist, artist-in-residence, teaching fellow, graduate assistant, research assistant* and *teaching assistant*, and any positions designated or not designated by a title cited in this chapter, whether gained at New York University or elsewhere, do not fall within the academic hierarchy (i.e., *assistant professor, associate professor, professor*) that may lead to tenure at New York University, and service in such capacities, irrespective of its duration or where it was rendered, whether full-time or part-time, is not creditable toward tenure requirements at New York University.

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.

All officers of instruction 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.

Tenure and tenure-track faculty should aim at the steady enlargement of knowledge in their special fields—by enlarging their own knowledge through continuing study and by enlarging the knowledge of others through making scholarly contributions. All 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.)

General criteria for promotion and tenure for tenure and tenure-track faculty are cited in [Title I, Section V](#) of the Statement in Regard to Academic Freedom and Tenure. Some schools and colleges also have written statements on faculty appointment policies and procedures, particularly those concerned with promotion and tenure.

[Section XI](#) of the Tenure Statement cites important information regarding yearly notification of nontenured faculty concerning tenure prospects, including a formalized early review for certain junior faculty during their third year of service and, in the School of Medicine and the Stern School, also in their sixth year of service.

Teaching and Research Assignments

As regards full-time faculty members, long-standing University policy limits regular teaching assignments to the usual fall and spring terms (approximately early September to mid-May) or equivalent. The summer months are generally expected to be spent partly in scholarly activity for professional growth and partly in rest and recreation. Faculty on such nine-month appointments may accept teaching, research or other employment during the three summer months, either at NYU or at another academic institution, or from another employer. In addition, with permission of the Dean or Chair, faculty may be released from some teaching responsibilities in order to conduct research. Assignments at NYU outside of the usual pattern as a part of the regular teaching load are normally made only as the result of a specific agreement with an individual faculty member. In the School of Medicine and the College of Dentistry, the teaching and research assignments are September through August and September through July, respectively.

Full-time teaching loads are determined administratively under guidelines approved by the Office of the Provost for a particular school or department. 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 Office of the Provost. As an exception, teaching in the School of Continuing and Professional Studies or in a regularly established off-campus program 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 teacher'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 may also be made for teaching in the Gallatin School of Individualized Study and in experimental programs.

A full-time faculty member whose regular teaching assignments are limited to the fall and spring terms (approximately early September to mid-May) may accept teaching or research assignments at times outside his or her regular schedule (e.g., during the summer) at New York University or elsewhere, provided such additional undertakings do not unduly interfere with the teacher's efficiency and serviceability to the department. Summer teaching assignments at New York University are normally made to full-time faculty members only with the consent of the teacher concerned.

Meeting Classes

The regulations of the University require all officers of instruction 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 officers of instruction 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 State Education Department for the different programs offered by the University, and may not be varied arbitrarily by individual teachers.

In case of illness necessitating absence from class, the teacher 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, shall be made to provide a substitute instructor or to make up the work of the class at a later date.

Calendar

The fiscal years for New York University extend from September 1 through August 31. In most divisions (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 divisions extend for the most part from May to August. The calendars published in the University-wide and individual school bulletins will cite specific dates conforming to local variations. This information is also available online (<http://www.nyu.edu>). The annual Commencement exercises are ordinarily held in May.

Bulletins

Each school and college of the University, under the direction of its dean, issues its own bulletin or bulletins describing entrance and degree requirements, programs of study, and the like. Because this is the official publication of the school's or college's requirements and programs, it 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 bulletin.

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 New York University. This implies a limit on outside activities, particularly those that involve the rendering of service for extra compensation.

No one appointed to a tenure or tenure-track faculty position at NYU may simultaneously hold a tenure or tenure-track position elsewhere. Teaching service at other institutions during the academic year must be approved in advance by the Dean.

For tenure or tenure-track faculty, extramural activities that are consistent with the individual's overriding obligation to the University, including consulting and other gainful employment, must be consistent with the principles outlined above and may not require on the average more than one day per week in any academic semester or in any summer month in which the faculty member is receiving compensation for full-time employment at the University.

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

All faculty members shall on a yearly basis report to their deans on (i) teaching outside the University; if the course taught is the same or similar to a course s/he teaches at the University, an outline of the curriculum taught at both institutions must be provided, (ii) other compensated activities outside the University and (iii) significant financial interest in entities having a relationship to the University (see [Policy on Academic Conflict of Interest and Conflict of Commitment](#))

It is the responsibility of departmental chairpersons or 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, professional research and library staffs, and administration.

Limitation on Degree Candidacy

Special attention is called to Bylaw 78(c), which reads as follows:

No officer of instruction holding professorial rank in the University, that is, rank above the grade of instructor, shall be permitted to enroll as a candidate for a degree or be recommended for a degree in course. A degree candidate who accepts appointment to professorial rank must thereupon relinquish such candidacy.

While the rule does not prohibit a teacher of professorial rank, whether on temporary or permanent appointment, 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 all holders of professorial titles, including visiting, research, adjunct, and clinical professors of each grade, and to administrators of policy-making rank. The holder of any professional librarian's rank may pursue graduate work and be a degree candidate at the University.

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 teacher 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 (see the NYU Public

Directory for contact information). Foreign nationals, of course, are not subject to this requirement.

Compensation

The salary of a full-time officer of instruction who teaches in the school's regular fall and spring terms, or a full-time faculty member, teaching assistant, and graduate assistant, in the School of Medicine and College of Dentistry who serves the entire academic year, is paid by monthly check in equal installments over the entire calendar year, beginning on the first day of the month following the effective date of appointment, with the exception that a teaching associate, teaching assistant, teaching fellow, or graduate assistant on duty from September through May receives his or her salary in 17 biweekly payments, starting in September and ending in May.

Salary payments to a part-time member of the instructional staff are payable four times each term, on the first of October, November, December, and January for the fall term, and on the first of March, April, May, and June for the spring term, with the exception that a part-time faculty member appointed for the entire academic year (September through May) will receive his or her salary in nine equal payments starting October 1 and ending June 1. Salary payments of a part-time faculty member in the School of Medicine are paid according to the same schedule as a full-time faculty member in that school.

Salary payments to a visiting faculty member normally follow the same schedule as full-time faculty with the exception that a visitor whose appointment does not extend through the summer months may be paid on the same schedule as a part-time faculty member.

Payment for Summer Months

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-administered sources (e.g. from federal on non-federal research grants). The maximum monthly salary from such sources is one-ninth of the academic year salary.

Payment for teaching in the summer intersession, whether paid as additional compensation to regular full-time officers of instruction or to visiting or part-time personnel, is normally made on one or more of the following dates, depending on the duration of the assignment: July 1, August 1, September 1.

Deductions From Salary

Deductions from the salary check are made by the [Controller's Division](#) for federal, New York State, and New York City income taxes; Federal Insurance Contributions Act (FICA) tax as specified by law; and annuity, group insurance, disability income protection plan, dental plan, and hospitalization and surgical-medical insurance premiums in accordance with individual requirements. Part-time members of the instructional staff, and such essentially temporary appointees as teaching fellows, graduate assistants, and the like, are ordinarily ineligible for annuity, group insurance, or hospitalization benefits. Cases to the contrary are subject to review and decision by the administration.

The University cooperates with the United States Treasury in arranging for the regular purchase of savings bonds under the Payroll Deduction Plan.

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 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

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. In general, at least six years must elapse between consecutive sabbaticals.

It is stipulated that 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.

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 School of Medicine and the Libraries, in which active service is rendered on an 11- or 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.

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 coverages 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 in the benefits booklets or at the Benefits Office (see the NYU Public Directory for contact information).

Leave of Absence (paid and unpaid)

Applications for leave of absence of not more than seven days should be made to the proper dean. Leave of absence for more than seven days requires the approval of the Office of the Provost.

A leave of absence may not be granted to a faculty member who has accepted a tenured appointment elsewhere.

Illness/Disability Leave and Maternity Leave

The salary of a full-time faculty member (Code 102) 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.

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. At the time a faculty member gives birth, she is entitled to an aggregate of six consecutive weeks of paid maternity leave preceding and following the date of birth.

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 he or she 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. In cases of childbirth, no certification will be required unless the request for leave extends beyond six weeks.

A full-time 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 if a participant.

Personal Leave

Personal leave without pay may be granted at the discretion of the dean for a variety of reasons, including those cited below. Faculty members 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 same-sex 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. (A copy of "[Your Rights under the Family and Medical Leave Act of 1993](#)" is available at the Benefits Office; see the NYU Public Directory for contact information.)

Workload Relief Policy (Approved by the University Senate March 1, 2007)

In order to provide relief to faculty members faced with the additional demands of being the primary 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 (1) semester of workload relief from classroom teaching and administrative committee work or two (2) semesters of half relief from such duties based on the individual's normal yearly workload at full salary. 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 shall remain financially responsible for the faculty member's salary during the workload relief period. Financial support for workload relief of classroom teaching, necessitated by having to hire appropriate replacements, is to be borne by a University workload relief fund. Please see the [Workload Relief Form](#) for details.

Individuals eligible for workload relief benefits include all full-time (code 102) faculty. To qualify for workload relief, the faculty member must be the parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or

newly-established legal custodial care. In all circumstances, only one (1) parent may be considered primarily responsible for the care of the child. If both parents could be eligible under this policy because they are both code 102 faculty, each such eligible faculty member could qualify sequentially for a half semester if the designation of primary responsible parent changed, but the total amount of workload relief would not increase.

Normally the first semester of workload relief will be the semester in which the temporary disability leave for childbirth is completed, the semester in which the adoption, foster care or guardianship takes place, or the semester in which the birth takes place. If the primary caregiver taking workload relief is the non-birth parent, only the latter two (2) situations are relevant. 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 (5) months before the start of the first semester of relief, a faculty member wishing to utilize workload relief for parenting under this plan should inform his or her Department Chair by filling out a Workload Relief Form, certifying that she/he is the primary caregiver and stating her/his intentions to take one (1) full semester or two (2) half semesters of relief. The form should be submitted to the person responsible at his/her 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. Tenure clock stoppage will be granted for a cumulative maximum of two semesters during the probationary period to a faculty member who is the primary caregiver of a child whether or not the faculty member avails herself or himself of workload relief. The one (1) full semester of relief or two half semesters of relief will count as credit toward a faculty member's sabbatical leave.

This policy is not intended to replace leave available to faculty members who are eligible for leave for the birth a child, an adoption, or foster care placement under the [Family and Medical Leave Act of 1993](#) ("FMLA"). FMLA shall 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.

Tenure Clock Stoppage for Personal Reasons (Approved by the University Senate March 1, 2007)

Tenure clock stoppage may be granted automatically for a maximum of two 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 primary caregivers of a child; and to primary caregivers of a parent, a spouse, or a domestic partner in a health crisis of extended duration. A domestic partner qualifies if he or she is registered with the University for benefits purposes.

“Primary care” 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 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, maternity leave, or personal leave.

Tenure clock stoppage for up to two semesters will be granted automatically in the case of a parent primarily responsible for the care of a newborn child, newly adopted child, new foster care or guardianship placement, or newly-established legal custodial care, upon notification to the Chair of the Department or, in the case of Schools without departmental organization, the Dean.

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.

Benefits During 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 coverages 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 in the benefits booklets or at the Benefits Office (see the NYU Public Directory for contact information).

Faculty Grievance Procedures

(Adopted by the University Senate May 10, 1973, approved by the Board of Trustees May 21, 1973)

The purpose of these regulations is to establish University procedures by means of which faculty members can seek redress of their grievances. A grievant must be a faculty member of New York University when he or she 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.

3. 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.
4. 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.
5. If a faculty member's grievance is not settled informally at a level below the dean, or by the dean himself or herself, the faculty member may appeal to the dean to convoke the grievance committee of the school or faculty. The dean shall do so within 15 working days⁵. After obtaining the recommendation of the grievance committee, the dean shall decide the case and in writing shall notify the concerned parties and the grievance committee of his or her decision, together with reasons therefor, and information on the procedure for appeal.
6. 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 days². After receiving the recommendation of the committee, the dean shall then make his or her final decision and shall notify as in A-5.

B. Appeal from a Dean's Decision on Appointment, Reappointment, Promotion, or Tenure

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 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.

² See footnote on previous page.

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 Faculty Council but not necessarily members of that body. This committee shall be called the Faculty Council Grievance Committee.
 4. The Faculty Council Grievance 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.
 5. The Committee shall not judge professional merits, but only ascertain whether procedural safeguards have been observed. 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 he or she shall have the aid of an advisor or counsel.
 7. After receiving the advice of the Faculty Council Committee, the President and the Chancellor of the University and Executive Vice President for Academic Affairs shall decide the case and notify the grievant, the dean, and the Chairperson of the Faculty Council Committee. If the advice of the latter is not followed, the reasons shall be reported with the decision.
 8. If the dean’s decision is favorable to the faculty member and hence is not appealed and the Office of the Chancellor of the University and Executive Vice President for Academic Affairs reverses that decision without seeking the advice of the Faculty Council Grievance Committee as described in B-1 through 7, the faculty member may then invoke the appeal procedure.
- C. *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 Chancellor of the University and Executive Vice President for Academic Affairs is so informed within 15 days after the member is notified of the decision, the Central Administration shall make informal procedures available.

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

D. Copies of the Grievance Procedures

A copy of the school's grievance procedure and of this appellate procedure should be given to each full-time faculty member.

Retirement

In order to foster an ongoing relationship with the University's retirees, a number of perquisites are available through Central Administration and the individual schools. Faculty members may contact their Dean's Office for details.

To determine eligibility for benefits after retirement, the [Benefits Office](#) or the Dean's Office should be consulted. See the NYU Public Directory for contact information.

Special attention is called to Bylaws 86 and 74, which read as follows.

Retirement [Bylaw 86]

The tenure rights of officers of instruction and librarians 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.

Term of Administrative Appointments [Bylaw 74]

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 any rights of the officer as holder of a professorship (a) by the President and Chancellor, or the Executive Committee, 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.

Professor Emerita; Professor Emeritus

The titles of Professor Emerita and Professor Emeritus are given only to full professors 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. This title is given only upon formal retirement from active service, or at least from full-time active service. It is not automatic; it must be recommended by a department and approved through the normal procedures applicable to other academic titles. Comparable principles apply to the use of the designation Emerita and Emeritus for administrative personnel.

University Benefits

Benefit Plans and Services

The [Benefits Office](#) of the Human Resources Division provides information about the benefit plans and services available to faculty members, members of the professional research staffs, and administrative and professional staff members. All requests for information and questions Office located at Washington Square. See the NYU Public Directory for contact information, and further information can be found [online](#).

(School of Medicine faculty should contact their Benefits Office; see the NYU Medical Center Telephone Directory for contact information).

Housing for Faculty

University-owned housing is allocated to faculty and staff in order to enhance the academic life at New York 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. Specific University policies govern the allocation of housing. Any questions should be addressed through the individual school Dean's Offices.

Service Recognition Awards

Faculty will receive service recognition gifts upon completion of 10, 15, 20, 25, 30, and 35 years of full-time service to the University. The University will also 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 can be obtained from the Office of the Controller (see the NYU Public Directory for contact information).

Releasing Employment Information

Faculty members wishing to have information about their status at the University officially transmitted to persons or institutions outside the University should apply to the [Office of Academic Appointments](#), in order to execute the required consent form (see the NYU Public Directory for contact information).

Legal 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.

Administrators and 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, e-mail or letters. Responses to such communications must be prepared in consultation between the Office of the General Counsel and the faculty member or administrator concerned. Similarly, under no circumstances should anyone not an officer of the University accept service of legal papers, 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 or administrator to accept service 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 the General Counsel, and ask for instructions.

The Office of the General Counsel is responsible only for official University business and is not staffed to provide personal legal assistance except in the special instances described in “Selected Policies Concerning the Protection of Rights and Other Matters” under the heading of “Legal Protection for Faculty Members”. In exceptional cases, however, the office will, upon request suggest legal organizations or other counsel to University personnel in need of such assistance.

SELECTED UNIVERSITY RESOURCES FOR FACULTY

Office of Faculty Resources

The Office of Faculty Resources, which is based in the Office of the Provost, helps faculty navigate all the services that NYU has to offer them. Faculty can find information on programs and departments that assist in the pursuit of teaching, research, funding, or simply living and working in New York City. Visit the [Office of Faculty Resources](#).

The Administration of Sponsored Research and Training

As part of its activities as a major research institution, New York University provides services to the academic community in support of research, training, and related activities carried out with funding from public, private not-for-profit, and voluntary health agencies. The Office of Sponsored Programs (OSP) serves New York University faculty, excluding the School of Medicine, and Sponsored Programs Administration (SPA) serves the School of Medicine faculty.

Office of Sponsored Programs—Washington Square Campus

OSP is staffed by Projects Officers knowledgeable about funding opportunities in a wide range of academic fields and experienced in working with external sponsors. They assist in the following areas:

- Identify appropriate sponsors and interpret guidelines;
- Develop budgets and fulfill application requirements;
- Review for consistency with institutional and sponsor guidelines;
- Act as liaison between investigators and governmental agencies in the negotiation of awards; and
- Provide guidance to investigators in managing projects administration.

OSP also functions as the University's research compliance office by:

- Identifying new regulatory requirements;
- Negotiating federal assurances and staffing institutional review committees;
- Developing institutional policy and procedures for the protection of human subjects, conflict of interest, and misconduct in science; and
- Supporting the University's obligations under its Assurance covering the use of animals in research.

OSP manages two institutionally-funded research programs:

- New York University Research Challenge Fund, an annual competitive program; and
- University Scientific Instrumentation Costsharing Fund, which offers costsharing for proposals to external research equipment programs requiring it.

To keep the University community informed, OSP maintains a [website](#) which contains:

- News and developments of interest to researchers;
- A deadline calendar (also distributed in hard copy);
- Guidelines for NYU's internal research competitions;
- Principal Investigator's Guide to Preparing and Submitting Proposals;
- Human Subjects' Review Information; and
- Links to funding agencies and online application forms.

OSP also publishes an Award Listing to assist potential sponsors in identifying other faculty members working in compatible areas of interest, and detailed announcements of specific program opportunities. The office maintains a library of sponsor guidelines and application materials as well as guides to proposal development. For additional guidance in the process of applying for externally sponsored programs, OSP has available an overview of University policies and procedures regarding the generation and operation of funded programs by members of the University community, as well as specific information on personnel policies applicable to sponsored research and training personnel.

See the NYU Public Directory for contact information.

Sponsored Programs Administration – Medical Center

Sponsored Programs Administration (SPA) provides specialized services for the scientific community at the New York University School of Medicine. SPA provides individual consultation to assist faculty in obtaining funding for research, public service, and training activities at the School of Medicine.

SPA staff members utilize web-based tools to help faculty find funding, and prepare and submit applications. Faculty can work with experienced SPA staff to perform specialized searches for funding using online databases. NYU School of Medicine faculty have access to electronic research administration via the [SPA Home Page](#). The home page features announcements of new funding opportunities from both federal and non-federal agencies, comprehensive deadline calendars, links to federal and non-federal sponsors, online NYU School of Medicine grant forms, and application forms for external sponsors.

Sponsored Programs Administration coordinates four internal research grant programs. The Research Bridging Support Program provides support to faculty who experience a hiatus in extramural support. The Scholars Program identifies prominent award programs, and works closely with selected candidates to submit competitive applications. The R01/R21 Incentive Program considers support for unsuccessful new (rather than competing continuation) applications for these NIH grant mechanisms that have received favorable critiques but were never funded. The program provides funds for the completion of necessary experiments, the

collection of essential data, or the maintenance of essential laboratory infrastructure deemed necessary to address application critiques and move unfunded grant applications into the fundable range on subsequent submissions. A fourth initiative supports efforts to develop research teams that will be competitive in applying for large (over \$700,000 direct costs per year), multi-investigator research grants such as Program Projects, Center Grants, and SPORES.

Sponsored Programs Administration is responsible for confirming compliance with the requirements of regulatory agencies and sponsors as well as serving as liaison to funding agencies in negotiating awards and contracts. The Senior Associate Dean for Research Administration oversees the review and institutional approval of applications submitted on behalf of the NYU School of Medicine.

See the Sponsored Programs Administration Home Page for contact information.

Faculty Resource Network

The Faculty Resource Network (FRN) at New York University was established in 1984 to address the challenge faced by small liberal arts institutions in providing their faculty members with professional development opportunities in the face of limited human and financial resources. Today, the Network is an award-winning, nationally recognized faculty development initiative involving over 16,000 faculty members who teach more than 200,000 undergraduate students at a broad cross-section of colleges and universities across the country. Member institutions include NYU and 41 liberal arts colleges and universities spanning 18 states, from New York to Louisiana to Hawaii, as well as the Commonwealth of Puerto Rico. Among these members are 15 historically black colleges and universities and 3 Hispanic-serving institutions, including the University of Puerto Rico system. The FRN also is linked closely with the Leadership Alliance consortium, based at Brown University.

All of the Network's programs are value-added: built into each program are sessions on curriculum and course development, as well as dissemination activities. Thus, faculty participants not only work on their own projects and acquire new knowledge and skills while participating in Network residencies, seminars, workshop programs, and symposia, but also are expected to develop new, practical and effective curricula and course modules for implementation at their home institutions, and to disseminate information about new research and pedagogical techniques and tools among their colleagues and students.

New York University faculty members may participate in Network programs in a variety of ways. For further information, check the [website](#) or contact the Faculty Resource Network offices at (212) 998-2090 or by email at frn@nyu.edu.

The Center for Teaching Excellence

The Center for Teaching Excellence began in 1992 as a presidential commission dedicated to Enhancing the Quality of Undergraduate Academic Life (EQUAL). This commission was created by the Office of the President in response to University Senate recommendations endorsing a University-wide effort to improve faculty-student relations and promote teaching effectiveness. For further information, faculty members may contact the Center at 998-2200 or through its [website](#).

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 (see the NYU Public Directory for contact information).

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 Senators Council, 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 Vice President for Student Affairs. When relevant issues or problems arise in working with students, faculty members may find useful resources and expertise in the following areas:

[Office of Housing and Residence Life](#)

[University Counseling Service](#)

[University Health Center](#)

[Office of Student Life](#)

- Henry and Lucy Moses Center for Students with Disabilities
- Office of African-American, Latino, and Asian-American Student Services
- Office of Career Services
- Office of International Students and Scholars
- Office of Student Activities
- Office of Drug and Alcohol Education
- Office of Lesbian, Gay, Bisexual, and Transgender Student Services
- Student Employment and Internship Center

The Office of Student Life also coordinates All-University Orientation, the Human Relations Committee, the Parents Helpline, and Parents Day activities, as well as a strong peer education program and leadership training activities. This office produces the Student's Guide to NYU and the Faculty Guide to Student Services at NYU.

For further information, contact the appropriate school-specific office or the Office of the Vice President for Student Affairs (see the NYU Public Directory for contact information). For the School of Medicine, contact the Office of the Dean (see the NYU Medical Center Telephone Directory).

Discipline

University Bylaw 77 provides that “the power of suspending or dismissing a student in any school is lodged with the voting faculty of that school, but the President and Chancellor or the dean of a school, or their respective representatives, may suspend a student pending the consideration of his or her case by his or her faculty. The Senate shall have power to act in situations involving more than one school.” 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 Student Affairs.

Student Press

The general undergraduate newspaper is the Washington Square News, published daily and available free of charge throughout the Washington Square campus.

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 “[Guidelines for Compliance with the Family Educational Rights and Privacy Act of 1974](#)”.

Selected University Policies

SELECTED POLICIES CONCERNING THE PROTECTION OF RIGHTS AND OTHER MATTERS

[NYU Code of Ethical Conduct](#)

[NYU Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees](#)

[Affirmative Action Policy/Equal Opportunity Policy](#)

[Preventing Threatening or Violent Behavior in the Workplace Legal Protection for Faculty Members](#)

[Procedures for Termination or Reorganization of Academic Programs Policy on the Employment of](#)

[Members of the Same Family University Practice with Respect to Memberships and Subscriptions](#)

[Guidelines for Compliance with the Family Educational Rights and Privacy Act \(FERPA\)](#)

[Guidelines for Sponsored Research](#)

[Principles and Procedures for Dealing with Allegations of Research Misconduct](#)

[Policy on Academic Conflict of Interest and Conflict of Commitment](#)

[Statement of Policy on Intellectual Property](#)

[Educational and Research Uses of Copyrighted Materials Policy Statement](#)

[Statement of Policy on Honorary Degrees](#)

[University Calendar Policy on Religious Holidays](#)

SELECTED POLICIES CONCERNING GOOD ORDER IN THE CONDUCT OF UNIVERSITY AFFAIRS

[Guidelines for the Use of University Facilities](#)

[New York University Rules for the Maintenance of Public Order](#)

[Statement of Policy on Student Conduct at New York University](#)

[Student Disciplinary Procedures](#)

[Policy on Solicitation](#)

[Speakers and Other Campus Visitors](#)

[Guidelines Regarding Protest and Dissent](#)

[New York University Policies on Substance Abuse and Alcoholic Beverages](#)

[University Smoke Free Campus Policy](#)