

NEW YORK UNIVERSITY ABU DHABI Guidelines for Full-Time Continuing Contract Faculty (CCF) Appointments

Effective Date: September 1, 2020

Supersedes: Guideline For Full-Time Non-Tenure Track/Contract Faculty Appointments (effective April 12, 2015)

Issuing Authority: NYUAD Office of the Provost

Responsible Officer: NYUAD Office of the Vice Provost of Academic Policies & Governance

INTRODUCTION

Full-Time Continuing Contract Faculty (referred to as Continuing Contract Faculty) represent a distinct and vital part of the university academic community and contribute significantly to the university's academic and service missions. Policies applicable to this group of faculty members must reflect the contributions that they make to the university's commitment to academic excellence and service (including administrative responsibilities), while also embodying the university's right to require exceptional teaching, scholarship and creative/artistic activities (where applicable), and service of all full-time faculty.

The NYU Abu Dhabi Full-Time Continuing Contract Faculty Guidelines (the Guidelines) set forth the principles and procedures for appointments, reappointments, and promotions at NYU Abu Dhabi (referred to as NYUAD). The purpose of these Guidelines is to map out the review principles and processes for Continuing Contract Faculty at NYUAD. They are designed to support standards of academic excellence in the processes of appointments, reappointments, and promotions and aim to provide a comprehensive and fair review of the candidates.

These guidelines shall apply to all appointments, reappointments, and promotions henceforth. Upon reappointment review for existing contracts, these guidelines shall apply with respect to, for example, review procedures, notification, consistency in case of reappointments with regard to length of contract, rank and title, etc. These guidelines shall apply immediately to all new appointments.

These Guidelines are being implemented at NYUAD to supplement NYU faculty policies applicable to Full-Time Continuing Contract Faculty as outlined in the NYU Faculty Handbook.¹ If any part of these Guidelines is inconsistent with NYU policies, the NYU policies then in effect will control.

Scope

These Guidelines apply to all NYUAD Continuing Contract Faculty. The titles currently held by Continuing Contract Faculty at NYUAD are the following:

¹ <https://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/faculty-policies-applicable-to-full-time-continuing-contract-faculty.html>

- Arts Professor (Associate Arts Professor, Assistant Arts Professor)
- Professor of Practice (Associate Professor of Practice, Assistant Professor of Practice)
- Senior Language Lecturer (Language Lecturer)
- Senior Lecturer (Lecturer, Associate Lecturer, Assistant Lecturer)
- Teaching Professor (Associate Teaching Professor, Assistant Teaching Professor)
- Research Professor (Research Associate Professor, Research Assistant Professor)
- Global Professor
- Professor, Non-Tenure (Associate Professor, Assistant Professor)²

Rights and Responsibilities

The responsibilities of Continuing Contract Faculty at NYUAD include, among others: teaching assignments, student advisement, program and committee responsibilities, scholarship and creative activities (where applicable), and avoidance of conflicts of interest.

The rights and privileges of NYUAD Continuing Contract Faculty are governed by the NYU Faculty Handbook and the NYUAD Faculty Governance Guidelines.³ They include, among others, academic freedom, leaves of absence, as well as serving as Principal Investigator on internal research grants funded by NYUAD (when eligible).⁴

Participation in NYUAD Governance

Other than eligibility for tenure, and except for participation in tenure decisions or those otherwise set aside by University Bylaws as falling within the exclusive domain of tenured and tenure track faculty, Continuing Contract Faculty enjoy the same rights and responsibilities as tenured and tenure-track faculty members in the governance of NYUAD and in the academic divisions in which they teach. Voting rights at NYUAD are extended to Continuing Contract Faculty in accordance with the guiding principles of the NYU Faculty Handbook and the NYUAD Faculty Council. In accordance with University Bylaws, Section 82(c), *Faculty Membership, College and School Governance*, Continuing Contract Faculty may hold their own faculty meetings and may grant rights of attendance and voting privileges to other categories of faculty of NYUAD.

Future Amendments

Any amendment to these guidelines must be in writing and must be approved by the Provost of NYUAD, following consultation with the NYUAD Faculty Council, and the Provost of NYU.

1. REVIEW PRINCIPLES

² An ongoing review in AY 2019/20 is determining the appropriateness and usage of these titles in conjunction with an assessment of faculty appointment policies at NYUAD as the institution has evolved.

³ <https://intranet.nyuad.nyu.edu/faculty-resources/governance/governance-guidelines/>

⁴ All NYUAD standing, full-time faculty currently have PI-status for internal research grant opportunities offered by NYUAD.

These guidelines regarding Continuing Contract Faculty shall apply to all appointments, reappointments and promotions, subject to the terms of the employment contract between the faculty member and NYUAD, and the laws of the United Arab Emirates (UAE).

Authorization

All faculty lines and appointments require prior authorization from the NYUAD Provost. All initial appointments, reappointments, and promotions of faculty shall be approved by the NYUAD Provost and are normally initiated by the relevant NYUAD Divisional Dean following consultation with the relevant faculty.

Criteria for Review

All contracts must include a clear statement of the criteria for each scheduled review for reappointment and/or promotion. These criteria must be part of the docket transmitted to the Faculty Review Committee.

Guiding criteria for the formal review may include, without limitation:

- 1) commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, capstone supervision, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly or creative/artistic), evidence of learning beyond the classroom, student evaluations, etc.;
- 2) (when applicable) scholarly and/or artistic/creative activity, including, but not limited to, for example, research, publications, creative productions, exhibitions, and performances;
- 3) student advising and mentoring;
- 4) service including, but not limited to, service to the University community and within and to one's profession; and
- 5) additional academic roles and administrative responsibilities that contribute to NYUAD and the University's educational, research, and service mission.

The expectations for achievement in teaching (based on contractually assigned teaching load/course equivalencies), service, and (if applicable) scholarly and/or artistic/creative activity, in order to achieve reappointment or promotion must be set out clearly in each individual contract.

In cases where professional, scholarly and/or artistic/creative activity are required or encouraged for reappointment and promotion, relevant funding to support this activity will be made available. In addition, information will be shared and publicly announced about respective internal grant/funding opportunities (on a competitive basis and with clear designations of eligibility) to support this activity.

The career pathway for Continuing Contract Faculty must be specified in the initial contract (or any subsequent reappointment after these guidelines have come into effect). Faculty may choose whether to be evaluated for promotion or reappointment at the same rank. Candidates who apply for promotion and are unsuccessful will still be eligible for

reappointment at the same rank. The relative criteria for promotion or reappointment are to be specified in the original letter of appointment.

Terms of Appointment

Continuing Contract Faculty are typically appointed for a period of three to five years within the context of UAE labor regulations and in consideration of the range of individual circumstances and curricular needs:

- Rank of Lecturer: 3-5 years.
- Rank of Assistant Professor: 3 years.
- Rank of Associate Professor: 4 years.
- Rank of Full Professor/Senior Lecturer: 5 years.

Reappointment after the completion of a successful review process must be at the same rank (except in cases of promotion) with consistency in title and will typically be at least for the same duration as the previous contract length.

In some cases, Continuing Contract Faculty appointments can be made for a period of one or two years at the faculty member’s request or to address a specific academic need or a major programmatic change. Faculty members on continuous one-year appointments are expected to move to multi-year appointments after the completion of two consecutive, successful review processes.

In case of a negative review, the final year of the contract will become the terminal year of appointment.

On an exceptional basis, an additional one-year extension may be offered upon prior authorization by the NYU Provost; a successful formal review by the end of the then penultimate year of the contract may result in a multi-year reappointment.

Notification

For Continuing Contract Faculty on a contract of three or more years (both on an initial or subsequent three or more years contract), the review process for reappointment will take place in the final semester of the penultimate year of the contract, and the faculty member will be notified as to reappointment by no later than the end of the academic year of the penultimate year of the contract (i.e., August 31, in most cases).

Continuing Contract Faculty on a one or two-year contract will be notified of the reappointment decision by no later than 180 days prior to the expiration date of the appointment (i.e., March 1, in most cases).

<u>Contract Term</u>	<u>Docket Materials Due</u>	<u>Timeline</u>	<u>Notification</u>
Probationary period and review for all initial contracts	N/A	Within first six month of employment	180 days after the start date of the appointment (by March 1, in most cases)

Initial or Subsequent 1 or 2-Year Contract	Typically by October 1 (for 2-Year Contracts)	Third semester of second year (for 2-Year Contracts)	180 days prior to expiration date of the appointment (by March 1, in most cases)
Consecutive 1 or 2-Year appointments	Typically by October 1	First semester of the third year of continuous appointment	180 days prior to expiration date of the appointment (by March 1, in most cases)
Multi-Year Contracts of 3+ Years	Typically by December 1	Final semester of the penultimate year of the contract.	No later than the end of the academic year of the penultimate year of the contract (typically by August 31)

In connection with formal reviews for reappointment and promotion, NYUAD will make available to all faculty in print and/or on the faculty portal:

- i. Statement of the academic criteria in the areas of teaching, program and/or curriculum and course development, research (where appropriate), the creative and performing arts (where appropriate), and program and school service that will guide the committee's evaluation.
- ii. Statement of the criteria of assessment in effect at the time of the most recent appointment or renewal.
- iii. Calendar for reviews and communication to faculty members that accords fair and timely notice of a review and of its outcome in writing, as well as adequate notice to faculty to pursue alternative employment in the event of a negative decision.

In addition to reviews at the time of potential reappointment, Continuing Contract Faculty on a contract greater than one year must submit an annual activity report to the relevant NYUAD Divisional Dean.

Probationary Period and Review

Continuing Contract Faculty are typically appointed to multi-year contracts. In accordance with UAE law, all initial appointments are subject to a probationary period of six months. As is the case for all NYUAD employees, Continuing Contract Faculty employment is subject to the individual faculty member obtaining and maintaining all approvals, clearances, and documentation as required by UAE law.

The relevant NYUAD Divisional Dean will conduct an initial review of the candidate's performance within the first six months of the first year of any contract. In the case of a one-year contract, a successful initial review will make the candidate eligible for a renewal

of not less than one year.⁵ In the case of initial contracts of two or more years, a successful probationary review will lead to the continuation of the full contract.

In the event of a decision to terminate the appointment following a negative initial review, the faculty member must be notified in writing of the probationary review decision in a timely manner, and no later than six months after the beginning of the first year of the contract.

Guiding criteria for review within the first six months of the first year of appointment may include, without limitation, commitment to excellence in teaching, as evidenced by, for example, syllabi and other course materials, course/program development and innovation, instructor development, student advising, classroom observations, reports from program heads, self-presentation, samples of student works (scholarly and/or creative/artistic), and evidence of learning beyond the classroom, student evaluations, etc.; and/or (when applicable) scholarly and artistic/creative activity, including, but not limited to, for example, research, publications, creative productions, exhibitions, and performances; student advising; consistent service including, but not limited to, service to the University community and within and to one's profession; and additional academic roles and administrative responsibilities that contribute to NYUAD and the University's educational, research, and service mission. When appropriate, professional activities and the quality of service contributions to the division and to the university may be considered.

Renewal of Contracts

Continuing Contract Faculty must be subject to formal review. Faculty on multi-year appointments shall be reviewed in the penultimate year of appointment. Faculty on a series of one and/or two-year contracts shall be reviewed in the first semester of the third year of continuous appointment.

A faculty member's eligibility to be considered for reappointment does not create a presumption in favor of reappointment, even if the faculty member has met or exceeded the expectations set out in the contract.

Any review for reappointment and promotion shall consider major curricular and structural changes (e.g. termination of a program) and/or improvements in academic programs, even in those cases in which a candidate satisfies the appropriate standards of achievement for reappointment or promotion. Major curricular or structural changes do not, however, automatically warrant a denial of reappointment. In the case of such changes, the review considers whether the faculty member is able to teach in the revised curriculum or new academic structure and, if so, in what capacity.

If it is established (based on the aforementioned stipulations) by the beginning of the penultimate year of the contract that a position is to be eliminated at the end of the contract term, there is no review and reappointment process; the faculty member shall be so notified in writing by the end of the first month of the penultimate year. However, the faculty member may request a performance review for career development to be conducted within a time framework specified by NYUAD.

⁵ Nothing precludes candidates for renewal from voluntarily requesting contracts of less than one year.

2. FORMAL REVIEW PROCESS FOR REAPPOINTMENT

The review process for reappointment commences when a candidate for reappointment submits his or her docket for review to the relevant NYUAD Divisional Dean in accordance with the timeline above.

Preparation of the Docket Materials

Each division/program or area may determine, with approval from the NYUAD Provost and relevant NYUAD Divisional Dean, the exact makeup of the reappointment and promotion docket, as appropriate to the specific area or discipline. Normally, dockets should include:

- a. A summary of most salient accomplishments in the statutory areas of review, including teaching philosophy, strategies, and goals; scholarship and creative/artistic achievements (if appropriate); administrative responsibilities (if appropriate); and service to NYUAD. (This summary should normally not exceed 2–3 pages in length and in no case shall exceed 5 single spaced pages.) This summary should be accompanied by a copy of the criteria for review as specified in the original letter of employment.
- b. A current, up-to-date CV. The CV may be updated as the process continues to reflect changes in academic achievement and accomplishment .
- c. Materials that demonstrate teaching effectiveness (e.g., faculty course evaluations, peer observations of teaching, formal assessments of teaching effectiveness, syllabi, lecture notes, assignments or URL, and other relevant documents).
- d. Demonstration of service to the NYUAD community (e.g. curriculum development, faculty governance, student mentoring, etc.).
- e. Where applicable, a professional portfolio (showing publications, creative productions, performances and professional development) demonstrating significant contributions to the field during the appointment period.
- f. Other evidence appropriate to the candidate's discipline.
- g. Candidates are encouraged to include any additional evidence that he or she believes bears on the case for reappointment or promotion, not otherwise identified above.

Faculty Review Committee

- a. The NYUAD Divisional Dean, in consultation with the Program Head or the research center director (when applicable), appoints and charges the Faculty Review Committee. For the composition of the committee, please see section 4.
- b. Candidates for reappointment or promotion will be notified by the end of the first month of the academic year in the penultimate year of an appointment that they are eligible for review.
- c. Candidates will submit materials for review to the NYUAD Divisional Dean prior to the end of the first semester of the penultimate year of the contract (typically by December 1).

- d. The NYUAD Divisional Dean forwards the materials for review to the committee, which assesses it based on the review criteria specified in the candidate's contract and formulates a recommendation for or against reappointment.
- e. The committee submits its recommendation to the NYUAD Divisional Dean along with a written explanation of its assessment. A majority vote of the committee is required for recommendation for reappointment. The committee prepares the written recommendation on reappointment, including any minority opinions. One or more members of the committee may prepare the written recommendation but each member of the committee will review and sign it before it is submitted to the relevant NYUAD Divisional Dean.

NYUAD Divisional Dean

- a. The relevant NYUAD Divisional Dean reviews the recommendation of the Faculty Review Committee and submits his/her recommendation to the NYUAD Provost together with all materials of the docket. The NYUAD Provost may, in turn, seek additional information, and/or internal or external reviews.
- b. In formulating his/her decision, the NYUAD Divisional Dean may seek additional information (including, but not necessarily limited to, internal or external letters of review of the candidate's professional contributions, e.g. student evaluations of teaching, internal letters of review of the candidate's teaching, and service contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.
- c. If the NYUAD Divisional Dean's decision is contrary to the recommendation of the Faculty Review Committee on reappointment, title, or length of contract, the Dean will provide the committee with reasons for not accepting its recommendation. In case a Dean's decision not to reappoint the candidate is contrary to the committee's recommendation, the committee members will have ten business days in which to provide additional feedback to the Dean before the Dean's decision is finalized and submitted to the NYUAD Provost.
- d. If the Dean has any concerns that the candidate is not fulfilling the requirements of the position, these should be clearly outlined in the report submitted to the NYUAD Provost. The Dean must submit a written report to the NYUAD Provost that includes the substance of the review and a recommendation for reappointment, promotion or termination. The Provost conveys his or her decision to the NYUAD Dean. The NYUAD Divisional Dean then conveys the decision to the candidate in writing.
- e. The outcome of the review process will be discussed by the NYUAD Divisional Dean with the candidates in person. Any reservations must be shared in writing and in person with the faculty member, who is obliged to acknowledge receipt of this information by countersigning the report on a summary of the report, so that he or she is under no misunderstanding regarding the expectations for him or her.
- f. In the case of a negative decision, candidates may avail themselves of the grievance procedures outlined in section 6 ("Grievance Procedures").
- g. Continuing Contract Faculty on a one or two-year contract will be notified of the decision no later than 180 days prior to the expiration date of the appointment and

in the case of reappointment, receive a contract within the next 4 months.

Continuing Contract Faculty on a contract of three or more years will be notified no later than the end of the academic year of the penultimate year of the contract (i.e. August 31, in most cases) together with a contract for reappointment or a written notification of non-reappointment.

- h. In the event of a decision to reappoint, the Continuing Contract Faculty shall complete the remainder of his/her term and shall be reappointed, normally, for another contract of equal or greater length.
- i. In the event of a decision not to reappoint, the Continuing Contract Faculty member shall continue to be under contract until the end of the contract expiry date.

3. FORMAL REVIEW PROCESS FOR PROMOTION

The process for promotion is initiated by the candidate who confirms his/her eligibility with the relevant NYUAD Divisional Dean. The criteria for promotion are set out in each Continuing Contract Faculty's contract, but typically to merit promotion, a candidate must demonstrate a record of outstanding teaching and service and (if applicable) distinguished professional accomplishments. Years served in previous institutions may be taken into consideration.

- a. Assistant / Associate Lecturers may be considered for promotion to the next rank after one term of appointment (of at least 3 years) at rank. Lecturers may be considered for promotion to the next rank after two terms of appointment (of at least 4 years each) at rank. For professorial ranks, faculty at the assistant level may be considered for promotion after two terms of appointment (of at least 3 years each) in rank. Faculty at the associate level may be considered for promotion after one term of appointment (of at least 4 years) in rank.
- b. Any faculty member may submit a request for early promotion to the relevant NYUAD Divisional Dean. A promotion ahead of schedule will be granted only under extraordinary circumstances. It is not normally in the best interest of a candidate or of the institution to propose candidates for promotion ahead of schedule.
- c. The review process for promotion is the same as the process for reappointment as outlined in section 2 of this document. The Faculty Review Committee will provide an assessment for contract renewal purposes, and in the same letter (if applicable) recommend whether the candidate meets the expectations for promotion.
- d. Any negative decision on an application for promotion shall not affect eligibility for the continuation or renewal of an existing contract.
- e. Continuing Contract Faculty appointments are normally not convertible to tenure track appointments. In rare cases, and then only with provostial approval, a non-tenure track position may be converted into a tenure track one for which the incumbent is eligible to apply within the search process. In these rare cases, conversion of a non-tenure track position into a tenure track position will not foreshorten an existing contract

duration as could occur, for example, if the conversion occurred before expiration of an existing contract and the contractee was not selected for the tenured or tenure track appointment. However, a Continuing Contract Faculty faculty member must not be prohibited from applying for and being considered for any tenure track opening that arises within his or her unit or elsewhere in the University; nor may his or her doing so be treated with prejudice.

4. COMPOSITION OF FACULTY REVIEW COMMITTEE

- a. The NYUAD Divisional Dean will appoint a Faculty Review Committee of three or five faculty members. At least one member of the committee will normally be a senior member of the Continuing Contract Faculty. Whenever possible, the majority of committee members shall be Continuing Contract Faculty. The committee may also include members of the tenured faculty. Finally, the committee may include an external member (i.e. a scholar/artist from outside of NYU) who is an expert in the field.
- b. In the usual case, the committee for reappointment or promotion shall be composed entirely of faculty of greater rank (whether tenured, tenure-track, or Continuing Contract Faculty) than the candidate, except in the case of a Full Professor, where all committee members need to have the rank of Full Professor. Typically, the majority of the committee shall be from the same academic discipline as the candidate. Typically, at least one member of the committee must be an NYUAD faculty member. Other members may be drawn from faculty at NYU portal campuses in New York and Shanghai.
- c. In the review of any particular case, committee members must recuse themselves in the case of an apparent or actual conflict of interest.
- d. The committee may seek additional information (including, but not necessarily limited to, internal or external letters of review of the candidate's professional contributions). In the event that external letters are solicited, these evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, joint producer, or other close associates.

5. GROUNDS FOR STOPPING THE CONTRACT CLOCK

The contract clock may be stopped for reasonable cause, e.g. medical, personal, as primary caregiver for child, spouse, parent, domestic partner, or by contractual stipulation or negotiation.

6. GRIEVANCE PROCEDURE

For the grievance procedures for a Continuing Contract Faculty member, please see the Appendix I.

7. CONTACTS

Subject

Contact

General Inquiries

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