

# NYU ABU DHABI PROMOTION AND TENURE GUIDELINES

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## 1. Introduction

The NYU Abu Dhabi Promotion and Tenure Guidelines (the Guidelines) set forth the principles and procedures for promotion and tenure at NYU Abu Dhabi. The Guidelines are designed to support high academic standards in awarding promotion and tenure and aim to provide a comprehensive and fair review of the candidates. They outline the promotion and tenure process for tenure track and tenured faculty and describe the roles played by the Faculty Review Committee (FRC), the relevant Dean at NYU Abu Dhabi (the NYU Abu Dhabi Dean), the relevant academic department or unit at NYU NY, the NYU Abu Dhabi Promotion and Tenure Committee (P&TC), the Provost of NYU Abu Dhabi; and the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU who make the final decision of promotion and tenure.

These Guidelines are being implemented by NYU Abu Dhabi to supplement NYU policies applicable to promotion and tenure review including New York University [Promotion and Tenure Guidelines](#)<sup>1</sup> and the University statement on Academic Freedom and Tenure in the NYU Faculty Handbook<sup>2</sup>. If any part of these Guidelines is inconsistent with NYU policies, the NYU policies then in effect will control.

## Future Amendments

Any amendment to these Guidelines must be in writing and must be approved by the Provost of NYU Abu Dhabi, who will consult with the NYU Abu Dhabi Faculty Council, and by the Provost of NYU. As with all NYU and NYU Abu Dhabi policies, these Guidelines, or any provision hereof, are subject to change and the policies in effect at the time of an action will apply to that action.

## 2. Conferring Tenure: General Criteria

A high standard of excellence and effectiveness in research and teaching is a prerequisite for tenure at NYU Abu Dhabi, as is the promise of effective contributions toward the mission and intellectual life of NYU Abu Dhabi. In order to have a reasonable prospect of gaining tenure at NYU Abu Dhabi, a candidate must have a record of outstanding achievement in scholarly research and publication or in creative work, together with a record of outstanding teaching integrally influenced by leading scholarship or creative work. Where appropriate to their discipline, they are expected to conduct research or creative work that has demonstrated a potential impact on policy and practice in their field. Candidates must also have

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<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/promotion-and-tenure-guidelines.html>

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<https://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/policies-applicable-to-tenured-and-tenure-track-faculty/academic-freedom-and-tenure.html>

distinguished records as mentors of students. There also must be a reasonable expectation of sustained future accomplishment at the same high level. In the absence of such a record and prospects, tenure will not be granted.

It is neither desirable nor possible to define a universal standard of measurement. Each case must be examined in detail by making explicit comparisons, delineating special strengths, and acknowledging limits or weaknesses. Context may be a criterion in judging the strength of a particular candidate – context specific to the candidate’s field and research aims and trajectory, and context specific to the mission and needs of NYU Abu Dhabi.

The successful implementation of the Guidelines to achieve and maintain high academic standards depends on the leadership of the NYU Abu Dhabi Deans, the Provost of NYU Abu Dhabi and the NYU Abu Dhabi Vice Chancellor working in conjunction with the tenured faculty. The process of evaluating a candidate for tenure is an inquiry. Is the candidate for tenure among the strongest in their field, in comparison with other individuals in the same field at similar points in their careers, taking into consideration the goals of NYU Abu Dhabi and the NYU Abu Dhabi program(s) in which the candidate is appointed? Is the candidate well positioned for further high- impact contributions to the candidate’s field and the scholarly mission of NYU Abu Dhabi moving forward?

In short, research, teaching, and service to the intellectual community in toto will be used as the benchmark for granting tenure NYU Abu Dhabi. All these factors must be carefully and openly discussed and weighed, within appropriate and ethical boundaries of confidentiality, in reaching a recommendation on tenure.

### **3. Guidelines and Procedures for Tenure (With and Without Promotion)**

Promotion and tenure must conform to these Guidelines. Section 3 lays out the responsibilities of the various committees and parties that participate in the assessment of the candidate’s case, focusing on the process of deciding on tenure with or without promotion for internal candidates. Additional considerations for tenure for external (lateral) hires (at the ranks of Associate and Full Professor) are discussed in Section 4. Questions of interpretation of these Guidelines will be determined by the Provost of NYU Abu Dhabi in consultation with the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU.

#### **3.1 Mandatory Nature of Review**

All candidates for tenure will be reviewed in accordance with the tenure clock requirements set forth in Section 5 of these Guidelines. The tenure application review will take place no later than the year preceding a candidate’s final non-tenure year.

Should a candidate choose to resign out of their own volition before the mandatory tenure-review commences, a Docket and recommendation need not be prepared or submitted.

The letter of resignation must be submitted not later than the deadline for the candidate to submit their materials, and the effective date of the resignation cannot be later than the end of the probationary period (e.g. August 31, 2019 for candidates with mandatory reviews during AY 17-18). The letter must make clear that the resignation was freely tendered without duress.

### **3.2 Faculty Review Committee (FRC)**

The FRC is an ad hoc committee which carries out the initial review of the candidate. Its chair and individual members are appointed by the NYU Abu Dhabi Dean in consultation with tenured faculty in the candidate's NYU Abu Dhabi program or division and, as appropriate, with the head of the candidate's relevant academic unit at NYU NY. The FRC is composed of 3-5 tenured faculty members. These members will be drawn from the NYU Abu Dhabi faculty in the candidate's field (if any), the NYU Abu Dhabi faculty in related fields (if any), and, as needed, faculty in the candidate's field at other NYU degree-granting campuses, and faculty from other universities. The NYU Abu Dhabi Dean will select both the FRC Chair and committee members and is responsible for overseeing the work of the FRC.

The committee must not include scholars with whom the candidate has been closely associated, including but not limited to a thesis advisor, co-author or other close associate; such individuals are, however, eligible to participate in the full program discussion of tenured faculty and vote on the committee report.

The FRC is responsible for preparing and reviewing the candidate's Docket (see Sections 3.3 and 3.6 below) and preparing a report (see Section 3.5 below) that includes a summary of its examination of the Docket and a recommendation on promotion and tenure to the NYU Abu Dhabi Dean. The duty of tenured faculty to give advice on tenure decisions is one of their highest responsibilities. The process is highly dependent upon their thoroughness, fairness, and rigor.

### **3.3 Preparation of the Docket**

The FRC and the NYU Abu Dhabi Dean are responsible for preparing a candidate's promotion and tenure docket – an evaluation of the candidate's record (Docket). A docket that is properly prepared, detailed, and well-documented is the most effective instrument for conveying the essence of the FRC's evaluation of the candidate. A docket that provides a thorough and honest appraisal of the strengths and weaknesses of the candidate is most useful to subsequent evaluators, for it gives substantive meaning and texture to the evaluation.

The Docket includes (a) materials submitted by the candidate to the FRC, (b) materials collected by the NYU Abu Dhabi Dean, and (c) additional materials submitted to the FRC, the NYU Abu Dhabi Dean, or the Provost of NYU Abu Dhabi.

### Materials Provided by Candidate

The candidate must submit the following documents:

#### *General*

1. Current complete *curriculum vitae*; (CV)

#### *Teaching*

1. Candidate's personal statement on teaching philosophy and practice
2. List of courses taught
3. Course syllabi
4. List of NYU Abu Dhabi and other advisees (if applicable)
5. List of Honors projects, capstone projects, Master's theses, and PhD dissertation candidates, supervised or dissertation committees served on; information about placement and other supervisee success.
6. Course evaluations and other evidence of teaching effectiveness

#### *Research*

1. Candidate's personal statement on research accomplishments and objectives, including a description of the research program in terms accessible to non-specialists.
2. Copies of the candidate's scholarly work and/or records of candidate's creative work
3. Candidates also may submit supplementary materials such as readers' reports/comments for unpublished manuscripts or creative works in progress, reports of grant review panels, published reviews of scholarship or curatorial works, etc.

#### *Service*

1. Candidate's personal statement on service (including work on committees, administrative duties, and contributions toward the work and intellectual community of NYU Abu Dhabi)
2. Candidate's contributions to the profession, including participation in peer review, conference organization, editorial boards, and participation in professional societies.

#### General Guidelines on Personal Statements

1. Personal statements on teaching philosophy and practice, research accomplishments and objectives, and service record as requested above may be combined in a single document with clearly separated sections or be conveyed in three separate personal statements.

### Materials Collected by NYU Abu Dhabi Dean

The NYU Abu Dhabi Dean will collect, and append to the candidate's Docket, the following documents:

1. Student evaluations. In keeping with our recognition of the importance of high-caliber teaching and mentorship, in addition to the course evaluations submitted by the candidate, the dean's report should comment on the candidate's capstone advising (if

applicable). The dean's report should also include student input collected as follows: A standardized form will be sent by the Dean's Office to all (or a randomized sample of) former students of the candidate (who have taken classes or have been mentored/advised by the candidate) with the firmest assurances that there is no requirement to participate, and that anonymity of student responses included in the docket will be ensured. Typically, the dean's report shall include ten, but at least five responses, ideally representing a diverse array of advising, mentoring, and courses taught. In the case of candidates for tenure who have not taught at NYU Abu Dhabi, every effort should be made to provide information on teaching excellence.

2. Peer reports, which may include formal assessments of teaching effectiveness, arrived at by direct observation by faculty.
3. List of highly qualified external evaluators contacted, and for those who provide an evaluation, their scholarly or creative credentials, and an explanation of why they were chosen
4. Letters of evaluation from at least five outside evaluators
5. Reasons given by the evaluators who decline to write letters
6. Text of the letters requesting evaluation sent to each of the outside evaluators
7. Course Listings Form
8. Copy of the formal letter(s) or written report to the candidate from the Third-Year Review.

### Additional Materials

Each NYU Abu Dhabi Dean, in consultation with the tenured faculty in the division and with the FRC, will devise a standard procedure to solicit in each case the opinion of tenured faculty (if any) in the candidate's program/division (if any). This could be done by a voting process or individual letters from faculty, depending on the number of faculty involved and on the divisional governance structures. Tenured faculty with appointments in both NYU Abu Dhabi and NYU New York or NYU Shanghai who wish to weigh in on the candidacy as part of the NYU Abu Dhabi unit must be recused from the assessment process at the cognate department or unit at NYU New York or NYU Shanghai.

In addition to the materials set forth above, the candidate may submit, and the NYU Abu Dhabi Dean and FRC may request, any additional evidence to facilitate an assessment of the teaching, research, and service impact of the candidate. Materials submitted by the FRC, the NYU Abu Dhabi Dean, and/or Provost of NYU Abu Dhabi should appear in a section of the Docket titled "Supplementary Materials." Examples might be readers' reports for unpublished manuscripts, creative works in progress, reports of grant review panels, published reviews of scholarship or curatorial works, etc.

## Documents Submission Process

All documentation pertinent to appointment, and tenure request must be submitted through the digital platform approved at the time of submission by NYU for such university-wide use. (The current system for these submissions is Interfolio ByCommittee P&T®).

### **3.4 Evaluator Guidelines**

The NYU Abu Dhabi Dean will provide at least five letters solicited from outside evaluators to be reviewed by the FRC. These evaluators should not be scholars or artists with whom the candidate has been closely associated, such as a thesis advisor, co-author, co-investigator, joint producer, or other close associates. If the FRC and the dean learn later that they have inadvertently solicited an opinion from someone who was close to the candidate, this must be noted in the report. Nor can these required evaluators be scholars that have been suggested by the candidate.

However, in addition to these five required letters, the FRC may in specific circumstances, (such as field with very small membership or fields in which papers typically have a large number of authors (i.e. multicenter clinical trials; large epidemiology studies, etc.)), solicit additional letters from additional evaluators who are co-authors or the thesis advisor or other close associates of the candidate, provided that this information is clearly noted in the Docket and a justification for contacting these evaluators is provided.

The candidate also may identify one or two scholars who he/she believes would not – for professional or personal reasons – provide a balanced evaluation. The candidate must state in writing the reasons for this belief. The FRC and NYU Abu Dhabi Dean are not required to accept the candidate's request to exclude a scholar as an evaluator. If the FRC and/or the NYU Abu Dhabi Dean decide to consult with scholars the candidate wishes to exclude, their report should provide a justification for doing so.

The suitability of the evaluators with respect to rank, appropriateness or fit with the candidate's field, level of expertise and leadership in field, and absence of conflict of interest will be a consideration in review by the FRC, the Provost of NYU Abu Dhabi and the Vice Chancellor of NYU Abu Dhabi.

These evaluator guidelines apply at all stages in the review process. These Guidelines and the evaluation process are subject to NYU's policy regarding the confidentiality of such external letters and other tenure decision materials, which can be found in the University Policy on Legal Protection for Faculty Members.<sup>3</sup>

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<http://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/legal-protection-for-faculty-members.html>

### Criteria for Selecting Outside Evaluators

Evaluators normally will hold a tenured position (as a full professor in the instance of cases of promotion to full professor) in an institution of recognized distinction as a research university, a position of equivalent rank in an academic unit that does not grant tenure, or a position of equivalent rank in a non-academic institution (e.g., laboratory, research institute, museum, or arts company).

Evaluators must be recognized leaders in the candidate's discipline. They must be representative of their subject, broadly defined, and not be drawn exclusively from narrow specializations. At least one of the evaluators must be a scholar or artist identified with broader sectors of the discipline in question.

The Docket must include specific explanations for the choice of the evaluators contacted. The explanations must include their CVs, and a statement as to why this particular evaluator's opinion matters (e.g., evaluator is the most widely published author in the candidate's field; evaluator is in a different discipline but edits the premier journal in the candidate's field, etc.).

### Letter of Solicitation

Letters of solicitation to potential evaluators must come from the NYU Abu Dhabi Dean and must follow the prototypes in Appendix B to these Guidelines. The letter must explicitly request comparative rankings with the candidate's peers, and it must not in any way imply that a positive or negative response from the evaluator is desired.

All evaluators must be provided with the same CV, personal statement(s), and copies or descriptions of the candidate's work. If an unpublished work or creative work in progress is to be part of the Docket, the FRC must ask all evaluators to comment on its quality subject to their confirmation that the content of the unpublished or creative work in progress be kept confidential.

The confidentiality of letters from outside evaluators must be scrupulously preserved. Neither the names of evaluators nor the contents of their letters, including in summary form, may be communicated to the candidate or anyone else beyond individuals at NYU Abu Dhabi and NYU who are involved in the process of evaluating the candidate for promotion and/or tenure. Evaluators must be assured in writing that their letters will be held in confidence in accordance with these Guidelines, except as may be required by applicable law.

### **3.5 Faculty Review Committee Report**

The FRC must undertake with utmost seriousness its examination of a candidate's Docket, including the scholarship or creative work, comparative evaluations, peer review, and faculty colleague consultations. Assessments must not ignore a candidate's shortcomings, because assessments that attempt to gloss over imperfections are more likely to arouse suspicion than

support. It is far more helpful to have a balanced discussion of a candidate's strengths and weaknesses.

It is essential that tenured faculty members who participate in the promotion with tenure review process uphold high standards of responsibility and ethical behavior. Responsibility includes the obligation to give careful attention to the materials in the Docket. Ethical behavior includes a clear obligation to maintain the confidentiality of all proceedings, since confidentiality facilitates honest and open discussion.

The Chair of the FRC has ultimate responsibility for ensuring that the FRC upholds these processes of inquiry in its recommendation to the NYU Abu Dhabi Dean. The NYU Abu Dhabi Dean will return a report he or she considers weak advice or reflects procedural irregularities to the FRC with a request that the problem be corrected.

A complete version of the Docket must be made available to each member of the FRC for examination. A complete version of the Docket must be made available to each member of the FRC for examination sufficiently (typically no less than five business days) in advance of the designated meeting to review the case. The Chair of the FRC must present the candidate's case to the FRC in a designated meeting, where not more than one member of the FRC may be absent. FRC members who participate in the special meeting by videoconference or telephone will be considered "present".

After the presentation of the candidate by the Chair and a discussion among the members present, the Chair will call a vote. Each member of the FRC has one vote. The report of the FRC should include the results of the vote. Re-voting must not be undertaken for the sole purpose of achieving near consensus or unanimity, or to avoid reporting a split vote. (Re-voting may occur only on new information that was previously not considered by the FRC and must occur within ten days after new information has been presented to the FRC by the NYU Abu Dhabi Dean.) If the FRC fails to achieve consensus, the FRC chair should include a minority report or a discussion of the differences in the evaluation of the case in the committee.

The FRC will prepare a report that summarizes its analysis of the Docket, reflects the requirements of these Guidelines, and sets forth its recommendation and the numerical vote of the FRC with respect to promotion and tenure for the candidate. The report must include a separate section consisting of a list of all potential evaluators who were asked to write on behalf of the candidate, including those who declined. All communications with potential evaluators must be documented and included in the Docket, as well as an explanation for each of the declinations.

Each member of the FRC will sign the Docket and attest that he/she has read the report and the Docket and that the report accurately reflects the opinions of the members of the FRC.

The report along with a complete version of the Docket must be submitted to the NYU Abu Dhabi Dean. FRC members from within the same academic program at NYUAD as the candidate will not recuse themselves from voting, as the NYUAD Dean solicits the vote of the tenured members of the respective program. In case FRC members serve on the P&TC , they will recuse themselves from voting on this case as part of the P&TC's review of the candidate's case.

### **3.6 Review Parameters: Specifications and Considerations**

#### Personal Statement(s)

The review by the FRC of the candidate's personal statement(s) in the teaching, research, and service sections must consider the trajectory of the candidate's career, including a description of the relationships among works already published, distributed, performed, screened, or installed, a description of new projects planned or under way, and a description of the candidate's teaching mission as reflected in particular courses.

#### Scholarly and Creative Work

The candidate's scholarly and creative work must be carefully reviewed by the FRC. The assessment of a candidate's scholarly research or creative works must address issues of intellectual, scholarly, and creative quality, originality, significance, impact, and future development. The quality and significance of the journals or venues of distribution or exhibition in which the candidate's work has appeared must be appraised. If they are not the most prestigious, relevant and meaningful venues in the field, those must be named, and the absence of such achievements must be considered. The report must indicate what parts of the candidate's work are based on the dissertation or thesis work, and for such work, what advances have been made since the completion of the highest degree. In research areas where external funding is important and generally available, and if NYU Abu Dhabi faculty are eligible to apply for such funding, the candidate's success at securing grants should be evaluated in relation to reasonable expectations for scholars in the same field and at the same stage of professional development. The assessment must list and appraise the relative competitiveness of grants and fellowships received by the candidate.

#### Scholarly Impact

The candidate's position in the field and the discipline as a whole must be described as precisely as possible. This appraisal must include comparisons with other scholars, both in the discipline at large and within NYU Abu Dhabi when appropriate. While most comparisons should focus on scholars at a similar career stage, the relative promise of matching the accomplishments of more senior scholars must be addressed.

The FRC report and the recommendation to the NYU Abu Dhabi Dean should explain the importance of the candidate's field of expertise to the discipline and the work of NYU Abu

Dhabi. In what ways does the candidate's strength in that field advance NYU Abu Dhabi's current goals? How does the candidate's field supplement other existing or proposed strengths in the NYU Abu Dhabi curriculum and research agenda, and vice versa? How does the candidate's field and performance affect the standing and visibility of NYU Abu Dhabi, along with its attractiveness to top undergraduate and/or graduate students in the field.

### Teaching

The assessment of teaching performance must appraise the quality and pertinence of courses taught or developed, provide an assessment of teaching strengths, and evaluate the candidate's contributions to the teaching program of NYU Abu Dhabi. **Specific evaluation and an analysis of the effectiveness of undergraduate and/or graduate teaching must be provided in narrative form.** Evidence cited should include course syllabi and student evaluations (quantitative and qualitative) as well as peer evaluations and observation reports. A list of all PhD dissertations, Master's thesis projects, and/or undergraduate Honors/Capstone Projects supervised by the candidate, including those in progress, should be appended, where relevant.

### Service

The assessment of service must indicate the quality and significance of service to NYU Abu Dhabi. Specific comments, including testimony from fellow committee members, specification of authorship of particular reports and the like, are helpful. The assessment of service may include a discussion of participation in professional organizations in the candidate's field.

### Third Year Review

All tenure dockets, except for lateral hires, must also include a copy of the formal letter(s) or written report to the candidate from the Third-Year Review. A formal early review shall be conducted on tenure prospects, 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.

## **3.7 NYU Abu Dhabi Dean**

### Consultation with NYU New York and/or NYU Shanghai in Tenure Review

In accordance with University guidelines, the NYU Abu Dhabi Dean will consult with the relevant departments in NYU New York as appropriate, e.g., in tenure review of faculty with Global Network Professor Titles (see Section 3.12) and faculty with joint appointments in NYU. The NYU Abu Dhabi Dean will provide a full copy of the docket, and solicit an assessment of the file. The NYU New York assessment shall consider the General Criteria for conferring tenure in NYU Abu Dhabi (Section 2, above) as well as comment on the eligibility of the candidate to participate in scholarly and instructional activities of the unit, including teaching graduate courses and mentoring PhD dissertations and master's theses. It is the

responsibility of the NYU New York chair of the relevant department or unit to determine how the assessment should be conducted, and that chair should communicate in writing to the NYU Abu Dhabi Dean both the assessment and the method through which it was arrived at. As noted above, NYU Abu Dhabi faculty with joint, associate, or affiliate appointments with primary appointments at NYU New York who wish to weigh in on the NYU Abu Dhabi review must be recused from the decision-making process in the NYU New York unit.

### The Dean's Recommendation

When drafting their own recommendation, the NYU Abu Dhabi Dean will take into consideration the report, including the vote of the FRC, the Docket, as well as the assessment of the NYU New York unit, as appropriate..

If the recommendation of the NYU Abu Dhabi Dean is contrary to the recommendations of the FRC, the NYU Abu Dhabi Dean will provide the Chair of the FRC with the reasons. The Chair of the FRC will then have ten business days in which to provide further information or counter-argument before the NYU Abu Dhabi Dean's recommendation is made to the Provost of NYU Abu Dhabi.

The NYU Abu Dhabi Dean's recommendation must be a balanced assessment of the candidate's performance and promise. The NYU Abu Dhabi Dean's assessment on the service contribution of the candidate, as well as how the candidate contributes to the evolving mission and needs of NYU Abu Dhabi, should be particularly detailed. The NYU Abu Dhabi Dean may solicit additional reviews if necessary, subject to the confidentiality requirements for evaluation letters set forth in these Guidelines, from outside evaluators on scholarship or from within the university on teaching and service (or both). The NYU Abu Dhabi Dean's recommendation must include a description for non-specialists of the candidate's work's relevance to the candidate's discipline or field. It may also be helpful for the recommendation to include information about the usual criteria for excellence in the candidate's discipline (e.g., quality of venues within which the work appears).

The NYU Abu Dhabi Dean must forward the Report, including the vote of the FRC and the Docket, and the assessment of the NYU NY unit to the Provost of NYU Abu Dhabi along with their own recommendation on the candidate. Recommendations that do not deal with evident weaknesses, in the case of a positive recommendation, or that do not note evident strengths, in the case of a negative recommendation, may be returned for revision to the NYU Abu Dhabi Dean by the Provost of NYU Abu Dhabi.

### **3.8 Promotion & Tenure Committee (P&TC)**

The Provost of NYU Abu Dhabi appoints a P&TC, which is a standing committee consisting of nine tenured professors, appointed by the Provost of NYU Abu Dhabi. A majority of the committee will be drawn from the faculties of NYU Abu Dhabi and in the case of Global Network Professors and faculty with Joint appointments in NYU Abu Dhabi and NYU New

York, faculties from NYU New York, consisting of a sufficient number of full professors. During the initial period of NYU Abu Dhabi's operations, the P&TC may include full professors from other universities, as needed.

Typically, members of the P&TC will serve for a term of three years with potential extension for an additional two years at the discretion of the Provost of NYU Abu Dhabi. The Provost of NYU Abu Dhabi and the Associate Vice Chancellor for Global Network Faculty Planning of NYU Abu Dhabi and/or the Vice Provost for Faculty Development and Faculty Diversity of NYU Abu Dhabi may participate in meetings of the P&TC without vote and with voice confined to procedural issues or responses to questions by the P&TC.

The Provost of NYU Abu Dhabi will provide to the P&TC for examination of a candidate the report, including the vote of the FRC and the Docket, the assessment of the NYU NY unit, and the recommendation of the NYU Abu Dhabi Dean. If there are questions in any particular case, the NYU Abu Dhabi Dean and/or the Chair of the FRC may be asked to attend a meeting of the P&TC to clarify the Docket or to provide additional information.

After the P&TC has had sufficient time to review the Docket and recommendations, the members will vote on the candidate in a designated meeting, where not more than one member of the P&TC may be absent (excepting P&TC members that are recused from the proceedings, e.g members of the candidate's program, from the absent count). P&TC members who participate in the special meeting by videoconference or telephone will be considered "present". Each member of the P&TC has one vote. Votes of absent members must be recorded and reported separately to distinguish them from votes made with the benefit of the open discussion of the case. Voting modalities and other procedures used by the P&TC are determined by the P&TC chair in consultation with the committee members at the first meeting in each academic year.

The P&TC Chair will submit to the Provost of NYU Abu Dhabi its recommendation, including the numerical vote of the P&TC with respect to promotion and tenure for the candidate.

### **3.9 Provost of NYU Abu Dhabi**

The Provost of NYU Abu Dhabi will review the report, including the vote of the FRC and the Docket, the assessment of the NYU NY unit, and the recommendations of the NYU Abu Dhabi Dean and the P&TC. The Provost of NYU Abu Dhabi may solicit additional information and/or external reviews, but not from the scholars the candidate believes would not – for professional or personal reasons – provide a balanced evaluation, and/or seek a consultation with the FRC, unless the Provost of NYU Abu Dhabi deems consulting these scholars necessary to make an informed decision.

The Provost of NYU Abu Dhabi makes their recommendation on promotion and tenure to the

Vice-Chancellor of NYU Abu Dhabi and the Provost of NYU. The recommendation shall be a clear endorsement to tenure or promote, or a clear recommendation to not, tenure or promote. If the recommendation of the Provost of NYU Abu Dhabi is contrary to the recommendations of the NYU Abu Dhabi Dean, the Provost of NYU Abu Dhabi will provide the NYU Abu Dhabi Dean with the reasons. The NYU Abu Dhabi Dean will then have ten business days in which to provide further information or counter-argument before the Provost of NYU Abu Dhabi's recommendation is made to the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU. A record or summary of these discussions should be appended to the docket.

After the evaluation of the Docket presented by the NYU Abu Dhabi Dean and subsequently by the P&TC, the Provost of NYU Abu Dhabi will inform the NYU Abu Dhabi Dean of their proposed recommendation to the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU.

If the Provost of NYU Abu Dhabi has a reasonable doubt about the excellence of the docket, they should share that information in their recommendation and consider withholding a favorable recommendation. Indicators of doubt may include a split vote within the FRC or P&TC, or a clear difference of opinion between the FRC and the P&TC. The recommendation should explain, in substantive terms, what was the basis for the positive and negative votes in earlier stages of the review.

The NYU Abu Dhabi Dean will promptly inform the faculty member of the recommendation of the Provost of NYU Abu Dhabi.

### **3.10 Vice Chancellor of NYU Abu Dhabi and the Provost of NYU**

The Provost of NYU Abu Dhabi will provide the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU with the Report, including the vote of the FRC, the Docket, the assessment of the NYU NY unit as appropriate (and in the case of a joint appointment with NYU Shanghai, the assessment of that unit) and the recommendations of the NYU Abu Dhabi Dean, the P&TC, along with the Provost of NYU Abu Dhabi's own recommendations.

All recommendations for promotion and tenure require the approval of both the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU. If the Vice Chancellor of NYU Abu Dhabi and/or the Provost of NYU disagree with the recommendation of the Provost of NYU Abu Dhabi, they will discuss the case with the Provost of NYU Abu Dhabi. If this process leads the Vice Chancellor of NYU Abu Dhabi and/or the Provost of NYU to believe there are grounds for a review of the recommendation, they may decide to consult internal and/or external experts to advise them on the promotion and tenure decision. If either the Vice Chancellor of NYU Abu Dhabi or the Provost of NYU does not approve, tenure will be denied.

The Vice Chancellor of NYU Abu Dhabi and the Provost of NYU will communicate their decision on tenure to the Provost of NYU Abu Dhabi in advance of the deadline for a mandatory decision. The Provost of NYU Abu Dhabi will inform the NYU Abu Dhabi Dean and the candidate of the decision on tenure within three weeks of receipt of the decision of the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU.

### 3.11 Cross Appointments

Joint appointments are one category of cross appointments<sup>4</sup> that can be across programs, departments, or divisions within schools, across schools, or across campuses. In the case of a faculty member jointly appointed between NYU Abu Dhabi and NYU New York or NYU Shanghai, the relevant department and/or program chairs and deans in all units, the Provost of NYU Abu Dhabi, the Vice Chancellor of NYU Abu Dhabi, the Provost of NYU Shanghai, and/or the Provost of NYU must be involved in the review process (promotion, tenure, and third year review) and respective input of all relevant units. The process must comply with these Guidelines for NYU Abu Dhabi appointment and those of the respective unit(s).

All evaluations of individuals with joint appointments in more than one unit, whether part of a third year review or preparatory to a recommendation for promotion or tenure, must include an explicit discussion of the special circumstances of the appointment, expectations for the candidate's multi-disciplinary activities, perspective and position, and the judgment of how well the appointee has met these expectations. The composition of the FRC in the primary unit of appointment must include members of both units. Both units must vote on the report, with the guidelines herein outlined concerning procedures and reporting applying to both.

The Chair of the FRC and the Chair of the unit(s) at NYU NY and/or NYU Abu Dhabi and/or NYU Shanghai must forward their unit's recommendation to the responsible deans of NYU Abu Dhabi and NYU NY or NYU Shanghai following mutual consultation. If the deans in Abu Dhabi, and/or New York and/or Shanghai find themselves in disagreement, they will discuss the case jointly and individually with the Provost and Vice Chancellor of NYU Abu Dhabi, and the Provost of NYU. All recommendations for promotion and tenure require the approval of both the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU.

Where the candidate has an Associated Appointment in a secondary unit, the review will typically include a written evaluation from the secondary unit explaining, among other matters thought relevant, the particular contribution of the candidate to that unit's mission. This evaluation may be written by the Dean or Chair of the secondary unit after formal consultation with the faculty members of the unit. The secondary unit typically does not participate formally in the tenure and promotion review beyond provision of the written

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<sup>4</sup> For details on the review processes of joint appointments, please see NYUAD Guidelines for Cross-School Appointments, Affiliation/Association (<https://nyuad.nyu.edu/content/dam/nyuad/about/governance/nyuad-guidelines-for-cross-school-appointments-affiliation-association-2019.pdf>)

evaluation described above unless an additional agreement is made between units that outlines a specific procedure that goes beyond the written evaluation described above.

In any case, individual members of the secondary unit may be invited to serve on the FRC as area experts.

In the case, of an Affiliated Appointment, written evaluations on the secondary appointment are recommended but are not required.

### **3.12 Global Network Professor Title**

The title Global Network Professor was conferred in searches for appointment start dates on or before June 1, 2020 at the time of appointment as an additional title upon all full-time tenured/tenure track faculty, Arts Professors, and Music Professors at NYU Abu Dhabi as provided by the NYU guidelines for coordinated faculty hiring that were instituted in the early years of NYU Abu Dhabi and Shanghai.<sup>5</sup> This title was also conferred upon select full-time continuing contract faculty at NYU Abu Dhabi, upon the recommendation of the provost of the particular campus and with the consent of the New York school/department. The New York unit that conferred the title participates in the appointment, third-year, tenure, and promotion review of the tenured/tenure track faculty member (for Arts and Music professors, appointment, reappointment and promotion review) at their home campus. For NYU Abu Dhabi faculty, Global Network Faculty status confers eligibility to teach and mentor graduate students in New York, with the New York department making specific assignments in accordance with its own policies. The title does not confer rights or obligations, either upon the faculty member or the New York unit, with respect to tenure or participation in its department's governance.

## **4. Additional Procedures for Promotion to Full Professor and Tenured External Appointments (Lateral Hires)**

### **4.1 Promotion to Full Professor**

For promotions to full professor, the inquiry and process is essentially analogous to that for a tenure-track candidate. Is the candidate for promotion among the strongest in her/his field, in comparison with individuals at similar points in their careers at comparable prominent institutions or in other relevant settings? In addition, there is a presumption that the candidate will have achieved a significant milestone or marker beyond the work considered at the point of their last promotion. The normal expectation will be work that marks significant new scholarly research or artistic achievement since the conferring of tenure. The Docket must demonstrate teaching effectiveness and clearly indicate which work distinguishes the

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<https://www.nyu.edu/faculty/faculty-in-the-global-network/participate/how-to-teach-at-or-visit-a-global-site/coordinated-faculty-hiring.html>

candidate's achievements since the last review for promotion.

Membership in all voting bodies in the case of promotion to full professor is restricted to full professors with tenure. Evaluations and peer reports are similarly only to be sought from full professors.

The Provost of NYU Abu Dhabi ordinarily will make a recommendation to the Vice Chancellor of NYU Abu Dhabi and Provost of NYU within six months from the start of the review process. A final decision will be made by the Vice Chancellor of NYU Abu Dhabi and the Provost of NYU.

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

Tenured external (lateral) appointments at NYUAD require a tenure review. The tenure review of external appointees will follow the procedures outlined in Section 3. Their appointments are made pending completion of the tenure review and this shall be recorded in their appointment letters<sup>6</sup>.

It is helpful for the report to include the justification for establishing a tenured position within the candidate's field of expertise. The report also must include a report on the search and a summary of the recommendations of the Search Committee and must identify the external evaluators consulted by the Search Committee in the process. The report also may include letters from other Search Committee evaluators as supplemental materials to the Docket. In all cases a full Docket must be submitted in accordance with Section 3.3. The Docket may include a description of the candidate's teaching and an indication of how the candidate will meet the teaching needs at NYU Abu Dhabi. If evaluations are not available, alternative assessment of teaching ability must normally be provided by the Chair of the FRC.

### **5. Deadlines**

There may be disciplinary variance in the optimal time to request external evaluation of candidates. Deadlines for the submission of materials for candidates for internal promotion and tenure and for the report of the FRC may therefore vary between divisions and programs and are at the discretion of the NYU Abu Dhabi Dean. Candidates should be apprised of this

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<sup>6</sup> See Faculty Handbook, Title II, Statement in Regard to Academic Freedom and Tenure, Section (V) (4), second paragraph: "A candidate for his or her first appointment in the rank of associate professor at New York University who has formally gained permanent or continuous tenure in another institution of higher education is subject to a tenure review at New York University at the department, school and university levels; a formal offer of an appointment with tenure can be made pending completion of the tenure review, and this condition shall be recorded in the appointment letter." Also see Section (V) (5), third paragraph: "A candidate for his or her first appointment in the rank of professor at New York University who has formally gained permanent or continuous tenure in another institution of higher education is subject to a tenure review at New York University at the department, school and university levels; a formal offer of an appointment with tenure can be made pending completion of the tenure review, and this condition shall be recorded in the appointment letter."

deadline by the NYU Abu Dhabi Dean at least six months before the due date for their materials. The respective deadlines will also be posted on a dedicated NYU Abu Dhabi website readily available to all candidates. NYU Abu Dhabi Deans should submit the docket for internal tenure/promotion reviews to the P&TC no later than December 1st for candidates with September starting dates, and no later than August 10th for candidates with January starting dates. In the event this deadline is missed, the NYU Abu Dhabi Dean will need to notify the P&T administrators of the delay to ensure that the case can be processed in time to meet the deadline for the tenure decision.

Dockets for external (lateral) hires can be submitted on a rolling basis and will be processed at the next available meeting of the P&TC; note that NYU Abu Dhabi Deans must submit the dockets at least five weeks before the meeting so that the committee members can give sufficient consideration to each case. Dockets submitted after February 1st may need to be processed in the following academic year.

The promotion and tenure review process shall typically begin and conclude within the same academic year or within one calendar year in the case of off-cycle cases (i.e. lateral hires).

The P&TC shall submit dockets in a timely fashion in order to prevent delays from unforeseen complications that may arise, especially for dockets received near the end of the academic year.

## **6. Tenure Clock**

The tenure clock for faculty is set forth in rules adopted by the NYU Board of Trustees, which can be found in the Statement on Academic Freedom and Tenure and Appointment and Notification of Appointment, Titles I and II, respectively, of the NYU Faculty Handbook.

### 6.1 Acceleration of Schedule

Proposals for early promotion to associate professor and for tenure will occur only under extraordinary circumstances. Indeed, it is not normally in the best interest of a candidate or of the institution to propose candidates for tenure ahead of schedule. The Provost of NYU Abu Dhabi must be consulted prior to the preparation of an early case. The best reason for proposing early consideration is a record of extraordinary accomplishment that can be readily distinguished from other, more typical strong cases. It must be noted that external letter writers must be asked to comment specifically on the special grounds for an early decision. The NYU Abu Dhabi Dean and the FRC also must specifically address this issue. Even with these affirmative recommendations, the Provost of NYU Abu Dhabi will not recommend early tenure unless the case is extraordinary and compelling in relation to the already high expectations for candidates reviewed under the usual schedule.

### 6.2 Stopping the Tenure Clock

Tenure clock stoppage will be granted in accordance with the Tenure Clock Stoppage for Personal Reasons<sup>7</sup> in the NYU Faculty Handbook. Requests for stoppage 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. For those candidates who have been granted an extension, NYU policy is to evaluate the productivity of the candidate as if he or she had been in probationary status for the normal duration, so that the candidate is not penalized for having received the extension. The granting of tenure clock stoppage does not influence granting of tenure in the future.

### **6.3 Tenure clock Extensions for Early NYU Abu Dhabi Hires**

NYUAD faculty hired before September 2015 may request an extension to their tenure clock, typically for up to one year, on the basis of having been unduly encumbered by the start-up nature of the institution and the additional demands placed on early hires. The request for an extension must be filed with the NYU Abu Dhabi Provost's office at least one year before the scheduled year of tenure review and must explain how and why the candidate's progress was unduly encumbered by start-up issues. Tenure clock extensions based on start-up must be approved by the NYU Abu Dhabi Dean, and the Provost of NYU Abu Dhabi, who shall submit a recommendation to the Provost of NYU. At the recommendation of the Provost of NYU, requests for extension are submitted for approval by the NYU Board of Trustees.

## **7. Guidelines for Grievance and Appeal**

For the grievance procedures for a Tenured/Tenure-Track Faculty member, please see the Appendix II of the "NYU Abu Dhabi Faculty Governance Guidelines".

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<https://www.nyu.edu/faculty/governance-policies-and-procedures/faculty-handbook/the-faculty/policies-applicable-to-tenured-and-tenure-track-faculty/additional-faculty-policies-applicable-to-tenured-and-tenure-track-faculty/tenure-clock-stoppage-for-personal-reasons.html>

## Appendix A. Sample Solicitation Letters to Outside Evaluators

### 1. External Appointment of Associate or Full Professor with Tenure

Dear [X]:

Professor [X], currently [Title] at [Institution], is being considered for a tenured faculty position at NYU Abu Dhabi. His/her appointment will be at the rank of XX with tenure. Because of your knowledge of the field, we would very much appreciate your evaluation of this tenure case.

NYU Abu Dhabi is a degree-granting campus of New York University's global network, which is a multi-site, organically connected network encompassing key global cities. Currently, the network has three degree-granting campuses – New York, Abu Dhabi, and Shanghai – complemented by many additional academic centers across six continents. Our goal is to be both a premier research university and a highly selective liberal-arts-and-sciences college. Hence, our faculty aspire to be outstanding researchers as well as transformative teachers.

*Please add for faculty hired before September 2015:*

*It is important to note that faculty seeking tenure in the first years since NYU Abu Dhabi opened have been given the task of setting up new structures and institutional frameworks, in addition to the normally high expectations of research and teaching.*

We are enclosing Professor [X]'s curriculum vitae and his/her teaching and research statements with this letter. Also enclosed are selected copies of his/her published work. If you need copies of any other publications or documents, please let us know as soon as possible, and we will forward these materials to you.

We ask that you provide a brief, but explicit and specific, description of Professor [X]'s major contributions to his/her field of research. We also ask that you provide a candid assessment of the strengths and weaknesses of Professor [X]'s research with respect to intellectual quality, originality, scope, and significance.

We also request an explicit comparison of his/her work with that of prominent individuals working in the same field who are at comparable levels in their careers. Any additional comments you consider pertinent would be welcome. If you have knowledge of Professor [X]'s teaching ability or service to NYU Abu Dhabi and/or the professional community, we would appreciate your commentary on these matters as well.

Finally, we would appreciate your judgment of whether or not Professor [X] would be considered a strong candidate for tenure at your institution or in other leading departments in the field. We will need your letter by [X], or sooner if possible. We would also be very grateful if you could forward with your letter a current curriculum vitae.

Let me assure you that your letter will be kept confidential to the extent allowed by law. It will be available only to the professors charged specifically with the review of this candidate, as well as appropriate decision makers and review panels within NYU Abu Dhabi and NYU.

Thank you for generously assisting us. We realize this is a time consuming task, but, as you know, it is a central element of the academic process of peer review.

Sincerely,

## 2. Promotion and Tenure Review

Dear [X]:

Professor [X] of NYU Abu Dhabi is being considered for a tenured appointment with promotion to the rank of full professor in [Subject]. Because of your knowledge of the field, we would very much appreciate your evaluation of his/her research.

NYU Abu Dhabi is a degree-granting campus of New York University's global network university, which is a multi-site, organically connected network encompassing key global cities. Currently, the network has three degree-granting campuses - New York, Abu Dhabi, and Shanghai - complemented by 12 additional academic centers across six continents. Our goal is to be both a premier research university and a highly selective liberal-arts-and-sciences college. Hence, our faculty aspire to be outstanding researchers as well as transformative teachers..

At this point in our institutional development, we have a vibrant undergraduate college and are in the process of developing graduate programs. As a result, access to graduate students among our faculty is not always guaranteed.

I am enclosing Professor [X] 's curriculum vitae with this letter. Also enclosed are copies or descriptions of his/her work.

We ask that you provide a brief, but explicit and specific, description of Professor [X]'s major contributions to his/her field of research. We also ask that you provide a candid assessment of the strengths and weaknesses of Professor [X] 's research with respect to intellectual quality, originality, scope, and significance.

We also request an explicit comparison of his/her work with that of prominent individuals working in the same field who are at comparable points in their careers. Any additional comments you consider pertinent would be welcome. If you have knowledge of Professor X's teaching ability or service to NYU and/or the professional community, we would appreciate your comments on these matters as well. Please indicate in your letter how long and in what specific capacities you have known Professor [X].

Please note that evaluators must not be a scholar with whom the candidate has been closely associated, such as a thesis advisor, co-author, former teacher, or other close associates.

To assist in your review, we draw your attention to the fact that this candidate's dossier includes work performed in one or more years in which COVID placed severe restrictions on all faculty members.

[If applicable] The tenure clock was automatically extended for all tenure track faculty, including this candidate, for one year.

[If applicable]: The tenure clock for Professor [name] has [also] been extended in accordance with University policy for reasons other than COVID.

The policy of NYU is to evaluate the productivity of each candidate who has been granted an extension as if he or she had been in probationary status for the normal duration, so that the candidate is not penalized for having received the extension.

Finally, we would appreciate your judgment of whether or not Professor [X] would be considered a strong candidate for tenure at your institution or in other leading departments in the field.

We will need your letter by [X], or sooner if possible. We would also be very grateful if you could forward with your letter a current curriculum vitae.

Let me assure you that your letter will be kept confidential to the extent allowed by law. It will be available only to the full professors charged specifically with review of this candidate, as well as appropriate decision makers and review panels within NYU.

Thank you for generously assisting us. I realize this is a time-consuming task, but, as you know, it is a critical element of the academic process of peer review.

Sincerely,