

Policy for the Review, Reappointment, and Promotion of Full-time Continuing Contract Faculty

in the Institute for the Study of the Ancient World

This Policy Document is being implemented by the Institute for the Study of the Ancient World to supplement NYU policies applicable to full-time continuing contract faculty. If any part of this Policy Document is inconsistent with NYU policies, then the NYU policies then in effect will control. As with all NYU and ISAW policies, this Policy Document is subject to change, and the policies in effect at the time of an action will apply to that action.

This document goes into effect [date of approval]. The Appendix to this Policy details the process and procedures by which faculty currently on appointment at ISAW will be assigned titles and rank.

I. Responsibilities of Full-Time Continuing Contract Faculty:

Full-Time Continuing Contract Faculty (FT-CF) at ISAW currently hold the title of Clinical Assistant Professor, and may in future hold the titles of Clinical Associate Professor, and Clinical (Full) Professor. As the responsibilities of ISAW faculty are both diverse and flexible in order to meet the ongoing and changing needs of the program, the following categories of responsibilities of ISAW faculty are neither discrete nor mutually exclusive:

A. Teaching

The standard teaching load for all FT-CF is six courses per year. This may be reduced depending on other assigned duties or responsibilities. With the approval of the Director of ISAW (“Director”) administrative and professional duties and other professional activities that serve the university or ISAW may, if comparable in time demands to one or more courses, substitute for such courses.

Clinical faculty are also expected to:

- Develop, create, and teach new courses and develop new curricula, where appropriate;
- Engage in program review and revision, accreditation compliance, and assessment of curricula;
- Advise and mentor students;
- Serve, when asked, on graduate dissertation committees and, when appropriate, supervise independent studies.

B. Service and Administration

Service and administration also are key components of faculty performance, and all faculty are expected to contribute in these areas. To this end, ISAW faculty must be familiar and comply with all relevant NYU, ISAW, and program policies.

For faculty whose responsibilities are primarily administrative, greater weight will be given to performance in this area in both reappointment and promotion reviews.

Faculty may:

- Provide administrative service to the program (e.g., by serving on program committees, advising student activities, managing scholarly publications, etc.);
- Serve on University committees;
- Provide outreach to the community at large as a representative of the program;
- Render service to local, state, national, and international professional organizations.

C. Professional Activity

ISAW FT-CF are generally practitioners and/or experts in their fields, and it is expected that they will demonstrate continuing intellectual and scholarly engagement in their fields or continuing practice, as appropriate to the area of the appointment. In support of professional, scholarly, and creative work, each faculty member draws upon an individual Research Account (currently at \$5000 p.a.).

ISAW faculty may demonstrate this engagement and practice as follows:

- Produce scholarship and research, or applied scholarship and research, related to a specific discipline or practice;
- Produce scholarship and research, or applied scholarship and research, related to the pedagogy of their field or profession;
- Engage in professional development in their field by attending conferences, joining professional associations, giving lectures or performances at other institutions, serving on the advisory boards of journals;
- Apply for and be awarded grants (serving as P.I. per university sponsored research guidelines and subject to university approval);
- Engage actively in practice in the field.

D. Annual Activity Reports

ISAW FT-CF will submit an Annual Activity Form, usually in May of each academic year, to report on their teaching, service, and professional development. This report will be used in the annual merit review.

II. Appointment of Clinical Faculty

A. Criteria

Clinical faculty are experienced teachers, practitioners, and/or scholars in their area of specialization. In all cases, possession of the appropriate terminal degree and excellence in teaching is required. Depending on the discipline, clinical faculty members may not be required to hold a doctorate. In certain fields demonstrated excellence and peer recognition may stand as sufficient professional credentials, as specified in the letter of appointment.

Initial appointment (and reappointment) shall be based on an evaluation of the candidate's contribution to the excellence of the program, including its educational programs, and his or her qualifications with respect to the university's commitment to appoint and retain the best faculty in all disciplines.

B. Titles

The definitions below are intended as a framework for initial appointments of faculty.

1. Clinical Assistant Professor of (varies)

Faculty initially appointed at this rank have three years of superior teaching experience (which may have been as a graduate student and need not have been full-time) and demonstrated or potential expertise and accomplishment in their discipline or area of practice.

2. Clinical Associate Professor of (varies)

Faculty initially appointed or promoted at this rank normally possess a minimum of six years of demonstrated sustained excellence in relevant teaching and curriculum innovation, service and administrative roles, and professional activity. In addition, they may have produced relevant professional scholarly or creative work or performance at a nationally or internationally recognized level.

3. Clinical (Full) Professor of (varies)

Faculty initially appointed or promoted to this rank possess a minimum of twelve years of demonstrated excellence in relevant teaching and teaching innovation, service and administrative roles, and professional activity. In addition to the achievements expected of Clinical Associate Professors, they will have attained and will document national or international peer recognition through publication, grant awards, professional organizational service, or media exposure.

C. Terms of Appointments

Clinical faculty may be appointed as follows:

Specific terms are:

- **One-year appointments:** These are appointments made by the Director and used primarily to address temporary programmatic needs (e.g., a leave or resignation). There is no expectation of renewal, though they may be renewed on an annual basis at the discretion of the Director. [N.B. If a faculty member receives three continuous one-year appointments, a formal review, as defined below in Section III, shall take place in the third year as a condition for reappointment, which may if appropriate be for a three-year term. Reappointment is conditional upon continued programmatic need and available funding.]
- **Three-year appointments:** These are the norm for clinical assistant professors. Faculty are reviewed for reappointment during the penultimate year of a contract. Subsequent appointments are for three years. (With respect to promotion and apart from reappointment, Clinical Assistant professorial faculty have the option to request review for promotion in the last year of the second three-year contract, or at any time thereafter.)
- **Five-year appointments:** Normally, five-year contracts are awarded only upon promotion to Clinical Associate Professor and Clinical (Full) Professor. Reviews for reappointment are in the penultimate year of the contract. Subsequent appointments are for five years. Reviews for promotion from Clinical Associate Professor to Clinical (Full) Professor may take place at any time after the requirements set out in section II.B.3 have been met.

Note: There is no limit to the number of consecutive reappointments that faculty may receive.

III. Review and Reappointment of Clinical Faculty

This section sets out the process and criteria for performance reviews. A positive review establishes that a faculty member is eligible for reappointment: reappointment is subject to the academic and curricular needs of the program and the University. Even in those cases in which a candidate satisfies the appropriate standards of achievement, the decision to reappoint or promote may be impacted by curricular and structural changes and improvements in academic programs. In this case, the basis for non-reappointment will be clearly stated in the notice given to the faculty member. Appointments automatically terminate at the close of the period of time stipulated in the contract, unless there is an official notice of renewal.

Faculty reviews are an essential component of professional development for all faculty members and the following guidelines and reappointment criteria are designed to enable faculty to gain valuable feedback, enhance their skills and experience, and contribute to the success of ISAW.

A. The Review Committee

A separate committee is appointed for the review of each Clinical faculty member in ISAW. The committee, which is appointed by the Director, consists of three members and is chaired by a member of the ISAW faculty. Other members may come from appropriate departments or schools at NYU. No faculty member may serve on the committee in the year in which his or her contract expires.

For review for reappointment of Clinical (Full) Professors, the committee shall be comprised of faculty who hold the rank of Clinical (Full) Professor or (Full) Professor.

The committee will review each candidate's portfolio and other relevant documentation as is made available. The committee will prepare a written review for the full faculty that summarizes and evaluates the evidence of accomplishment, notes areas that require improvement, and makes a recommendation regarding reappointment. All members of the committee should read the review before it is submitted to the Director. The review should represent a collective judgment of the committee, or, in the case of a divided opinion, a majority of the committee. If there is a division of opinion, the dissenting opinion should be appended to the majority review. In order for a successful review, the candidate must demonstrate excellence in the area of teaching, and, in addition, either service or professional activity, or both, in line with the purpose of the appointment. A majority vote of the review committee shall be required for a recommendation to reappoint.

The full faculty reviews the report of the review committee and votes whether to recommend reappointment. The Director makes a final decision regarding reappointment. The Director will provide the faculty member with a written summary that includes suggestions for professional development and a recommendation regarding reappointment, and will meet with the candidate to discuss the committee's evaluation, as well as his or her own assessment and continuing programmatic need for the reappointment.

B. Process and Timeline

The performance review will occur in the penultimate year of the contract. During the first week of the academic year in the penultimate year of an appointment, the faculty member receives notification that he or she is up for review. With prior approval by the Director, the contract 'clock' may be stopped for reasonable cause, e.g., medical, personal (as primary caregiver for child, spouse, parent, same-sex domestic partner), or by contractual stipulation. Each clinical faculty member scheduled for review is required to submit a portfolio, whose contents are detailed in Section III.C. below. The timeline is as follows:

- Submission of portfolio – by December 20;
- Review Committee recommendation to Faculty – on or around February 15;
- Faculty vote on Review Committee recommendation – on or around March 15;
- Director's notification to candidate – on or around April 1.

C. Materials

In conducting its review, the review committee shall consider evidence of accomplishments in the areas of teaching, research, service, and professional activity, according to the terms of the candidate's appointment.

The review committee will consider the following as well as such other materials that the candidate may supply or the committee may request:

- A statement of teaching philosophy, provided by the candidate;
- Student evaluations of teaching during the most recent appointment;
- Two peer observations of teaching;
- Supplementary teaching materials (such as syllabi, assignments, etc.), provided by the candidate;
- The current C.V., provided by the candidate;
- All previous review and promotion committee recommendations and all previous director's decisions;
- Summary of professional, service, scholarly, and artistic activities and accomplishments during the appointment period, provided by the candidate;
- If appropriate, copies of publications and creative productions during the appointment period, provided by the candidate.

The committee may also request other materials and data from the candidate.

The committee's written review should specifically indicate the strengths of the faculty member under consideration in relation to school and program criteria. Where there are weaknesses, the review committee may suggest courses of action to improve performance; these are conveyed to the faculty member in writing by the Director.

IV. Promotion of Clinical Faculty

The review processes and criteria for promotion are summarized below. In addition to the consideration of teaching, service activities, and professional, scholarly, and creative, work, recommendations regarding promotion also may be based on a prognosis of the clinical faculty member's future achievements based on dependability, growth, potential, and versatility of the faculty member as he or she will contribute to the evolving mission of ISAW.

For promotion to Clinical Associate and Clinical (Full) Professor, external references will be solicited.

A. Review Committee: The Review Committee for promotion to Clinical Associate Professor shall consist of three faculty members appointed by the Director. For review for promotion to Clinical (Full) Professor, the committee shall be composed of two faculty who hold the rank of Clinical (Full) Professor or (Full) Professor, and one tenured member of the ISAW faculty at the rank of (Full) Professor, who shall serve as chair, all appointed by the Director.

B. Timeline:

- Preliminary notification by the candidate of application for promotion – on or around October 1;
- Submission of portfolio – on or around January 1;
- Review Committee recommendation to Faculty – on or around March 1;
- Faculty vote – on or around April 1;
- Director’s notification to candidate – on or around May 1.

C. Criteria for Promotion**1. Criteria for Promotion to Clinical Associate Professor**

A clinical faculty member ordinarily should have spent at least six years at the rank of Clinical Assistant Professor (with up to three years counting from full-time employment at other colleges or universities) to be eligible for promotion to Clinical Associate Professor in ISAW. Promotion to the rank of Clinical Associate Professor requires sustained excellence in teaching and also recognizes the impact of service and administration, and scholarly, artistic, and professional activity. Expectations for excellence in professional activities, however, must take into account the teaching load and administrative/service duties of the faculty member. In rare instances, an initial appointment may be made at the rank of Associate Professor.

2. Criteria for Promotion to Clinical (Full) Professor

A clinical faculty member ordinarily should have spent at least twelve years as a full-time faculty member (with up to six years counting from full-time employment at other colleges or universities) and at least six as a Clinical Associate Professor at ISAW before applying for the rank of Clinical (full) Professor. Promotion requires sustained excellence in teaching, service and administration, scholarly, artistic, and professional activity, and peer recognition in the applicable field. Expectations for excellence in professional activities, however, must take into account the teaching load and administrative/service duties of the faculty member. In rare instances, an initial appointment may be made at the rank of Clinical (Full) Professor.

D. Materials

In conducting its review for promotion, the review committee shall consider evidence of accomplishments in the areas of teaching, scholarly research, artistic activity, service, and professional activity, in accordance with the terms of the candidate’s appointment. For faculty whose responsibilities are primarily administrative, greater weight will be given to performance in this area in promotion review.

The review committee will consider the following as well as such other materials that the candidate may supply or the committee request:

- A statement of teaching philosophy;
- Student evaluations of teaching during the most recent appointment;
- Two peer observations of teaching;
- Supplementary teaching materials (such as syllabi, assignments, etc.);
- The current C.V.;
- All previous review and promotion committee recommendations and all previous dean's recommendations;
- Summary of professional, service, scholarly, and artistic activities and accomplishments during the appointment period, provided by the candidate;
- Copies of publications and creative productions during the appointment period, provided by the candidate.

External references will be solicited to assist in the evaluation of the candidate's scholarship, creative work, or professional achievement, as appropriate to the appointment. Candidates will propose a list of three referees, one of whom will be selected by the Director, who will select two additional referees (not nominated by the faculty member), if necessary in consultation with faculty in the candidate's area of expertise.

The committee may also request other materials and data from the candidate.

The committee's written review should indicate specifically the strengths of the faculty member under consideration in relation to school and program criteria, and will recommend that the candidate be promoted or not promoted. A majority vote will be required to constitute a recommendation for promotion. If there is a division of opinion, the dissenting opinion should be appended to the majority review.

V. Process for Grievance for Reappointment/Promotion and for Discipline

ISAW follows the grievance and appeal process for grievances and the process for discipline as set forth in the NYU Guidelines For Full Time Continuing Contract Faculty Appointments, revised and posted as of July 1, 2016, found here

<http://www.nyu.edu/content/dam/nyu/provost/documents/facultyHandbook/6.24.16CCFGuidelinesforweb.pdf>. The Guidelines require that the grievance committee include at least one senior full-time continuing contract faculty member who shall participate in hearing and evaluating only those grievances that are filed by clinical faculty members. At ISAW, the Grievance Committee, which shall be appointed by the Vice Director with the approval of the faculty, shall be constituted of at least three full-time Senior Faculty members. In the case of a grievance by a Clinical Assistant Professor, at least one of the members shall be an Associate

Professor or (Full) Professor. In the case of a grievance by a Clinical Associate Professor, the Grievance Committee shall consist of three tenured faculty. At such time as the number of clinical faculty at ISAW permits, at least one member of each grievance committee shall come from the clinical faculty.