The New School Full-Time Faculty Handbook

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THE NEW SCHOOL FULL-TIME FACULTY HANDBOOK

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Full-Time Faculty Handbook[1]

Introduction

With the arrival of President Kerrey in 2001 there has been a significant increase in the number of full-time faculty at The New School along with an emphasis on operating as one university with cross-fertilization between academic units and collaboration among the faculty and the deans/directors.

The establishment of a fully functioning faculty senate in 2004, the institution of a university policy for joint full-time faculty appointments beginning in 2004, and the introduction of academic rank for all full-time faculty in 2005 facilitate these goals.

Since the previous revision of the Faculty Handbook in 1995, significant changes have occurred within the University. These changes bring with them the opportunity to create clear and consistent policies governing full-time faculty employment.

This newly revised Handbook seeks to address the following broad policy goals related to full-time faculty regardless of their divisional affiliation:

- Enhancement of recruitment and retention
- Encouragement of multiple forms of scholarship and teaching
- Facilitation of interdisciplinary and interdivisional work
- Due process and responsible oversight
- Central location for approved policies and procedures

During the revision process it was agreed that discussions concerning review criteria, weights and measures for faculty workload, and local governance and committee structures was best dealt with at the divisional level. The deans were asked to lead these discussions with their full-time principal faculty with the goal of proposing divisional by-laws for review and approval by the provost and president, and adoption by the board of trustees to insure that they align with the general principals and standards as set forth in the Handbook.

Thus, the Handbook will contain appendices for each school and no school procedure or governance statement will be considered authorized unless it is recorded in the Handbook.

This Handbook and its appendices contain policies particularly relevant to full-time faculty. Other policies are posted at http://www.newschool.edu/admin/provost/policies

[1] Half-time "core" faculty are proportional full-time faculty with the same rights and responsibilities as full-time faculty.

Revision of the *Full-Time Faculty Handbook*

The New School and the faculty commit their good faith efforts to the process of achieving agreement on policy issues affecting the faculty, including but not limited to the provisions of this handbook.

Because of the range of subject matters and the authority for them, these policies and procedures are subject to change at any time. Revisions to the handbook will be incorporated periodically. Faculty are responsible for checking the Office of the Provost website to keep abreast of alterations and additions.

The board of trustees retains the right, in the best interest of the university, and in its fiduciary capacity, to alter the provisions of this handbook, except that any changes made to tenure and extended employment shall not apply to faculty who, at the time of the change, are tenured or hold extended employment contracts, without their individual consent. While preserving the right to institute changes, the president and the board of trustees will consult the elected representatives of the faculty, and will consider amendments proposed by the faculty through its selected representatives, before altering the handbook. If the faculty proposes amendments that are not accepted by the board of trustees, the faculty should be informed of the reasons for the non-acceptance. As part of this mutual process, the provost will meet with representatives of elected faculty leadership and the deans to discuss and clarify proposed changes to the handbook.

Within the limits of law and the charter of The New School, authority to interpret this handbook is delegated to the president by the board of trustees, who hold the final authority, and who agree to consider interpretations provided by the faculty through its established structures before declaring final interpretation of provisions.

In order to carry out many of the policies and procedures outlined in the handbook and to discharge the duties of curricular oversight, the board of trustees recognizes the need for the faculty to organize itself and recognizes duly constituted faculty officers and committees.

Handbook as Contract

This *Full-Time Faculty Handbook*, containing the approved policies and procedures of the university concerning the terms and conditions of faculty employment, is incorporated into the individual contract/letter of appointment of each full-time faculty member. Where the terms or provisions of an individual contract/letter of appointment are inconsistent with the general policies contained herein, the provisions of the individual contract/letter of appointment shall supersede. Otherwise, provisions of this handbook are legally binding on all parties.

i. Faculty Rights

The basic rights of all faculty are delineated in the policies that follow:

1. Policy on the Free Exchange of Ideas
2. Statement on the Freedom of Artistic Expression
3. Affirmative Action and Equal Opportunity
4. Intellectual Property Rights

Policy on the Free Exchange of Ideas

Adopted January 21, 1987

An abiding commitment to preserving and enhancing freedom of speech, thought, inquiry and artistic expression is deeply rooted in the history of The New School. The New School was founded in 1919 by scholars responding to a threat to academic freedom at home. The establishment of the University in Exile, progenitor of the Graduate Faculty of Political and Social Science, in 1933 was a response to threats to academic freedom abroad. The by-laws of the institution, adopted when it received its charter from the State of New York in 1934, state that the principles of academic freedom and responsibility have ever been the glory of the New School. The New School, since its beginnings, has endeavored to be an educational community in which public as well as scholarly issues are openly discussed and debated, regardless of how controversial or unpopular the views expressed. Providing such a forum was seen, from the first, as an integral part of a university's responsibility in a democratic society.

The New School is committed to academic freedom in all forms and for all members of its community. It is equally committed to protecting the right of free speech of all outside individuals authorized to use its facilities or invited to participate in the educational activities of any of the University's academic divisions. A university in any meaningful sense of the term is compromised without unhindered exchanges of ideas, however unpopular, and without the assurance that both the presentation and confrontation of ideas takes place freely and without coercion. In this context and because of its distinctive, educational role as a forum for public debate, the University has deep concern for preserving and securing the conditions which permit the free exchange of ideas to flourish. Faculty members, administrators, staff members, students and guests are obligated to reflect in their actions a respect for the right of all individuals to speak their views freely and be heard. They must refrain from any action which would cause that right to be abridged. At the same time, the University recognizes that the right of speakers to speak and be heard does not preclude the right of others to express differing points of view. However, this latter right must be exercised in ways which allow speakers to continue and must not involve any form of intimidation or physical violence.

Beyond the responsibility of individuals for their own actions, members of the New School community share in a collective responsibility for preserving freedom of speech. This collective responsibility entails mutual cooperation in minimizing the possibility that speech will be curtailed, especially when contentious issues are being discussed, and in assuring that due process is accorded to any individual alleged to have interfered with the free exchange of ideas.

Consistent with these principles, the University is prepared to take necessary steps to secure the conditions for free speech. Individuals whose acts abridge that freedom will be referred to the appropriate academic division for disciplinary review.

Statement on the Freedom of Artistic Expression

Adopted October 4, 1989

The University's Policy on the Free Exchange of Ideas states that, "An abiding commitment to preserving and enhancing freedom of speech, thought, inquiry and artistic expression is deeply rooted in the history of The New School." The University's responsibility for and dedication to securing the conditions in which freedom of expression can flourish extend to all forms of artistic expression, including the fine arts, design, literature, and the performance of drama, music and dance.

The opportunity to display or perform works of art at the University is made available through several academic processes and procedures in which faculty members and other duly appointed individuals exercise their best professional judgment. Among these procedures is the selection of: 1) student art work by faculty, 2) selection of gallery shows by gallery committees, 3) selection of works of art by the Committee on the University Art Collection, and 4) display or performance as part of an approved course curriculum. Such authorized display or performance, regardless of how unpopular the work might be, must be unhindered and free from coercion. Members of the University community and guests must reflect in their actions a respect for the right to communicate ideas artistically and must refrain from any act that would cause that right to be abridged. At the same time, the University recognizes that the right of artists to exhibit or perform does not preclude the right of others to take exception to particular works of art. However, this latter right must be exercised in ways that do not prevent a work of art from being seen and must not involve any form of intimidation, defacement, or physical violence. The University rejects the claim of any individual or outside agency to dictate on the appropriateness or acceptability of the display or performance of any work of art in its facilities or as part of its educational programs.

As university citizens, faculty have special obligations that derive from membership in a community of scholars. While defending freedom of speech, they show respect for the

opinions of others. They also accept a fair share of responsibility for institutional governance to contribute to the larger New School community.

Faculty must seek above all to be effective teachers, scholars, and practitioners. Although they observe the stated policies of the institution, provided they do not violate academic freedom, they maintain their right to criticize and seek revision. Consistent with university policies, they determine the amount and character of the work they do outside their institution with due regard to their paramount responsibilities within it. When considering the interruption or termination of their service, they recognize the effect of their decision upon the program of the institution and give due notice of their intentions. As members of their community, faculty have the rights and obligations of any citizen of the United States of America. They measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression that they speak or act for their division or university. As citizens engaged in a profession that depends upon freedom for its health, integrity, and efficacy, faculty have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Policy on Affirmative Action and Equal Opportunity

The New School is committed to creating and maintaining an environment that promotes diversity and tolerance and that ensures equal opportunity for all members of the University. To assure such an environment, the New School provides equal opportunity, which means opportunity without discrimination in all areas of employment and education, regardless of race, color, sex, sexual preference, religion, physical handicap, and national or ethnic origin. The University Committee on Equal Opportunity has the responsibility of formulating and implementing policies and procedures affirming this fundamental principle.

Diversity is especially important to the New School because it is a New York City institution with major commitments to an urban environment characterized by racial and ethnic diversity. The University also has a special responsibility in the area of affirmative action because of its history of responsiveness to the social issues confronting the contemporary world and to the educational needs of the New York population. The New School is therefore dedicated to making its educational resources available to everyone qualified to work or to study at the University without discrimination on the basis of racial or ethnic background.

In 1997, The New School established an Affirmative Action and Diversity Plan for 1997-2000, which included employment, enrollment, and curricular goals. The Plan also established programs and policies for the University and each academic division. Many members of the University community contributed to the development of the Plan. Those

concepts and principles of the first plan have been integrated into a new plan for the coming years. In order to ensure that goals for the new Plan were effective and appropriate, each division was asked to undertake an assessment of the strengths and weaknesses of the future.

The University Diversity committee serves as a liaison between administration and the broader University community in developing policies and programs to enhance diversity.

For more information regarding issues of equal opportunity and affirmative action at the New School, please visit the website at:
http://www.newschool.edu/admin/hr/affirmative_action_execsummary.pdf

Intellectual Property Rights

Approved June 13, 2002

I. Policy Overview And Purpose

The New School (the "University") seeks to encourage creativity and invention among its faculty members and students. In doing so, the University affirms its traditional commitment to the personal ownership by its faculty members and students of Intellectual Property Rights in works they create. This Policy governs the Intellectual Property Rights of the University, faculty members and students in the work product, ideas and inventions (regardless of the medium) created in connection with activities associated with the University (the "Work" or "Works"). The term "Intellectual Property Rights," as used in this Policy, refers to copyrights, rights in trademarks and service marks, patents, moral rights, and other intangible proprietary rights. The term "Works," as used in this Policy, does not include any Works created by faculty or students outside the scope of their activities in connection with the University, except to the extent that such activities fall within one of the limited Exceptions set forth below or the policy concerning disclosure of faculty-student agreements.

The University supports the Intellectual Property Rights of its faculty and students in materials which they create or otherwise author related to academic work, including, but not limited to art objects, lecturer notes, lecture transcripts and tapes (audio or video), works of original authorship (including both literary and artistic works, and including documentations of these such as photographs or art works), software, compilations of information such as databases, and any other research, scholarly or creative work and its derivatives, in any medium, except as otherwise set forth in this Policy.

The University recognizes that individuals may have dual roles at the University and that faculty members may also act in an administrative capacity ("Faculty-Administrators). This Policy does not apply to Works created by (i) staff members or (ii)

administrative personnel or Faculty-Administrators acting within the scope of their administrative duties because such Works are governed by the "work for hire" doctrine or are otherwise the property of the University. Works by Faculty-Administrators acting within the scope of their faculty duties are subject to this Policy.

II. General Rule

Faculty members and students will own all Intellectual Property Rights in Works they create in connection with activities associated with the University, subject only to the limited Exceptions to the General Rule and the University's Minimum Rights. If more than one person contributes to a Work, then the contributions of each contributor shall be acknowledged and each contributor shall be treated as having Intellectual Property Rights in the Work under this Policy.

No Limitation on Fair Use

Nothing in this Policy shall limit the rights of faculty members, students, or the University to make a "fair use" of copyrighted Works as that term is defined in the Copyright Act.

III. Exceptions To The General Rule

When any one of the following Exceptions applies to a Work, then faculty members and students who participate in the creation of the Work will retain the following "Faculty/Student Minimum Rights": the right to make and retain a reproduction; the right to include that reproduction in their portfolio; and the non-transferable right to copy, use, display, and distribute that reproduction for non-commercial purposes. Such Faculty/Student Minimum Rights are in addition to any interest of the creator set forth in Section IV below.

Exception 1: Outside Sponsored Research/Activities

Exception 1 applies to Works created as part of activities sponsored by an outside sponsor.

"Sponsored Research" is used here to mean all research or activities for which financial support or contribution has been received from an external organization or sponsor, including commercial establishments ("Outside Sponsor").

If the activities meet any of these conditions, then

a. at the outset, the activity will be identified as falling within Exception 1 under the Policy so that student and faculty members know in advance of the terms of this Exception and its applicability; and

b. with knowledge of the terms of this Exception, each student and faculty member will have the option not to participate in the activity; and

c. each student and faculty participant will enter into a written agreement, when appropriate, with the University and/or Outside Sponsor specifying the Intellectual Property Rights to be transferred to the University and/or Outside Sponsor and other terms; and

d. the sponsored activity must be approved by the Provost or the Provost's designee.

In all cases under Exception 1, students and faculty shall retain Faculty/Student Minimum Rights. All other Intellectual Property Rights retained by the students and faculty and all Intellectual Property Rights transferred to the University and/or Outside Sponsor will be governed by the provisions of the agreement with the University and/or Outside Sponsor. The University may transfer some or all of its Intellectual Property Rights to the Outside Sponsor. Any revenue received by the University from commercialization of the Intellectual Property Rights will be distributed as set forth in Section IV below.

Exception 2: University Commissioned or Sponsored Activities

Exception 2 applies to activities or Works which are commissioned or sponsored by the University. A University commissioned activity or Work is one in which the University specifically commissions a faculty member or student to create a Work which will be either covered by the "work for hire" doctrine or the subject of a separate agreement, such as an agreement with respect to a faculty development grant or other type of grant.

An activity or Work is sponsored by the University when University support makes the Work possible or when the University provides exceptional support, either with money, facilities, equipment or staff, for the development or production of a Work that is to be introduced commercially. In such instances, if a Work developed or produced by means of such University support is introduced commercially, it is reasonable for the University to participate in the fruits of the enterprise and/or to be reimbursed for the University's extra or special costs, and the University will be entitled to do so. Use of library facilities and facilities available to the general public, occasional use of office equipment and office staff, and works created during the course of classroom instruction will not ordinarily be considered the basis of University sponsorship of a project.

The University may designate certain University resources (i.e., facilities, equipment, funding) (the "Designated Facilities") in which the University (i) has made an exceptional investment and (ii) has recognized at the outset that the use of such Designated Facilities may give rise to a commercially viable product. The Provost will create and revise the list of Designated Facilities as necessary, after consultation with an advisory group composed of members of the University community including faculty members. Students or faculty who create Works through the use of any Designated Facilities are responsible for disclosing such Works to the University. Such disclosure shall be made when it can be

reasonably concluded that the Works have been created, and sufficiently in advance of any publications, presentation, or other public disclosure to allow time for possible action that protects the Intellectual Property Rights for the creator and the University. Failure to make such disclosure is a violation of University Policy. At any time after disclosure, the University may agree in writing to waive its rights to participate under this Exception.

Faculty members or students may seek exemption from the terms of this Exception and from University participation. Faculty members will not be considered to have made the requisite use of Designated Facilities if the faculty member receives advance written approval of the proposed use from the Department Chair on one of the following grounds: (i) the Work to be produced through the use of the Designated Facilities or equipment is for academic purposes only and the faculty member does not use any University-provided funds or University-administered funds in connection with the activity; or (ii) the faculty member compensates the University for the fair market value of the Designated Facilities used for the project. Students will not be considered to have made the requisite use of Designated Facilities if (i) the student receives advance written approval of the proposed use from the Department Chair; or (ii) the student does not use any University-provided funds or University-administered funds in connection with the activity. Projects which are exempted for one of the foregoing reasons shall be reported to and reviewed by the Provost.

In all cases under Exception 2, students and faculty shall retain Faculty/Student Minimum Rights. Any revenue received by the University from commercialization of the Intellectual Property Rights will be distributed as set forth in Section IV below.

Exception 3: Student or Faculty Initiated Agreements

Exception 3 applies to Works created by a student or faculty member where the student or faculty member either:

a. seeks and receives assistance from the University with obtaining intellectual property protection (i.e., getting a patent) or assistance with an agreement or with commercialization of a Work; or

b. seeks permission and the University, in its sole discretion, grants permission to use one of the University's names, trademarks or other University intellectual property rights in connection with a Work.

Faculty members and students must obtain the University's approval before using one of the University's names or trademarks in connection with a Work.

When either (a) or (b) is the case, then the student or faculty member shall enter into an agreement whereby the University, or affiliate of the University, will provide such assistance or an agreement whereby the University will provide such permission to use the name or trademark. The agreement will establish the structure and goals of the initiative, and it will outline the obligations of each party contributing to it.

In all cases under Exception 3, the student or faculty member shall retain Faculty/Student Minimum Rights. The agreement will allocate Intellectual Property Rights and compensation among the parties in light of, among other things, the contribution of each party to the initiative, the rights that the parties may require to perform their roles within the initiative, or the scope of use of the University's name or trademark. Any revenue received by the student or faculty member from commercialization of the Intellectual Property Rights or use of the University's name or trademark will be distributed as set forth in Section IV below.

IV. Distribution Of Royalties Derived From Commercialization

Royalty income and other non-equity revenue derived from the licensing of Intellectual Property Rights under any of the Exceptions listed above will be distributed as follows, unless the University and the creator have agreed in writing upon an alternative distribution arrangement:

1. The University will be reimbursed for any out-of-pocket expenses incurred in obtaining and maintaining intellectual property protection for a Work, and in evaluating and marketing such Work.

2. The remaining net income will be distributed as follows:

1. 50% to the creator(s) (any portion of such revenue payable to student and faculty participants will be divided among them in accordance with the degree to which each contributed)

2. 20% to the University

3. 10% to the creator's department or equivalent unit

4. 10% to the creator's school or academic division

5. 10% to faculty development programs or student scholarships.

V. Minimum Rights Of The University Through A Non-Exclusive License

In keeping with the long-standing traditions of academic institutions, the University shall receive a non-exclusive, royalty-free, worldwide license to use the Works for archival, reference, research, classroom, and other educational purposes (the "License"). With regard to tangible works of fine art or applied art, this License will attach only to stored images of such Work (e.g., slides, videos, digitized images) and does not give the University a right to the tangible works themselves. With regard to literary, artistic and musical Works, this License will only attach to brief excerpts of such Works for purposes of education. If the University wishes to acquire rights to use the Work or a reproduction

or image of the Work for advertising, promotional or fund-raising purposes, the University will negotiate directly with the creator in order to obtain permission.

This License includes a right in the University to offer any course, or to develop and offer derivative courses of instruction, in both conventional and nonconventional settings (including courses intended for use in Internet distance education projects). The License shall continue to be available to the University even if the faculty member should leave the University. The University may, at its discretion, alter, add to, or otherwise change course materials in keeping with the educational purposes of the License. If they wish to do so, faculty members may also make necessary changes to maintain the accuracy and currency of their course materials.

This License to the University is not intended to inhibit the faculty member or student's ownership or use of the Work and the Intellectual Property Rights therein. The University will make reasonable efforts to display indicia of the authorship of a Work. This License shall be presumed to arise automatically and no additional formality shall be required, and shall be in addition to any interests received by the University in Section IV above.

VI. Agreements Between Faculty And Students

From time to time, current faculty members may wish to enter into agreements with current students relating to the creation of Works (and commercialization thereof) outside of the scope of their activities with the University. Except to the extent that such Works fall within one of the Exceptions, the University will have no stake in any Intellectual Property Rights therein. However, the faculty members are required to disclose the existence and general nature of such agreements to the Provost in order for the University to safeguard against any impropriety or unfairness or the appearance thereof.

VII. Conflict Resolution

Administration of this Policy shall be the responsibility of the Office of the General Counsel. Questions should be directed to the Office of the General Counsel regarding the application, interpretation or implementation of the Policy, or regarding any disagreement among creators concerning assignment or apportionment of Intellectual Property Rights or sharing of royalties. Disagreement with any determination made by the Office of the General Counsel may be directed to the Provost for a final determination.

VIII. Changes to this Policy

The University reserves the right to change this Policy from time to time. The Board of Trustees has sole authority to approve changes to this Policy.

ii. Faculty Responsibilities

The basic responsibilities of all full-time faculty include the following:

- High standards of academic quality and professional integrity
- Effective teaching
- Service to their students
- Meeting high standards of scholarly, creative, or professional achievement
- Being available to full-time and part-time students through divisionally approved, conspicuously posted, regularly scheduled office hours (filed with the dean)
- Adherence to all university policies and procedures including but not limited to the following: Conflict of Interest, Sexual Harassment and Discriminatory Harassment, Privacy, Submission of Syllabi and Course Outline, and Submission of Grades.

iii. Faculty Categories, Appointment Types, and Ranks

Faculty Categories

At The New School, practitioners whose work is recognized in the profession teach side by side with scholars whose careers are established in the academy. The New School welcomes the expertise and richness that both practitioners and scholars bring to teaching and learning.

The New School employs faculty in three categories: Principal, Term, and Visiting.

a. Principal Faculty

The New School has five appointment categories for principal faculty: Probationary, Extended Employment Eligible, Extended Employment, Tenure Eligible, and Tenured.

Principal faculty are responsible for planning and managing the curriculum, the supervision of junior and part-time colleagues, and academic quality. They are expected to be effective teachers, to advise students, to play an active role in their profession, department, division, and university governance, and to meet standards of scholarly, creative, or professional achievement as established through their divisions/schools.

All principal faculty are subject to review including formative (annual) and summative (periodic) evaluation.

b. Term Faculty

Term faculty are responsible for teaching and providing expertise in their field/profession. They are expected to be effective teachers and may advise students and play an active role in their department/program.

Term appointments may be made for periods of one (1) to five (5) years, and may be renewed subject to acceptable performance and institutional need up to a total of ten (10) years. Thus, term appointments carry no presumption of continuing employment beyond the contract period.

Under some circumstances, term appointments could be considered for a principal faculty appointment type/track.

c. Visiting Faculty

Visiting appointments are generally given to persons on leave as full-time faculty from another institution. The duration of the appointment of a visiting professor is normally one year, but cannot exceed three years.

d. All Faculty

Term and visiting faculty hold the same rights as principal faculty, are subject to annual performance evaluation, and must adhere to all university policies.

All faculty may be terminated by the university for cause or under extraordinary circumstances.

Principal Faculty Appointments

When a faculty position becomes vacant, or it is determined that a new appointment is needed, the dean of that division shall consult with the provost. After authorization to fill the position has been obtained, the dean shall follow university policies and procedures for filling the position. In all cases, these policies shall be consistent with EEO regulations and university guidelines for the recruitment of faculty. Final approval for all appointments, after the provost's and president's endorsements, rests with the board of trustees.

Within The New School faculty employment framework, there are two long-term appointment types, Extended Employment and Tenure. These appointments are made in the department/program that initiates the promotion process.

The purpose of extended employment and tenure appointments is to sustain and strengthen commitments by the university to academic freedom, shared governance, and excellence in teaching/advising; scholarly, creative or professional practice and service.

To qualify for tenure, faculty members must demonstrate ongoing excellence in their scholarly, creative or professional activities. In addition, faculty must elect to be evaluated for ongoing excellence in either teaching or service with the remaining category requiring an ongoing and good level of performance.

To qualify for extended employment, faculty members must demonstrate ongoing excellence in teaching. In addition, faculty must elect to be evaluated for ongoing excellence in either service or their scholarly, creative or professional activities with the remaining category requiring an ongoing and good level of performance.

Having two long-term faculty employment tracks allows faculty to choose a realistic path toward excellence within The New School, the academic profession, and their divisions.

a. Probationary

All new junior appointments are probationary. The initial appointment is a four-year probationary contract. The university considers probationary faculty as on the tenure-track, but provides, subject to positive review and in consultation with the dean or designee, the choice of an extended employment option. Probationary appointments may be terminated at the end of any contract period based on performance and/or institutional need considerations.

b. Tenure Eligible

Tenure-eligible appointments are made for one three-year term, following successful review at the end of the probationary period. The decision to award tenure is made in the third year of this contract period. Tenure appointments are designed for faculty who wish to excel in scholarly/professional and/or creative activities and teaching. Because tenure is the ultimate long-term commitment on the part of the university to an individual faculty member, it requires a commitment to sustained excellence in scholarly, creative or professional activities as well as ongoing excellence in either teaching or service with the remaining category requiring an ongoing and good level of performance.

c. Tenure

Faculty with Tenure are those who have not only proven sustained excellence in their scholarly and professional/creative achievements and teaching or service, but are committed to maintaining that standard and who have been affirmatively confirmed in such status by action of the board of trustees on recommendation of the provost through the president subsequent to appropriate peer and administrative review. An appointment with tenure means an appointment without limit of time subject to triggered post-tenure review.

d. Extended Employment Eligible

Extended employment eligible appointments are made for one three-year term, following successful review at the end of the probationary period and in consultation with the dean or designee. The decision to award extended employment is made in the third year of this contract period. Extended employment eligible appointments are designed for faculty who wish to excel in teaching, as well as ongoing excellence in either service or scholarly, creative or professional activities with the remaining category requiring an ongoing and good level of performance.

e. Extended Employment

Faculty with extended employment appointments are those who have proven and are committed to maintaining excellence in teaching, as well as ongoing excellence in either service or scholarly, creative or professional activities with the remaining category requiring an ongoing and good level of performance and who have been affirmatively confirmed in such status by action of the board of trustees on recommendation of the provost through the president subsequent to appropriate peer and administrative review.

An extended employment appointment is a contract for five, seven, or ten years as determined by institutional need and other considerations. Such extended employment contracts are renewed subject to meeting performance standards and institutional suitability review. .

Joint Appointments

Joint appointments are granted to principal full-time faculty to render service to two departments/program or divisions/schools of the university, pursuant to the principal faculty appointment types. Faculty holding joint appointments are expected to participate in each department/program or division/school to which they are assigned.

Joint appointments are usually created:

- To fulfill curricular or research needs of a division/school
- In connection with interdisciplinary or professional/disciplinary teaching and research programs involving several units
- To enhance a faculty member’s teaching and/or research opportunities
- To increase recruitment prospects for attractive faculty

Each joint appointment involves a home division/school and a collaborating division/school or units. The home division/school initiates recruitment and all forms of evaluation and salary review and offers faculty support and services. The collaborating unit(s) participates in the search and all forms of evaluation and salary review.

a. Agreement

An Agreement to Initiate a Joint Appointment (AIJA) must be approved by the provost before a search can be authorized. The AIJA should be signed by the program directors or department chairs and the deans of all units seeking authorization. It should clearly articulate:

- Designation of home and collaborating division/school or units
- The process of recruitment including composition of committees, responsibilities and authorities of each division/school
- Employment category and decisions regarding annual performance and salary review and evaluation for reappointment, promotion, including composition of committees, responsibilities and authorities of each division/school
- Rank

b. Memorandum of Understanding

In addition to the AIJA, each joint appointment is accompanied by a Memorandum of Understanding (MOU) which is signed at the time of appointment by the program directors or department chairs, the faculty member and the deans of all units involved and approved by the provost. The MOU should clearly articulate:

- Designation of home and collaborating division/school or units
- Teaching assignments
- Service expectations
- Scholarship/professional or creative achievement expectations
- The method of participation of each division/school in faculty evaluation and salary review
- Allocation of resources, corresponding to teaching, scholarship and service expectations (office space, computers, operating support, travel funds, etc.)

The MOU may be revised when appropriate. A revised MOU must record the signatures of all participants and must be approved by the Office of the provost.

Faculty Ranks and Title

There are four faculty ranks at The New School: Instructor, Assistant Professor, Associate Professor, and Professor, differentiated by levels of education and professional accomplishment. Appointment or promotion to any academic rank carries with it the possibility, but no presumption, of reappointment and includes no right to permanent or further reappointment or to promotion to any higher rank.

Visiting faculty hold the rank of Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, or Visiting Professor, based on their home institution designation, or level of education and scholarly/professional/creative accomplishment. Outside of the ranking system, The New School has three other titles for faculty:

a. Distinguished Professor

Senior members of the faculty may be awarded this title by the board of trustees in recognition of distinguished service to the university and eminence in their discipline. In some cases, faculty with equivalent achievements at other institutions may be hired with the rank of Distinguished Professor.

b. Professor Emeritus/Emerita

Upon retirement, this title may be awarded to faculty by the board of trustees in recognition of distinguished service to the university and significant contributions to their fields. It is an honorary title that does not carry teaching or other duties but may entitle the holder to access to certain university resources and facilities.

c. Professor of Professional Practice

Term and visiting faculty whose careers have been formed outside of the academy may be awarded this title by the dean in consultation with the provost.

Changing Appointment Type/Track

Under certain circumstances, faculty members may be allowed to switch appointment types or tracks. Notification of the desire to switch between types of faculty appointments must be made in writing to the dean. The final decision to permit such a switch in status resides with the provost, in consultation with the dean. Once a faculty member has switched appointment types or tracks, the faculty member must abide by the policies and procedures in place for the appropriate type/track.

iv. Workload Policy

This university-wide workload policy establishes the principles of consistency, equity, and flexibility together with a process for determining workload responsibilities that is uniform across the various divisions. The activities, duties, and responsibilities of the faculty must be determined in relation to the mission, objectives, and strategic plans of the university, and to the specific mission, goals, and objectives of the respective departments/programs, divisions/schools.

Principal faculty are expected to excel in teaching and advising, make scholarly contributions in scholarly and/or professional and creative practice, and render service to the university, the profession, and the community. The workload obligation of an individual faculty member should reflect the proportion of faculty effort within each of

the three areas of responsibility that best represents the interests and strengths of the faculty member, while simultaneously furthering the goals of the division/school and the university.

Workload Responsibilities Guidelines

The primary responsibilities of full-time faculty are imparting knowledge to others (teaching or other instructional activities), creating new knowledge (research, scholarship, and/or professional and creative practice), and facilitating the execution of the first two responsibilities (service). The faculty workload refers to the effort made in the execution of these three responsibilities.

This policy establishes a university-wide framework for individual effort in each of the three workload categories, across which any individual faculty member's proportion of effort may vary. Within this context, the policy allows each division or school to establish clear expectations for its entire faculty across the three domains of work responsibility, including professional development, while still granting sufficient flexibility to departments/programs to allocate work assignments to individual faculty members in consideration of the priority accorded to departmental or program objectives.

The university expects all principal faculty members to be engaged in the following three workload areas at all times:

- Instructional duties
- Research and/or professional and creative practice and,
- Service duties

For the purposes of this discussion, and with the understanding that equivalencies need to be specified by the disciplines and departments/programs for approval by the provost, academic courses are assumed to consist of lectures, seminars, or studios meeting at least once weekly for 15 weeks per semester and bearing at least three (3) academic credits. In addition, it is recognized that in certain disciplines instructional activities are not defined by semester hours, but by other parameters such as contact hours, studio participation, or graduate research preceptorships. In such cases, semester-hour equivalencies must be defined by the division/school and submitted for approval to the provost for determining appropriate faculty workload assignments in the context of standard practice within the discipline, profession, or division.

These divisional definitions should be reviewed regularly by the deans and provost and not seen as fixed in perpetuity, as disciplines and conditions may change over time.

When the minimum teaching load is not achieved—for example, when courses must be cancelled due to insufficient enrollment—faculty members will be assigned other duties in the department or in the division (such as additional student advising, involvement in recruitment or retention initiatives, accreditation preparation, departmental service, etc.).

These assignments will be made by the dean or his/her designee (usually the department chair) after consultation with the individual faculty member, depending upon the amount of instructional activities in which the faculty member is engaged. If no other duties are assigned, the faculty member shall make up the teaching assignment within the next three (3) semesters.

Additionally, the chair or director, in consultation with the dean and with the approval of the provost, may grant "released time" from teaching to faculty members who have either significant externally-funded support, depending upon the award amount and the proportion of effort funded, or substantial administrative or service responsibilities. In unusual circumstances, a faculty member, upon the recommendation of the chair or director and the dean and with the approval of the provost, may be permitted to teach fewer courses (as defined by divisions) annually than those required of other faculty in the department or program. In addition, faculty members may, with concurrence of the chair and the dean, teach in excess of the credits described herein and "bank" the overload hours for a comparable amount of released time at a later date.

In determining teaching load, a single course with both an undergraduate and graduate course number, meeting or scheduled concurrently, will count as one preparation. Individual instruction credits (such as reading courses, independent study courses, thesis/dissertation supervision) may be considered by the chairperson in determining whether a faculty member has a full workload. In the assignment of workload, consideration should be given to the following possible types of instruction: team teaching; graduate instruction; activity classes; laboratory courses; clinical supervision; directed study; and distance learning. Consideration for adjustments in workload should be given to at least the following: preparation for substantive changes in instructional methods, including the incorporation of new instructional technology; unusually large class sizes, especially in the absence of teaching or research assistants or an inadequate number of assistants; research productivity demands; student teacher supervision; thesis/dissertation supervision load; supervision of fieldwork; clinical student supervision; or extraordinary service on a university-wide committee.

In the area of research and scholarly or professional and creative activities, a minimum of 20 percent of principal faculty members' time should be devoted to this effort during the year. This may vary, however, depending on the amount of research or scholarly involvement in which an individual faculty member is engaged, as well as the extent of participation in teaching, mentoring, and university service.

Workload Measures

The criteria and units that are identified in this section for the measurement of the instructional, research and/or professional and creative practice, and service workload categories are provided as examples of appropriate indicators and are not intended to be

exhaustive. The departments and programs and divisions are expected to develop and recommend additional indicators for these three categories that are appropriate or unique to their departments or programs. In addition, because professional development is embedded in each of these categories, and given the range and variability of professional development activities, both within and across disciplines, the departments and programs are charged to identify and define metrics and indicators appropriate to the discipline for each of the three workload categories.

a. Criteria and units for measurement of instructional activity

The criteria for determining instructional activity include all activities directly related to teaching. The unit of measurement is time, which usually is quantified in clock hours. For example, among the indicators appropriately used are the following:

- Number of hours in class (laboratory, clinic, studio);
- Number of hours required for preparation;
- Number of hours required for evaluation;
- Number of hours devoted to student consultation/advisement;
- Number of hours devoted to individual instruction and tutoring, thesis/dissertation, critiques; and,
- Number of hours devoted to curriculum development.

b. Criteria and units for measurement of research and scholarly and/or professional and creative practice

The criteria for determining "research activity" include all activities directly related to creative and scholarly endeavors. Evaluative criteria are declared by each division with consideration for both qualitative and quantitative measures for assessing the significance and impact of the scholarly/creative endeavors. Examples of criteria could include:

- Productions (papers, books, grant proposals, grants funded, reviews, presentations, performances, screenings, exhibits)
- Creative work
- Memberships on dissertation/thesis research committees
- Memberships on professional review and advisory committees for nonprofits, foundations, and the government
- Research grants or contracts
- Standing of associated dissemination vehicle (prestige associated with journal, publisher, funding body, gallery, conference, festival, theater)
- Research and/or training grant applications to funding agencies
- Grants received
- Citations and references
- Peer-reviewed papers, presentations, performances, exhibits, professional reports
- Awards, prizes, invited lectures or presentations
- Media coverage (opinion pieces, book reviews)
- Pro bono consulting work in the faculty member's field of expertise;

- Dissertation/thesis committees chaired
- M.S./M.A. students trained/graduated in any given year
- Ph.D. students trained/graduated

c. Criteria and units for measurement of university and public service activity

University service refers to university activities not related to instruction or research or professional development. The units of measurement will be number, quality, and time. Sample metrics include:

- The contribution to department, school, or university committee memberships
- Department, school, or university committees chaired
- Time devoted to department, school, or university administration
- Time devoted to service as advisor to student organizations
- Time devoted to student academic advising

Public service refers to faculty activities outside of the university. The units of measurement include number, quality, and time. Examples of metrics include:

- The contribution to community, state, or national organizational
- The number (and level) of offices/positions in professional organizations
- The number (and level) of public offices and board memberships

Framework/Context for Individual Workload Assignments

Faculty work must be determined in relation to the mission, objectives, and strategic plans of the university, as well as the mission, goals, and objectives of the department or programs and the school or division. The department's overall instructional or course assignments shall be consistent with department or program and student needs. The faculty of each department or program is responsible for developing, offering, and sustaining curricula that support simultaneously the mission of the university, the mission of the division/school in which the department or program is based, meet the goals and objectives of the departmental discipline(s), and, where applicable, fulfill accreditation standards. It is a paramount responsibility of each faculty to ensure the delivery of the department's instructional program to its undergraduate majors and minors, its graduate degree candidates, and to undergraduate and graduate students from other university departments for whom its courses are requirements. Also, it is assumed that departments will take into account the level of student demand in making decisions about the degree of responsibilities for teaching, research, and service for each faculty member.

In addition, the university encourages interdisciplinary collaboration in instruction, research/scholarship, and service where appropriate. Therefore, it is expected that as part of the implementation process for this workload policy, the departments and other academic units will promote, recognize, and reward both interdisciplinary and

multidisciplinary collaboration and participation. Further, it is recognized that "the responsibility profile" (i.e., the total of faculty contributions in the areas of instruction, scholarship/research, and service) of each collective departmental faculty will be influenced by differences in the tasks and cultures of the various disciplines. Faculty assignments should embody the principles of consistency and flexibility. The university expects consistent high-quality performance from all faculty in the mutually supportive areas of instruction, research, scholarly and creative productivity, and service. Therefore, faculty assignments should not be designed to inhibit faculty members from contributing in all three areas over the terms of their employment. Appropriate effort should be extended to achieve flexibility in faculty assignments so that the changing needs of disciplines, departments and the university are recognized and so that, by giving faculty the latitude to explore academic and professional opportunities as they arise, faculty contributions to the university can be maximized.

a. Process for Workload Assignments

Role of the Faculty Member

The workload obligation of an individual faculty member should reflect the proportion of faculty effort within each of the three core areas of responsibility that best represents the interests and strengths of the faculty member, while simultaneously furthering the excellence of both the department's and the university's academic, research and scholarly, and service programs. This framework obviously must be applicable to individual departments and programs and modified, as appropriate, to take into account a variety of elements such as practica, studios, clinics, and laboratory sections, as well as to accommodate diverse learning technologies. The proposed policy incorporates the principle that the workload obligation of an individual faculty member should be made clear to the faculty member and be consistent with the principles stated above.

Following are the time periods when workload assignments shall routinely be established for an individual full-time faculty member:

- At the time of negotiation of initial faculty appointment or reappointment to a new term appointment;
- At the time of appointment for a visiting faculty member;
- At the beginning of each probationary term for an extended employment-eligible or a tenure-eligible faculty member;
- At the time of award of tenure or extended employment;
- Following the conclusion of sabbatical leave; or
- At the time of promotion for a tenured or an extended employment faculty member.

At any other time when a departmental need or faculty concern arises, faculty, chairs, or the dean can initiate a discussion of workload. One such time may logically be during the faculty member's annual performance evaluation.

Role of Associate Dean or Chair/Director

The associate dean or chair/director, in consultation with each individual faculty member who holds a probationary, term, tenured or extended employment appointment, determines the workload assignment distribution for each faculty member, including the assignment of teaching responsibilities. If the faculty member objects to the workload assignment, the faculty member may appeal to the dean for relief. Responsibility for identification of the specific graduate students for whom an instructor will serve as the thesis/dissertation advisor is delegated to the faculty member.

Role of the Dean

In divisions that are organized by departments or programs, the dean is typically not involved in individual faculty workload assignments. However, when an individual faculty member objects to the workload assignment, the dean shall review the case and render a final decision concerning the workload assignment. The dean is also authorized to approve the recommendations of the associate dean or chair/director concerning "released time" for individual faculty. In divisions that are not organized by departments or programs, the dean determines the workload assignment for each faculty member. Additionally, all requests for exceptions to the general university-wide workload policy must be reviewed by the dean, who, in turn, generates a recommendation for consideration by the provost, whose decisions regarding exceptions are final.

This policy provides the dean with the appropriate authority to resolve any issues of concern to the faculty member. However, the associate dean's or chair's/director's proposed assignment of workload will stand during the process of review by the dean, and the dean will have the authority to make an adjustment in the schedule. The dean will provide a fair review of the matters of concern to the faculty member, will allow the faculty member the opportunity to express his/her concerns, and will act expeditiously to resolve the matters of concern. If concerns are not resolved with the dean, faculty may appeal to the provost for a review of the matter following the guidelines outlined in the "Faculty Grievance Procedures" of this handbook.

Formalization of Workload Assignment

The workload assignment of each individual faculty member should be formalized in a memorandum from the associate dean or chair/director to the individual, with copies to the dean.

Feedback and Review

Faculty workload and faculty assessment and evaluation are clearly related, but appropriately are covered under separate policies. The faculty workload policy addresses the kind and amount of work to be undertaken by faculty during a particular period, while a faculty assessment and evaluation policy addresses the quality of work provided by the faculty during a given cycle. The faculty workload policy provides the formal process under which all faculty will understand and participate in formulation of the individualized responsibility distribution for which they are accountable for a specific period and against which their performance will be assessed. The chair or director will review with each full-time faculty member, on an annual academic year basis, that individual's progress and status with respect to fulfillment and performance of the assigned workload. Performance measured against the approved workload shall be considered in merit salary adjustment recommendations, promotion or tenure evaluations, and periodic performance evaluations.

b. Review of Workload Assignments by the Dean

The dean is responsible for ensuring that workload agreements are developed for all faculty in a timely manner and at the appropriate times, and that these individual agreements are appropriately documented and filed. The dean exercises oversight to ensure that the collective, approved workload agreements within the division result in a distribution of effort among faculty members that promotes the efficient and timely completion of programs of study by students and facilitates compliance with accreditation requirements. Additionally, the dean reviews and approves the workload implementation policies and procedures of the departments.

c. Role of the provost

The Office of the provost shall exercise the authority needed to ensure the fair and equitable implementation of workload policies throughout the divisions of the university. The Provost approves all exceptions to the university-wide workload policy and is the final arbiter for all matters pertaining to and arising out of the workload policy.

v. Faculty Evaluation

Faculty Reviews

The New School has five types of faculty reviews including: Annual Performance, Post-Probationary, Promotion Review, Institutional Suitability, and Post-Tenure.

a. Annual Performance Review

An evaluation of every faculty member's performance is held each year. All faculty are asked to complete a form, sent annually by the Office of the provost, on which they cite their instructional activities, creative scholarship, and other scholarly/professional/creative activities and recognition during the year. Reviewed at the division/school level, these annual reports become part of the basis for salary adjustments and leaves and also become part of the personnel file, along with teaching evaluations.

Failure to meet minimal obligations and standards the department/program and division/school have stipulated for its faculty will result in an "unsatisfactory" rating. Written notification of an unsatisfactory rating and the considerations upon which it is based shall be given to the faculty member, with copies to the dean and provost. It should be recognized that a single unsatisfactory annual performance evaluation indicates a serious problem which should prompt remedial action for principal faculty and may lead to dismissal for term and visiting faculty. Faculty members may respond in writing with a letter to the chair/director for inclusion in the personnel file if they feel the rating is in error. The dean must respond to the faculty member in writing. Two consecutive annual ratings of unsatisfactory performance for a tenured faculty member will result in a post-tenure review and may result in dismissal for other faculty.

b. Post-Probationary Review

In the fall semester of the fourth year, probationary faculty will stand for post-probationary review to determine the appropriate track for continued employment: extended employment eligible or tenure eligible. The review will consider the faculty member's choice in tracks.

Tenure eligible appointments are made to faculty who demonstrate ongoing excellence in their scholarly, creative or professional activities. In addition, faculty must elect to be evaluated for ongoing excellence in either teaching or service with the remaining category requiring an ongoing and good level of performance.

Extended employment eligible appointments are made to faculty who demonstrate ongoing excellence in teaching. In addition, faculty must elect to be evaluated for ongoing excellence in either service or their scholarly, creative or professional activities with the remaining category requiring an ongoing and good level of performance.

c. Promotion Review

The first step in review for promotion is an evaluation of teaching excellence. Only after affirmative judgment as to teaching excellence has been made can serious consideration be given to the promotion.

Tenure

In the fall semester of the third year of a tenure eligible appointment, faculty will stand for tenure. Tenure appointments are made to faculty who demonstrate ongoing excellence in their scholarly, creative or professional activities as well as ongoing excellence in either teaching or service with the remaining category requiring an ongoing and good level of performance.

Extended Employment

In the fall semester of the third year of an extended employment eligible appointment, faculty will stand for extended employment. Extended employment appointments are made to faculty who demonstrate ongoing excellence in teaching as well as ongoing excellence in either service or their scholarly, creative or professional activities with the remaining category requiring an ongoing and good level of performance.

Tenure and Extended Employment

Faculty promoted to Tenure and Extended Employment will be automatically promoted to Associate Professor unless they already hold such rank.

Rank

Instructor

Faculty members with the rank of instructor have shown evidence of their potential or ability as teachers. Instructors will generally not possess the terminal degree, or its equivalent, in their chosen field.

Assistant Professor

The rank of assistant professor is granted to faculty members who, in addition to the qualifications for an instructor, possess a terminal degree in their discipline or have the equivalent in scholarly/professional/creative experience and/or creative output. In addition, assistant professors must show promise of scholarly, artistic, and/or professional/creative accomplishments and recognition in their field and potential for service to their profession, to the university and to their division, and department. Assistant professors must demonstrate effectiveness as teachers and advisors, including concern for the personal worth and educational development of individual students.

Associate Professor

The rank of associate professor for tenured faculty shall be granted only to those who, in addition to all of the qualifications for an assistant professor, also demonstrate on going excellence in scholarly, creative or professional activities as well as ongoing excellence in either teaching or service with the remaining category requiring an ongoing and good level of performance.

In addition, associate professors must demonstrate excellence as advisors to undergraduates and graduate students (where applicable) and as mentors to junior colleagues. They must have a solid record of service to the university and to their division, and department.

The rank of associate professor for extended employment faculty shall be granted only to those who, in addition to all of the qualifications for an assistant professor, also demonstrate ongoing excellence in teaching as well as ongoing excellence in either service or their scholarly, creative or professional activities with the remaining category requiring an ongoing and good level of performance. In addition, associate professors must demonstrate excellence as advisors to undergraduates and graduate students (where applicable) and as mentors to junior colleagues. They must have a solid record of service to the university and to their division, and department.

Professor

As the highest level of university achievement, this rank denotes widely recognized scholarly/professional/creative distinction, excellence as a teacher, advisor, and mentor, and significant leadership within the university, division, and department. The faculty member will have a record of service in important leadership roles. The rank of professor should be granted only to those who, in addition to all of the qualifications for an associate professor, also have gained national/international recognition in their discipline or field.

d. Institutional Suitability Review

Extended employment appointments are reviewed to determine ongoing institutional suitability. Institutional suitability reviews are initiated in the fall of the last year of any extended employment contract. A successful institutional suitability review is based on continued curricular and institutional need for the faculty member's training, knowledge, and skills and the faculty member's continued excellence in teaching, good service record, and demonstrated ability to perform scholarly or professional/creative activities at an ongoing and acceptable level.

The first step of an institutional suitability review is for the department to demonstrate to the dean that there is a continuing curricular and instructional need. Once need is determined a review of the faculty member's teaching, scholarly or professional/creative activities, and service may proceed.

e. Post-Tenure Review

Tenure appointments are made to faculty who have sustained excellence in scholarly, creative or professional activities as well as ongoing excellence in either teaching or service with the remaining category requiring an ongoing and good level of performance. They have demonstrated the ability to perform their scholarly professional activities at an ongoing and excellent level.

Nothing in this section should be interpreted as abridging the university's right to proceed directly to dismissal for cause, or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

Tenured faculty are not exempt from ongoing evaluation. They, like their untenured counterparts, have an obligation to maintain their performance as outstanding teachers and exemplary scholars. Likewise, the university has an obligation to work with faculty members in a constructive manner to promote and advance faculty development. A post-tenure review is an important part of this process. This formal institutional evaluation offers a place for a more in-depth discussion of a faculty member's progress over the course of one's career than is possible in annual reviews. The post-tenure review is meant to assist both the university and faculty to recognize the strengths and weaknesses of each faculty member and offers an opportunity to develop strategies and plans that may build on perceived strengths and address acknowledged weaknesses.

Established procedures exist for dismissal of tenured faculty on grounds of incompetence, malfeasance, or failure to perform duties, as well as on grounds of bona fide financial exigency or program termination. Post-tenure review shall be mandatory when triggered by two consecutive negative annual performance evaluations. Annual reviews for years spent on leave without pay shall be disregarded for the purpose of this calculation. The review shall be conducted by the appropriate division's Post-Tenure Review Committee, described below.

Upon recommendation of the head or chair and with the approval of the dean, a post-tenure review may be waived or postponed if there are extenuating circumstances (such as health problems).

The purpose of a post-tenure review is to focus the perspective of the faculty peers on the full scope of a faculty member's professional competence, performance, and contribution to the department, division, and university mission and priorities.

The faculty member has both a right and the obligation to provide a dossier with all documents, materials, and statements that she or he believes to be relevant and necessary to the review. The faculty member will be given no less than four weeks to assemble a dossier for the committee. The head or chair will supply the review committee with the last two annual performance evaluations, all materials which were considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of all materials supplied to the committee will be given to the faculty member. The faculty member has the right to provide a written rebuttal of evidence provided by the head or chair.

The committee will weigh the faculty member's contributions to the discipline, the department/division, and the university through teaching, research and/or professional and creative practice, and service. The burden of proving unsatisfactory performance is on the university. The committee will prepare a summary of its findings and make a

recommendation to the head or chair, with copies to the dean and provost. Final action and notification of the faculty member is the responsibility of the head or chair and dean, with the concurrence of the provost.

The review may result in one of the following outcomes:

- Certification of satisfactory performance. The committee may conclude that the faculty member's competence and/or professional contributions are satisfactory to meet the minimum expectations, thus failing to sustain the assessment of the head or chair. The review is then complete. An unsatisfactory rating in any subsequent year would be counted as the first in a new sequence.
- Certification of deficiencies. The committee may concur that the faculty member's competence and/or professional contributions are unsatisfactory to meet the minimum expectations. The committee may then recommend dismissal for cause, a sanction other than dismissal for cause, or a single period of remediation not to exceed two years.
    - Dismissal for cause. If dismissal for cause is recommended, the case shall be referred to the division-level promotion and tenure committee, which shall review the case as presented to the committee and determine whether the recommendation is consistent with the evidence. If the division-level committee upholds the recommendation for dismissal, then the procedures in the dismissal for cause section will begin immediately. If the president decides to proceed with the dismissal, the faculty member shall be provided a statement of charges and notification of a right to a formal hearing in accordance with dismissal for cause policy.
    - Sanction other than dismissal for cause. A severe sanction generally involves a significant loss or penalty to a faculty member, such as, but not limited to, demotion in rank and/or a reduction in salary, or suspension without pay for a period not to exceed one year. Routine personnel actions such as a below-average or no merit increase, reassignment, removal of an administrative stipend, or verbal or written reprimand do not constitute a severe sanction within the meaning of this policy.
      A recommendation to impose a severe sanction shall be referred to the division-level promotion and tenure committee, which shall review the case as presented to the committee, provide an opportunity for the faculty member to be heard, and determine whether the recommendation is consistent with the evidence. The division-level committee may reject, uphold, or modify the specific sanction recommended by the committee. If the division-level committee also recommends the imposition of a severe sanction, then the same procedure for dismissal for cause will guide the process. If a severe sanction is imposed or ultimately rejected, then the post-tenure review cycle is considered complete. An unsatisfactory rating in any subsequent year would be counted as the first in a new sequence.
    - Remediation. If a period of remediation is recommended, the committee will specify in detail the deficiencies it has noted, detail specific goals and measurable outcomes the faculty member should achieve, and establish a

timeline for meeting the goals. The head or chair will meet with the faculty member at least twice annually to review progress. The head or chair will prepare a summary report for the committee following each meeting. At the end of the specified remediation period, the committee will either certify satisfactory performance or recommend dismissal for cause or a sanction other than dismissal for cause following the procedures described above.

Post-Tenure Review Committees

Each division should have a procedure for establishing a Post-Tenure Review Committee. Although each division may determine the exact make-up of this committee and the particular selection process for its membership, the following general principles must be observed: The committee should be a standing committee and not established on an ad hoc basis; the committee should consist of only full-time tenured faculty and no less than three and not more than ten members; membership on the committee should change at least every three years; and the dean of the division, as well as deans in which the faculty member under review has a joint appointment, should have membership on an ex-officio basis.

Standards for Faculty Review

a. Division Standards

Each division shall develop, maintain, and publish a statement of minimum standards for satisfactory faculty performance using the following process:

1. Standards should be written with the participation of the faculty in the division.
2. Standards should be approved by a vote of the faculty in the division.
3. Standards developed and approved by the faculty in the division will then be reviewed by the dean, and if approved, forwarded to the provost. If the dean does not approve, he or she must explain his/her reasons to the faculty and work with the faculty to produce standards that are mutually acceptable.
4. All standards must be approved by the provost before they are published.
5. Once approved, the standards should be published and made available to all faculty members in the division via the *Full-Time Faculty Handbook*.
6. Revisions of the standards should also follow the procedures outlined above.

The following guidance is provided for the development of minimum standards:

1. Divisions should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for extended employment and tenured faculty. Each division's evaluation mechanism should allow a distinction between performance that is deficient in one or more areas and

that requires improvement and performance which is so seriously deficient as to merit the formal designation "unsatisfactory."

2. Division standards should embrace the entire scope of faculty contributions. Expectations should recognize differences in faculty assignments within the same division. Standards should typically address: the faculty member's skill, effort, and effectiveness in contributing to all aspects of the institution's mission; the faculty member's activity in and contributions to the academic discipline; and the faculty member's contributions to the collective life of the department, division, and university.
3. Divisional statements should affirm support for the basic principles of academic freedom and should express tolerance for minority opinions, dissent from professional orthodoxies, and honest and civil disagreement with administrative actions.
4. Divisional statements should include the expectation that all faculty members will adhere to the standards of conduct and ethical behavior as stated in the *Full-Time Faculty Handbook* and/or promulgated through other official channels.

Criteria for Faculty Review

a. Division Evaluation Criteria

Because academic culture and disciplines vary among the divisions, the details of formative (annual) and summative (periodic) evaluation procedures for all faculty are developed in and by the individual divisions and their faculty committees, consistent with university guidelines and shall meet the following requirements:

- Each division must have clear criteria and weights for faculty evaluation and promotion that have been vetted by the full-time Principal Faculty, including clear standards for judging excellence in teaching and scholarly or professional/creative practice.
- Weights for the following criteria shall be specified: teaching and advising effectiveness; scholarly, professional, or creative production; university and divisional citizenship and service.
- Each division will maintain up-to-date curriculum vitae or resumes for all faculty and syllabi for all courses offered for academic credit.
- Provisions shall be made for including student evaluations of teaching and advising.
- Confidentiality shall be protected at all stages.
- The criteria and weights shall be approved by the Office of the Provost, and will be made accessible to all faculty members through the *Full-Time Faculty Handbook*.

The goal is to communicate, in a timely way, a coherent set of expectations with specific examples to the candidate.

b. Approval and procedural considerations for Divisions' evaluation process

The procedures for evaluation followed by each division are adopted on a majority vote of each division and approved by the Office of the Provost for consistency with general personnel policy of the university. The procedures become effective when recorded by the Office of the Provost.

By delivery of this handbook with the initial appointment contract, or as soon as is practicable, full-time faculty will be advised of governing criteria, as well as procedures generally employed in decisions affecting all types of appointment contracts. Any special criteria adopted by the faculty member's department or division will be transmitted at the time of appointment or as soon as practicable.

Faculty members shall be advised in writing at the time of initial appointment and as deadlines approach by the appropriate administrative officer when decisions affecting retention, promotion, or award of all types of appointment contracts are to be made and when evaluations of performance are to be conducted. They shall be afforded reasonable opportunity to present in person or writing all relevant information.

Recommendation for retention and promotion of faculty and award of extended employment and tenure originate with a broadly-based group within the department (such as an elected departmental personnel committee), or with the chair/director, and with a broadly-based group within the division (such as an elected faculty personnel committee) or the dean. In each instance, regardless of origin, the recommendations are commented upon by both the chair/director, the dean and the appropriate faculty group.

Department chair/directors and/or deans review full-time faculty annually. Departments or divisions must also conduct periodic constructive evaluations of all members of the department or division, regardless of rank, at intervals stated in this handbook. Annual reviews, post-tenure, institutional suitability, and other periodic evaluations are placed in each individual personnel file. The recommendations of the faculty and the dean are submitted to the provost.

The provost submits to the president the provost's recommendations for retention, promotion, and the award of all types of contracts. The president's decisions are final, subject to the approving action by the board of trustees.

University Schedule for Faculty Reviews and Dossier Guidelines

The provost sets the calendar for faculty evaluation. The following schedule applies to post-probationary and promotion reviews:

- By May 1 of each academic year, the dean shall notify the provost of all reviews to be scheduled for the upcoming academic year. Reviews will be completed by the end of the fall term so that the Executive Committee of the board of trustees can review the administration's recommendations by its March meeting.
- By May 15, the dean will notify candidates in writing of the upcoming review, describing the committee and its process, the division's evaluation criteria, the calendar, and the dossier to be prepared.

The candidate will prepare a dossier to include:

- Personal statement with commentary on performance with regard to university and division standards pertaining to:
    - Standing in the field or discipline
    - Teaching and advising effectiveness
    - University, division and department citizenship
- Goals for professional development and, in the case of a post-probationary review, choice of tenure or extended employment track with a brief rationale for choice.
- Curriculum vitae (complete and up-to-date)
- Examples of professional products and websites
- Evidence of public recognition of work
- Names of three to five external references and reviews of published work (not required for post-probationary review unless stipulated by the division).

The dossier will be organized in a three-ring binder or comparable form. References to online resources may be included.

The dean's office will add to the dossier evidence of teaching and advising effectiveness including a summary of student evaluations, showing the range of student opinion expressed and the types of commendations and criticism expressed. Individual divisions may require the submission of some or all student evaluations.

The review committee will evaluate the dossier, discussing the candidate's contributions, strengths, and deficits. References supplied by the candidate or otherwise will be contacted by phone.

After review, the dean will forward the dossier to the provost. The dossier will include:

- An up-to-date curriculum vitae and the personal statement.
- Supporting materials developed since the last university review such as copies of papers, slides of work, and excerpts from book chapters.
- A succinct, candid recommendation by the chair/director which analyzes strengths of the candidate and areas for future development, giving specific examples. The recommendation will assess standing of the candidate in his or her discipline or field, teaching and advising effectiveness, evaluation by peers and contribution to the department.

- A succinct, candid recommendation by the dean that discusses the suitability of the candidate for the position, the candidate's scholarship or artistic promise, and the contributions by the candidate to other divisions. If concerns have been noted, specific expectations for improvement should be noted.

If the review is positive and the provost and president approve, the provost will prepare a board docket for presentation to the Executive Committee of the board of trustees for their approval.

If the recommendation is negative, the review is not forwarded to the university. In consultation with the provost, the dean informs the candidate of the outcome.

The chair/director or dean shall be responsible for communicating with the candidate in person and informing him or her of university actions.

Candidates have the right to appeal the committee's recommendation on the grounds of a violation of process, but not the substance of the decision. The first step will be a conversation with the dean. If a written appeal is made to the dean, he or she, in consultation with the provost, will forward the appeal through the proper channels. The committee can recommend reconsideration by the original review committee or constitution of a new review committee if evidence exists of improper process. If rejected, there is no further appeal.

In case of a negative promotion review for tenure or extended employment, the faculty member shall receive one (1) year of employment prior to actual termination.

The faculty dossier to be forwarded by the dean to the provost for review shall discuss each of the criteria in accordance with division and university standards and will specify starting date, proposed rank or title, salary, appointment type/track, and, where applicable, the duration of the appointment

General University Evaluation Guidelines

Contributions to the division and the university by a faculty member shall be evaluated using four criteria:

- Advanced knowledge of the subject matter and an active commitment to extending that knowledge;
- Scholarly or professional/creative achievements and contribution to the field or discipline that bring credit to the division and university;
- Effectiveness as a teacher and advisor, demonstrating concern for the personal worth and development of individual students; and
- Effective work as a university citizen to strengthen the department, division and university.

In applying these criteria, each recommending authority will consider all relevant sources of information obtained for evaluation, including the opinion of students. Opinion of experts outside the university will be sought for promotion to extended employment and tenure and for promotion to full professor. The criteria shall be applied in a manner that fosters each division's particular mission and improvement in the overall quality of the faculty. Each case shall be judged on its own merits and not on comparisons with past decisions.

vi. Scholarship, Research, and Teaching Practice

The definition of scholarship for the purposes of this handbook is one that recognizes that knowledge is acquired through research, synthesis, practice, and teaching. Therefore the original works of the faculty—whether traditional research, creative/ professional activities, or the scholarship of teaching —are vital contributions to the mission of The New School. These endeavors enhance the teaching by the faculty, enrich the educational experience of the undergraduate students, provide the forum for the training of students pursuing graduate education, and contribute to the missions of advancing knowledge and serving the public.

Framed by the diversity of the divisions and the bridging themes that draw them together, The New School fosters a rich spectrum of research and creative/professional activity. The New School is especially dedicated to research that addresses and engages with the political, cultural, scientific, economic, artistic, and natural contemporary conditions facing local and global communities.

In addition to theoretical knowledge, The New School recognizes the substantive value of situated, applied knowledge. To this end, The New School has a pluralistic approach to evaluating the scholarly contribution of faculty members—acknowledging the diversity of forms by which a scholar can make an appropriate contribution to their field. This promotes within the university a rich inclusive research culture that extends research output from publications and case studies, to exhibitions, screenings, and performances of creative practice.

Faculty Administrative and Mentoring Support for Scholarship and Research

Much scholarship, research, and other creative activity are supported by the everyday use of university resources such as libraries, computing technology, office space, and departmental administrative support. However, additional funds are often needed to support specific projects. These funds may come from sources internal to the university or from external sponsors, such as government agencies, foundations, and private businesses in the form of grants or contracts.

The New School provides support on a number of levels to faculty engaged in research, scholarship, and creative work at the university. Both informal and formal collaborations with faculty colleagues can be important sources of support for research and scholarly initiatives. Department chairs have an important role in fostering the research, scholarship, and other creative activities of faculty members. Deans have a formal role in the project proposal process by certifying the allocation of space and effort for faculty when they are submitting a proposal for external funding.

Faculty contemplating the development of proposals for university or external funding should begin their exploration of funding sources by consulting with the designated divisional contact before contacting the Office of Grants and Sponsored Projects (OGSP).

Internal Funding and Awards for Faculty Research, Teaching and Learning, and Curriculum Development

The New School is committed to encouraging the career of the faculty and the educational culture of the university. Supporting more than just the individual's research practice, these funds also provide support for the graduate and research culture of a division, innovation in curriculum development, new program development, and recognition of excellence in teaching practice.

a. Divisional Funding Source

Divisions have established procedures for providing funds to support research, scholarship, and other creative activity. Support is most often available to seed projects in the early stages of development, encourage interdisciplinary work, help purchase equipment, fund conference attendance, provide bridging support between periods of externally supported work, offset some costs of publication and artistic productions and performances, and provide cost-sharing funds that sponsors may require. Policies and procedures for each area in which the division provides support are available from the Office of the Dean.

b. University Funding Source for Faculty Development

The Office of the Provost administers faculty development funding for the university. These funds have been established to encourage faculty members to pursue excellence in teaching and learning. Faculty who wish to apply for funding must also seek a letter of endorsement from the dean or his/her designee. A second letter of endorsement from a colleague within the university is strongly encouraged.

The university encourages faculty, individually and in teams, to apply for projects that focus on innovative approaches to teaching and learning in the liberal, performing and visual arts, curriculum development in these areas, and co-curricular work that brings

students together with faculty around intellectual and creative educational projects. The funds can be used to:

- Create new courses designed for non-majors that clearly aim to benefit students from more than one program or division
- Conduct research on teaching and learning, especially as it is related to teaching a diverse student body
- Attend professional conferences on the above
- Design assessment tools to measure the effectiveness of one or several university programs
- Develop new interdivisional/interdepartmental/interdisciplinary courses and new programs

The fund will not support projects that do not show a demonstrated connection to existing academic departments/programs and quality improvement.

Eligibility: open to all faculty members who have taught for at least four consecutive semesters within the last five years and who will teach the following year. Applications must be authored by all participants, reflecting their contributions, goals, and learning objectives.

See Provost web page for more detailed information on current initiatives, application guidelines, and deadlines.

c. Fund for New Initiatives

The Fund for New Initiatives was introduced in 1991 to make “risk capital” available for investment in programs and projects that will increase net revenue, with a specific commitment to increasing enrollments or tuition revenue in the academic divisions. The idea was to establish a funding source that essentially functioned like an internal foundation. The invested funds and a small portion of the net revenues generated by successful projects are returned to the fund to, in return, provide risk capital for future projects. Individual faculty cannot apply for the fund, but collectively faculty can submit an application.

Projects have included start-up support for new academic programs and major curriculum changes, along with website development and recruitment initiatives. The board of trustees’ Fund for New Initiatives Committee approves projects for funding. They meet twice annually in the fall and spring to review proposals. For guidelines about developing proposals contact the Budget and Planning Office.

d. Awards for Teaching Excellence

In recognition of the preeminent importance of teaching at the university, The New School has established university-wide awards for teaching excellence. The recipients of

these annual awards are honored during the university convocation ceremonies at the beginning of the fall term each year.

Nominations may be made by students enrolled in any academic division of the university in the academic year in which the nomination is presented, and who have completed a course taught by the person being nominated. The awards are presented to faculty members who have not only provided extraordinary efforts in their teaching, but have also worked, on behalf of their departments and divisions, both inside and outside the classroom. Nominations are in the form of a letter in which the student provides specific reasons for the nomination. Decisions are made by a university-wide faculty committee on the persuasiveness of the case on behalf of the nominee.

Research/Scholarship Culture

a. Research and Scholarship Performance

A faculty member's dedication and performance with respect to research and scholarship is central to their role and responsibilities at The New School. The promotion guidelines of each division identify the criteria by which a faculty member's contribution to scholarship will be evaluated. Similarly workload guidelines for each division will outline the responsibilities, reporting and time allocation for research, teaching and service. In consultation with their dean or his/her designee, all faculty members can independently negotiate the percentage of their time designated for research and scholarship within the workload guidelines.

b. The Scholarship of Teaching

The university's two principal missions are: the education of its students and the conduct of research and other activities that lead to the discovery, dissemination, and application of knowledge. Within this context, The New School recognizes the relevance of faculty engaging in the scholarship of teaching or even undertaking formal research into teaching practice.

The university seeks to acknowledge and reward excellence in the scholarship of teaching, recognizing the central importance of faculty researchers being able to integrate the applied knowing that comes from their research into their teaching practice. Faculty members are in part evaluated on their ability to reflect on the practice of teaching. Supported by their research and/or professional practice, faculty engaging with the scholarship of teaching is what ultimately defines and drives the academic culture of The New School.

c. Interdisciplinary Research and Scholarship

Interdisciplinary and multidisciplinary activity is essential to the research culture of The New School. The university is especially committed to nurturing activity by faculty who work at and across disciplinary boundaries, specifically across divisional boundaries.

The New School seeks to promote and facilitate interdisciplinary activities and joins people from across the institution in ways that allow them to experience and take advantage of the university as a scholarly community, for example through presentations, discussions, and debate, both at open forums and through joint appointments and the interdisciplinary research institutes.

d. Professional Practice, Creative Scholarship and Knowledge Building

In addition to acknowledging the significance of traditional modes and forms of scholarship the university acknowledges the potential contribution that practice-led research can present to both the academic and professional communities of practice. The New School recognizes the value of research and knowledge production that is informed by creative scholarship and professional practice.

e. Faculty Development

The Office of Faculty Development administered by the Office of the Provost provides centralized support, services, and opportunities and collaborates with individual faculty members, departments, divisions, and graduate student instructors to enhance teaching and learning on campus. Faculty development at The New School provides:

- **Consultation**
  Confidential consultation exists on a voluntary basis to facilitate and promote all aspects of teaching and learning. These services are designed for individuals, faculty working together or with their teaching assistants, and groups to respond to specific requests or simply to brainstorm about instructional methodologies, curriculum design, or any subject related to teaching and student learning.

- **Mid-semester Teaching and Course Feedback**
  Confidential teaching observation is available upon request. Resources for faculty-directed, informal student feedback are also available.

- **Workshops for New and Continuing Faculty, Graduate Teaching Fellows, and Teaching Assistants**
  Workshops and gatherings provide faculty and all those with teaching-related responsibilities essential information and resources for teaching at The New School and focus on topics of interest across the academic community.

- **Teaching Resources**
  A selected, non-circulating collection of books, journals and newsletters is available for faculty, teaching fellows and teaching assistant reference. A wide range of topics is included such as specific pedagogies, assessing student learning, student developmental stages, faculty roles and careers, and trends in American and international higher education.

Funding and Administrative Support for Sponsored Research

The New School is committed to encouraging and supporting the efforts of faculty members to obtain grants and fellowships from external sources. Faculty members are urged to contact OGSP for assistance with identifying potential sponsors of research.

External support for faculty research is extremely important for the intellectual life of the university. Grants for special projects, given either to individuals or research groups, stimulate a productive intellectual environment. Faculty who bring grants to the university enlarge the research scope of the university, providing opportunities to develop their own contributions to knowledge, as well as expanding the education of students and their training as researchers. Fellowships for individual faculty members often provide for leave from the university, so that ongoing projects can be completed and new ventures can be explored. External support can also be important in attracting new faculty and students to the academic programs of the university.

a. External Funding

The OGSP, administered through the University Development Office (UDO) is the liaison between all internal university administrative areas concerned with corporate, foundation or government grants—finance, the Office of General Counsel, the Office of the Provost, and the President's Office—as well as external funding bodies. The OGSP/UDO can provide assistance at every stage of the grant seeking process and aids in troubleshooting and simplifying the grants management process. The OGSP/UDO is responsible for:

- advancing proposal development
- coordinating pre-award authorization procedures
- monitoring post-award compliance for all divisions of the university
- facilitating grant-related contracts

"Sponsored research" is used here to mean all research for which outside support has been received from an external organization or "sponsor." All proposals to external organizations to undertake research at the university with their support must have obtained university approval before submission.

b. Accounting and Financial Management

Cost-accounting practices must be consistent for all university activities. Adherence to university cost-accounting procedures has significant implications for the preparation and approval of budget materials in all proposals to federal sponsors. It is the principal investigator or project director's responsibility to arrange for the creation of a restricted account for the grant through the divisional budget director. Financial record-keeping is also the responsibility of the principal investigator and the divisional budget director. For

further information and for an outline of the accounting procedures refer to the Policies and Procedures for Grant Seekers and Awardees on the OGSP website.

Policy on Summer Salary from Grants

Summer salary policy for The New School will permit 1/9, 2/9's or 3/9's as written into the grant proposal by a faculty member as is appropriate to the grant. The following conditions should also be met:

The granting agency that the budget is negotiated with should review and approve the grant request whether it is for 1/9, 2/9's or 3/9's summer salary.

The faculty member should be able to demonstrate to the appropriate dean(s) and provost that the request, whether for 1/9, 2/9's or 3/9's summer salary, is appropriate to the amount of work that will be done on the grant during the summer months. In the case of 3/9's summer salary it will be important to be able to demonstrate that the work is of sufficient extent and complexity to require three complete months' work. The Provost should consult with the faculty member, the dean(s) and the Development Office in making this decision. The faculty member is expected to report the request for summer salary in grant proposals submitted by other institutions. Such requests must also be reviewed by the provost to assure that they are in conformity with the university's summer salary policy.

Sponsored Research Conduct

a. Sponsored Research Agreements and Free, Open Dissemination

The free and open exchange of ideas is fundamental to the university's two principal missions: the education of its students and the conduct of research and other activities that lead to the discovery, dissemination, and application of knowledge. The possibility that decisions relating to research may be susceptible to external influence is of particular concern to the university. Many opportunities exist to obtain financial support for research projects from outside organizations or agencies. But research that is shaped by an outside organization's wishes may corrupt the research, as well as limit or distort the opportunities available to students to acquire the skills of a researcher. In order to maintain the integrity of the research and teaching enterprise, The New School has developed policy around sponsored research to clarify the understandings and expectations of the university whenever the sponsorship of external agencies, organizations or individuals is proposed for a research project to be carried out by a member of the university community.

The sponsored research policy refers to all research for which outside support has been received from an external organization or "sponsor." The university's policy is founded

on a commitment to encourage the widest possible dissemination of the knowledge gained through the research activities of members of the university community. For these reasons the university does not accept the sponsorship of secret or classified research projects. Secrecy or confidentiality that restricts free discussion and open publication of results, or otherwise limits criticism of results of research by a scholar's peers, is not permissible. The university's commitment to open and free dissemination of knowledge specifically forbids any restriction of the right of the faculty to publish, or any requirement of approval prior to publication. The full policy can be found online at the OGSP site.

b. Conduct of Sponsored Research

Honesty, candor, openness, and integrity are guiding principles that faculty members are expected to adhere to in all of their academic activities, including research and scholarship. Faculty members are also the primary source of guidance for responsible research practices among students and employees. The New School has developed a policy on the conduct of sponsored research that introduces basic understandings with regard to academic conduct and research activities. The policy is found in full at the OGSP website.

c. Conflicts of Interest—Sponsored Research

Underlying The New School’s commitment to the highest standards of integrity is the responsibility of members of the research community always to act in the interest of the institution and on behalf of the public good and not for themselves, members of their immediate families, or business associates. The university is entitled to expect that the independent, unbiased judgment of its researchers is unimpaired by actual, potential, or apparent financial or other personal interests. In keeping with this commitment, the board of trustees has published a policy on conflicts of interest.

In the context of sponsored research, conflicts of interest most frequently occur when there are overlapping financial interests. Faculty members are responsible for disclosing significant financial interests or management positions that may arise from relationships with sponsors or other outside entities; this may include disclosure of financial and management interests of the faculty member's immediate family.

d. Research Involving Human Subjects

The university enforces high standards for the appropriate use of human subjects in research. No such use may begin without following the appropriate consent procedures outlined in the policies and procedures on research involving human subjects (link available from the OGSP site).

Faculty members are responsible for ensuring that in their research with human subjects and in that of the students they supervise, all researchers obtain informed consent and follow correct procedures. Each research design must be examined for possible risk

to subjects. If even minor risk of physical, psychological, sociological, or other harm may be involved, the faculty or staff member must consult with the university's Institutional Review Board (IRB) to determine that:

- The risks to the subject are so outweighed by the sum of the benefit to the subject and the importance of the knowledge to be gained as to warrant a decision to allow the subject to accept these risks;
- The rights and welfare of any such subjects will be adequately protected;
- Legally effective, informed consent will be obtained by adequate and appropriate methods in accordance with the provisions of this part; and
- The conduct of the activity will be reviewed at timely intervals and no less than once per year.

vii. Compensation

Several important policies govern faculty compensation. The policies discussed in this section do not govern compensation for consulting outside the university.

Base Salary Determination for Term of Academic Appointment

Responsibility for faculty salary recommendations rests with the deans reporting to the provost. Initial recommendations may be made by department chairs or directors in accordance with the organizational structure and budgetary practices of each school or division. The recommendations of the dean are reviewed by the vice president for human resources and must be approved by the provost. Approved salary recommendations become part of the budget approval process approved annually by the board of trustees. If the faculty member holds appointment in two or more units that contribute to his or her salary, the primary department shall be responsible for submitting the recommendation and coordinating joint approval with the additional department(s).

Joint Funding Salary Adjustments

A division, program, school, department, or other academic unit requiring the services of a member of the faculty from another academic unit on a regular basis should negotiate for those services with the dean of the division of the faculty member's primary appointment. Allocation of salary costs for the individual involved, and the resulting adjustment of departmental or divisional budgets, should be negotiated by the appropriate dean(s) and approved by the provost through the regular budgetary processes as appropriate. Occasional, as distinguished from regular, assistance across departments, schools, programs, or divisions, should be provided without compensation as a service within the university community.

Salary Adjustments

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the division head or chair and are reviewed by the dean, the senior vice president for human resources, the provost, and the president. Salary adjustments are determined administratively on an annual basis, based significantly on the quality of the faculty member's work.

Schedule of Payment

Because the academic year runs from September through August, most faculty appointments begin in September. Thus, it has been policy in most units of the university to pay new faculty members on nine-month appointments, their initial one-twelfth (1/12) of salary in September of their first year and to continue payment through August of their terminal year (except for retirements or resignations that occur at other times in the year). For various reasons, this policy is at times unsatisfactory. In cases where duties are to be assumed prior to September, arrangements may be made for the appointment to begin in July or August. The formal appointment letter provided for the provost's files must accurately reflect the appointment date. If the appointment commences in a month other than September, then the final payment in the faculty member's terminal year is adjusted accordingly. Regardless of the appointment term, all full-time, principal faculty members receive their compensation over 12 months in bi-weekly installments.

Special Compensation in Addition to Base Salary

Any pay for work performed in addition to the faculty member's normal duties as part of his or her regular academic and/or administrative appointment is considered special compensation by the university. The university recognizes two types of special compensation. Extraordinary pay is compensation for special assignments above and beyond the faculty member's regular work load (100 percent effort) for which he or she is already compensated through base salary. Supplementary pay is for assignments taken on (usually during the summer) that fall outside the faculty member's term of appointment, be it a nine-month, ten-month, or eleven-month appointment. In the extremely unusual situation where extraordinary pay is required for an individual already receiving supplemental pay, both policies pertain.

Extraordinary Pay

Normally, faculty members should not receive extraordinary pay, that is, remuneration for additional work performed during their regular appointment term, since they are already being paid for full-time service (100 percent effort). In unusual circumstances, however, particularly when a department other than the person's primary department is involved, a dean may request approval from the provost to provide extraordinary pay. If the extraordinary pay is to be charged to a federal grant or contract, approval of the Office of Grants and Sponsored Projects is also required before any work may be performed. The provost from time to time issues guidelines for deans to follow in

requesting permission to make extraordinary salary payments. Members of the faculty should work through their deans in determining their eligibility for such payments.

Supplementary Pay

Faculty members may receive supplementary pay for effort outside the term of their appointment according to the following guidelines:

a. Nine-Month Appointments

The term of appointment for faculty on nine-month appointments consists of a nine-month core which corresponds to the academic calendar established by the provost each year (usually the last week in August through May). Faculty members on nine-month appointments may receive summer supplements in any of the three remaining months through the university payroll system up to a maximum of three-ninths (3/9) of the base salary rate for the immediately preceding appointment term. This three-ninths includes pay for summer session teaching, independent study, special programs, and administrative assignments requiring summer effort, as well as research supported by granting agencies. Salary supplements for faculty may be earned in May, June, July, or August, depending on when the ninth month of the appointment term is taken. Grant recipients are expected to comply with the conditions of the granting agencies. No faculty member may receive more than 12 months of base compensation and supplementary pay in any fiscal year unless permission is granted by the provost for the individual to receive extraordinary pay, as outlined above.

b. Ten-Month Appointments

Faculty members on ten-month appointments are eligible to receive up to two-tenths (2/10) of the base salary rate for the immediately preceding appointment term. The same conditions apply as stated above for faculty members on nine-month appointments.

c. Eleven-Month Appointments

Compensation covers eleven months of effort and one month off. Faculty members on eleven-month appointments are not eligible to receive supplementary pay.

Policy on Summer Teaching

Full-time faculty members may be eligible to teach summer session courses. A full-time faculty member holding an academic year appointment is neither obligated nor entitled to teach in a summer session.

Several factors determine a division’s summer course offerings, including:

- Fiscal considerations
- Facilitation of student progression/program completion
- The availability of appropriately qualified faculty

Full-time faculty members are compensated on the basis of an academic year—that is, from the start of the fall term to the conclusion of the spring term. Full-time faculty members who choose to teach in summer programs at the University are compensated separately for that activity as they would be for 1/9, 2/9, or 3/9 participation in research supported by outside grants.

NOTE: Summer teaching cannot be considered during reappointment or promotion reviews as this is considered supplemental work for supplemental pay.

a. Associated Procedures

The division dean or his or her designee, in consultation with chairpersons and other appropriate division leaders, approves the appointment and assignment of faculty who teach in the summer. The decision to invite a faculty member to teach needed summer courses is based on a number of considerations, including the availability of resources; the faculty member's educational background, expertise and teaching experience; and, evidence of the faculty member's teaching performance.

1. Faculty members invited to teach in the summer will be provided with a letter offering summer employment and identifying the:
    a. Title and number of the course(s) to be taught
    b. Summer session when the course is to be offered
    c. Time, days and location of class to be taught (may change due to unforeseen circumstances)
    d. Compensation to be provided, and
    e. Required minimum enrollment for the course to be offered

2. The letter offering summer appointment must include a statement noting that the course may be canceled if the minimum enrollment is not met, in which case the offer of summer employment is voided.

3. The faculty member will countersign and return the letter, which becomes his or her letter of intent to participate in summer teaching under the conditions stipulated in the letter offering summer employment.

University Policy on Outside Employment of Full-Time Faculty Members

Adopted April 19, 1985

i. Preamble

By accepting a full-time appointment in the university, a member of the faculty assumes primary responsibility for the thorough, efficient, and earnest performance of the duties of his/her office. Assignments to full-time members of the faculty are made on the assumption of full-time service to the university. Full-time faculty members are expected to devote their major energies to teaching, to research or its equivalent, to student counseling and advising, to service on committees of the department, the school and the university, and, in general, to related activities at the university. This implies a limit on outside activities, especially those that involve the rendering of service for extra compensation. Outside professional interests and employment, whether gainful or not, must not interfere with the faculty member's primary commitment and obligation to the university.

ii. Teaching Service at Other Institutions

As a matter of university policy, full-time members of the faculty are expected to teach only at the university during the period of their regular teaching assignments. Taking on a regular teaching assignment in another educational institution during this period is therefore discouraged, and any such assignment must be duly approved in advance by the appropriate dean and by the provost.

iii. Other Outside Employment and/or Professional Activities

The university recognizes that a faculty member should be actively engaged in outside professional activities and that such activities are of great value to both the faculty member and the university.

However, outside interests or employment, including outside consulting work, undertaken by a full-time faculty member during the period of his/her regular teaching assignment, should be limited to no more than an average commitment of one day per week. In no event, however, should the faculty member:

- accept a regular and continuing position with significant responsibilities for the management of an outside enterprise;
- become a regular and continuing employee of any outside organization, either part-time or full-time; or
- accept any outside position that may tend to create a conflict of interest with the faculty member's position at the university.

In addition, all outside activities should be related to the faculty member's primary obligation and should reinforce his/her professional standing.

A full-time faculty member is expected to keep his/her department chairperson and the dean informed of the general nature and extent of the faculty member's outside professional activities and continuing commitments and to consult with the chairperson and the dean concerning any significant new outside professional activities and continuing commitments.

Responsibility for Adherence to the Policy

Responsibility for the propriety of arrangements in which multiple and possibly conflicting interests exist rests with the full-time faculty member. It is the responsibility of the departmental chairperson and the deans of various divisions to protect the interest of the university in the full-time service of its full-time faculty.

Implementation of the Policy

This policy is meant to establish a minimal standard for the conduct of outside activities by members of the full-time faculty at each of the divisions of the university. Any dean may implement more stringent standards in his/her division after consultation with and approval by the provost.

viii. Benefits

Internal Tuition Benefits Policy

The New School, an institution dedicated to the advancement of higher education, seeks to support and encourage education for its faculty members and their families, wherever possible. With this goal in mind, the university has for some time provided opportunities for faculty members and their families to enroll in courses at The New School without tuition charges. This policy statement reaffirms the university's commitment to a long-standing internal tuition benefits policy. The purpose of this statement is to clarify the policy and specify all of its provisions explicitly in writing.

Full-time faculty members are eligible to participate in this program upon completion of three (3) months of continuous employment. The eligible course must begin on or after the eligibility period is met. Exceptions to this policy must be approved by the Office of the Provost.

Full-time faculty members may enroll in any continuing education program at The New School with tuition waived. Ordinarily, no more than eight credits or two undergraduate-level courses, whichever is greater, or two graduate-level courses, should be taken by an individual in a given semester. This provision assumes that faculty members have consulted with their supervisors about scheduling their courses and that space is available in the course. Faculty members may not enroll in shared income courses.

Dependent children, spouses, and qualified domestic partners of full-time faculty members may enroll in any continuing education program at The New School with tuition waived. Ordinarily, no more than eight credits or two courses, whichever is greater, should be taken by an individual in a given semester. This provision assumes that space is available in the course.

Full-time faculty members may enroll with tuition waived in any undergraduate or graduate degree program to which they have been admitted through the regular admissions process. Ordinarily, no more than eight credits or two courses, whichever is greater, or two graduate courses, should be taken in a given semester. This provision assumes that in addition to being admitted to the program, faculty members have consulted, when necessary, with their supervisors about scheduling their courses and have also consulted as to course load per semester with a designated advisor in the program.

Dependent children, spouses, and qualified domestic partners of full-time faculty may enroll in any degree undergraduate or graduate program to which they have been admitted through the regular admissions process, with tuition waived. This provision assumes that, in addition to being admitted to the program, these individuals have consulted on their course load with a designated advisor in the program and that the advisor has approved the scope and level of the courses selected. The university is required to report as taxable income the value in excess of $5,250 of any graduate level courses taken by faculty members in a calendar year. The university is required to report as taxable income the full value of any graduate level courses taken by a spouse or dependent child(ren) in a calendar year. The university is required to report as taxable income the full value of any undergraduate and graduate level courses taken by a qualified domestic partner in a calendar year. The taxable income is added to the faculty member’s biweekly pay.

Upon termination of the faculty member’s employment, the faculty member and his or her dependent child(ren), spouse, or qualified domestic partner may continue to attend the courses in the semester in which the faculty member’s employment terminates. For any credit courses, however, the faculty member will be responsible for the tuition costs, based upon the university’s general policies for pro-rated tuition.

Certain courses (usually those offered at off-site locations) are excluded from the tuition waiver policy. Faculty and their family members can register for those classes, but must pay the tuition in full. The Office of Human Resources has a complete list of restricted courses.

Questions about particular courses or about requirements for a degree program should be directed to the relevant dean's office. General questions and questions about eligibility for this benefit should be directed to the Office of Human Resources.

The benefit described above is available only to faculty of the university and to their dependent children, spouses, and qualified domestic partners (as described above). Exceptions to this policy can be made only by the Office of the Provost; other tuition fee waivers must be reviewed by the Office of Human Resources. The policy will be reviewed regularly and may be subject to change or termination of the benefit either written or not written, with or without notice at the discretion of the university.

External Tuition Benefits Policy

This statement describes the university's external tuition benefit for full-time faculty. The external tuition benefit has existed for some time at The New School and reflects a

common practice in the academic world. Many universities and colleges have instituted such a benefit in order to assist faculty members with educational expenses for members of their families. The New School benefit was designed to provide assistance to faculty whose dependent children are planning to attend another post-secondary institution (not The New School).

In addition, as a result of the special conditions which confront many residents of New York City with respect to primary and secondary education, The New School has also created a benefit for primary and secondary education available only to those faculty members who live in New York City.

The provisions of the external tuition benefit are as follows:

Full-time faculty may receive up to a stated maximum amount of $2500 per academic year toward the tuition of a dependent child enrolled full-time in a college program. "College program" is defined as a BA, BFA, or other equivalent undergraduate degree.

Full-time faculty may receive up to a stated maximum amount $2500 per academic year toward the tuition of a dependent child enrolled full-time in a primary or secondary school in New York City. This benefit is not available to faculty who live outside of New York City.

The external tuition benefit is available for tuition only, and not for room and board or other expenses that students may incur as part of the cost of their education. If the dependent child attends an institution where the tuition is less than the stated maximum amount available in the benefit, the faculty member will receive only the amount paid for tuition, less any financial aid provided to the student. Reimbursement for other expenses is not part of the terms of this benefit.

The external tuition benefit is received when the faculty member provides bills (or other relevant documentation) to the dean's office. The dean's office then fills out and submits a payroll authorization for the correct amount. This documentation should be provided by the faculty member to the dean's office in December (for payment in January) and in May (for payment in June).

As a result of provisions in the tax code, the external tuition benefit is no longer excludable from the definition of gross taxable income. Therefore, taxes will be deducted from the total amount of the benefit paid to the faculty member as they are for any salary payment.

The New School will pay the correct amount, with taxes deducted, to the faculty member directly. Payment is not made directly to any external organization or institution.

The policy will be reviewed regularly and may be subject to change or termination of the benefit either written or not written with or without notice at the discretion of the University.

The Dean’s office should discuss with the Provost any questions about this policy and its implementation

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ix. Retirement

The New School is committed to sustaining an academic environment in which a full range of ages and generations is represented on the faculty and staff. It is only by being inclusive in this way that a university creates the most productive and vital intellectual environment for education, maintaining its capacity to preserve the traditions of the past while encouraging new ventures and absorbing new discoveries. The goal here is to include the widest range of generations and their various perspectives and backgrounds, and to ensure continuity in the development of knowledge and the management of educational services through an orderly transition from one generation of academic life to another. The recognition that this inclusive environment is essential to the enterprise of higher education and to the university as an institution stands at the center of this statement on retirement policy.

At the same time, the university is committed to the creation of a community that supports the development of individual careers from their beginnings until their completion. Retirement is defined as the rule of 70, meaning years of service and age must add up to 70; however, service must be a minimum of 10 years, and age must be a minimum of 55. In addition to benefits for retirees such as use of the libraries and other facilities, if a faculty member is over 65 at the time of retirement, the university will reimburse Medigap policy costs for the retiree only up to $1500 per year.

Consistent with current law, there is no specific retirement age for faculty.. Therefore, the decision as to when a faculty member retires rests with the individual, subject to the following limitations. The minimum age of retirement for all faculty members at the university is 55. In addition, faculty members are ordinarily expected to retire at the end of a semester in order to avoid disrupting the curricular programs of their departments and schools, unless illness prevents them from performing their normal teaching. Retirement during a term of instruction requires the special permission of the provost.

Faculty must inform their department chair or dean in writing of their decision to retire. They also should notify the Office of Human Resources at least 90 days before the date on which they wish their pension payments to begin. The Office of Human Resources will also assist them in discussing their other benefits, most importantly their health coverage.

x. Leave Policies, Clock Relief, Contract Extension

The New School believes that it is essential to the achievement of its mission to encourage the scholarly, artistic, and public service work of its faculty members, as well as to acknowledge that there will be times when personal circumstances will limit a faculty member’s ability to attend to their responsibilities as a scholar, artist, teacher, mentor, and colleague. The university has therefore developed a variety of paid and unpaid leaves, as well as a course release plan to meet the needs of its full-time faculty. (See also related Policy on Clock Relief and Contract Extension.)

The leaves available to full-time faculty fall within two categories:

a) Leave for Professional Development

- Sabbatical leave
- Leave for creative or scholarly purposes (including unpaid leave, pre-sabbatical leave, and course release plan)
- Public service leave

b) Leave for Personal Circumstances

- Family and medical leave act (FMLA) leave
- Childcare leave (including childcare disability leave)
- Medical leave (including short-term disability and long-term disability)
- Military leave

Leave for Professional Development

The New School is committed to the encouragement and support of faculty professional development. In recognition that extended periods of leave from regular university duties will enhance the professional effectiveness of full-time faculty members, the university has developed a variety of paid and unpaid leaves to meet those needs. The availability of these leaves should be viewed as a complement to other compensation, benefits, and funds for full-time faculty.

The central purpose of these leaves is to provide faculty members an opportunity to increase their scholarly activity, creative production, and public service by offering relief from teaching and departmental responsibilities. The professional activity that these leaves foster enable faculty to contribute in a substantial way to the world of scholarship, art, and activism, and thus to the overall intellectual resources and educational enterprise of the university; it also enhances the visibility and reputation of the institution and improves the prospect of recruiting and retaining highly qualified students and faculty.

The New School's policy is based on the general academic practice of paid and unpaid leaves for full-time faculty after a certain number of years of service, but is adapted to the particular circumstances of the university and the special concerns of the different types of appointments provided for faculty in the different academic divisions. Although The New School's leave policies are not identical for each appointment type, there should be reasonable parity in the guidelines for leaves and their procedures.
The general criteria for leaves of absence are as follows:

- Faculty members should be able to demonstrate a need for uninterrupted time to accomplish a stated goal. Leaves should not be construed as "free time" to which a faculty member is simply entitled after a stated period of service, but rather as

released time from routine teaching and university service obligations to make research, scholarship, and artistic pursuits possible.

- The faculty member's contributions to the institution should be enriched as a result of the research project. Thus the institution's own intellectual resources will benefit and its role in the general scholarly and creative community will be further developed.

- The number of years of service on the faculty establishing eligibility for paid leaves is clearly specified. If the number of paid leaves available in a given year is not sufficient to respond to all the requests for paid leave, proposals should be submitted and there should be an established procedure for choosing among the proposals. When judging between requests in a division for paid academic leaves, the contributions of each faculty member to the academic program (in terms of teaching, advising, and scholarship) and to the institution as a whole should be considered, as well as the quality of the research proposal.

- Faculty members applying for paid leaves should be responsible first for serious attempts to fund leaves with outside grants. The university encourages and supports faculty members' efforts to obtain grants and fellowships from outside sources. We are committed to helping faculty members maximize the use of such resources and to provide clear incentives to faculty for raising such funds. The university's Office of Grants & Sponsored Projects in the university Development Office will assist in this process. They will regularly circulate information of funding opportunities to each of the divisions. (See related policy on Research, Scholarship and Teaching Practice.)

- Faculty members should not be absent from their positions for any kind of leave (paid or unpaid) more frequently than one year in a three-year period. Each division should be willing to look at each request individually, and exceptions to this rule should be granted when necessary as discussed with the dean and the provost. All academic leaves are granted with the assumption that the faculty member will return to the university and resume regular teaching duties.

- The academic division should be able to plan for, and adequately manage, the faculty member's absence at the particular time requested. Leaves are therefore only authorized when the faculty member's absence will not adversely affect the staffing needs of the division, program, or department. It is the responsibility of the faculty member to submit a request for the leave to the chair and/or director, dean, and provost sufficiently far in advance to allow the department to plan for a replacement.

- When a faculty member completes an academic leave, s/he will write a report on the activities pursued during the leave that shall be sent to the dean and to the provost.

The leaves for professional development available to full-time faculty members—sabbatical leave, leave for creative or scholarly purposes (including unpaid leave, pre-sabbatical leave, and course release plan), and public service leave—are described below.

Sabbatical Leave

Principal faculty members who have been promoted to tenure or extended employment are entitled to a sabbatical leave every six years. Sabbatical leaves may be for one semester at full pay or for an academic year at one-half pay. Faculty members on sabbatical leave continue to participate in the fringe benefit programs available to full-time faculty.

For faculty members whose appointments include a teaching load of five (5) courses per year, the distribution of duties will be configured in conjunction with the chair or director. For a one-semester sabbatical leave at full pay, for example, in consultation with the chair and dean, the faculty member can choose—for the opposite semester—either to teach two (2) courses with additional advising and service responsibilities, or to teach three (3) courses with reduced advising and service responsibilities.

The term during which an individual is eligible for a sabbatical leave is determined by the individual's appointment history. Terms on leave without pay, however, do not count toward sabbatical eligibility. The Office of the Provost tracks sabbatical eligibility including the projected date of the next sabbatical and information on how that date was determined. Faculty members with questions about their sabbatical eligibility should consult with their dean or his or her designee.

A faculty member may request that his or her sabbatical (in full or in part) be postponed or advanced for a compelling scholarly, artistic, or personal reason. Such an arrangement requires the prior approval of the chair and/or director and dean. Furthermore, faculty members may be asked to postpone their sabbaticals or advance their start dates if the number of requests for leaves in a given year will adversely affect the instructional, administrative, and advising/mentoring work of the department or program. Following an early sabbatical, terms of full-time teaching are credited first toward completing the previous requirement for that leave.

The Office of the Provost sends an application each year to faculty members who are due a sabbatical within 24 months. Sabbatical leaves must be recommended by the appropriate chair and/or director and dean and approved by the Office of the Provost. The application should include a statement of a well-considered plan for spending the leave in a manner calculated to contribute to the professional effectiveness of the applicant and the best interests of the university. A faculty member must return the completed application to his or her dean by the date noted on the application.

A faculty member on sabbatical leave may not teach or undertake any full-time employment at another institution, since the primary purpose of such a leave is to provide an uninterrupted opportunity for artistic and scholarly pursuits. This does not preclude,

however, the acceptance of a fellowship, a research position at another institution, or other assistance for research and/or creative endeavors. In this case, the source of additional funds and the fact that their use materially aids the planned program of the faculty member must be fully set forth in the request for sabbatical leave, or if not known at that time, before the effective date of the sabbatical leave.

A faculty member granted a sabbatical leave is required to return to the university for a period of at least one year following the completion of the sabbatical leave, except for faculty members eligible for a sabbatical during the year in which they will retire. In the event the faculty member does not return to his or her duties at the university following a university-sponsored sabbatical, s/he will be expected to reimburse the university for the funds it contributed to the leave or have their new institution reimburse the university for that cost.

Leave for Creative or Scholarly Purposes

Leaves for creative or scholarly purposes are granted when full-time faculty members, with the exception of those with a visiting title, wish to be relieved of their normal responsibilities, in full or in part, to conduct research or otherwise engage in a scholarly or artistic activity. Leaves may not be in excess of one year.

a. Unpaid Leave

Unpaid leaves are available to faculty members at all ranks and in all types of appointments, as long as the criteria for leaves of absence listed above are met. These leaves may be granted to permit acceptance of fellowships or grants or to permit acceptance of a temporary appointment at another institution when this appointment would, in the interest of the university, permit engagement in scholarly activities that are not otherwise practicably available and that will significantly enhance the individual's professional effectiveness. The university will pay premiums for health insurance of a faculty member who is on an unpaid leave. The required reimbursement of the faculty member's portion of health insurance premiums must be paid by the first of each benefit month to the university by the faculty member. The school/division must seek approval from the provost, who will notify the human resources office of the employee's approved unpaid leave; the faculty member must contact the Department of Human Resources to arrange for the continuation of the health insurance benefit.

If the award or available salary is less than the instructional faculty member's regular salary, a supplement may be provided at the dean's request to maintain the staff member's regular salary or a portion thereof. Supplements may be provided only if permitted by the rules of the fellowship or the other institution involved.

Each year a special fund —to act as an incentive —shall be reserved to add to outside grants when they are not sufficient to support a leave of absence. The amount of the overall fund is to be determined annually in the budget process, and the supplements to grants are to be decided on individually. The university will seek eventually to

supplement outside grants by as much as one-quarter of faculty members' current salary, where necessary.

b. Pre-Sabbatical Leave

Pre-Sabbatical Leaves are to accommodate career development opportunities and review requirements for junior faculty on tenure eligible contracts.

A pre-sabbatical leave involves a one-semester leave at full salary or two-semesters at half pay. A faculty member is eligible after their first four (4) years of service, provided that the faculty member has passed post-probationary review, been approved to continue on a tenure-eligible contract, been reappointed for the period during which the leave will be taken, and intends to return to the university for at least one year of full-time service after its completion. Since faculty members receive salary from the university during a paid leave, all of their benefits are continued.

The decision on when these leaves are taken requires the approval of the chair and/or director and dean, as well as the provost. Pre-sabbatical leaves must be recommended by the appropriate chair and/or director and dean and approved by the Office of the Provost. The application should include a statement of a well-considered plan for spending the leave in a manner calculated to contribute to the professional effectiveness of the applicant and the best interests of the university. A faculty member must return the completed application to the dean. All forms must be returned nine (9) months before the beginning of the desired leave; the Office of the Dean will notify applicants about its decision at least six (6) months before the beginning of the desired leave.

c. Course Release Plan

The university also offers a course release plan, during which a faculty member receives full salary and benefits from the university but is excused, in full or in part, from teaching responsibilities. A faculty member can request course release when an external agency gives the university funding to free up a faculty member for scholarly or creative pursuits or when the faculty member teaches extra courses during previous semesters to "bank" the number of courses requested for release.

Course release (and course "banking") may only occur when they do not interfere with the instructional program of the faculty member's department or program. The enactment of the course release plan, therefore, requires previous approval by the faculty member's chair and/or director, as well as the dean and the provost. The course release plan is intended for faculty members with at least six (6) years of service at the university, although exceptions to this rule may be granted when necessary as discussed with the dean and the provost.

Public Service Leave

Full-time faculty may be granted unpaid leaves to serve the public interest at a local, state, national, or international level. These leaves are granted for up to twelve months at a time. Exceptions require the prior special permission of the provost.

Family and Medical Leave Act (FMLA) Leaves

The base minimum for three of these leaves (i.e. childcare leave, medical leave, and family member illness leave) is granted through the Family and Medical Leave Act of 1983 (FMLA), which gives employees of the university the right to up to 12 weeks of unpaid leave during each calendar year to deal with the following circumstances:

- the birth or adoption of a child, or the foster placement of a child in the faculty member's home;
- a medical disability; or
- a serious illness of a spouse, child, or parent.

The university has extended the federal policy definition of "spouse" to include a faculty member's domestic partner (same sex or opposite sex) with whom the faculty member shares living accommodations and expenses.

The university will pay monthly premiums for health insurance of a faculty member who has been approved for a leave of absence without pay under the provisions of the FMLA. The faculty member's portion of health insurance premiums must be paid by the faculty member by the first of each benefit month to the university to continue coverage.

In the case of leaves listed below that are more generous than that which is required under the FMLA, the first 12 weeks of any such leave in a calendar year will be deemed to fulfill the university's requirements under the law.

A further description of the Family and Medical Leave Act and the University's policies and procedures for implementing its provisions may be obtained from the Human Resources Department.

a. Childcare Leave

Full-time faculty members, regardless of sex, may take advantage of policies that are designed to assist them in taking care of a newborn child or a newly placed adopted child or a foster-care child newly placed as preparatory to adoption. This includes childcare disability leave described below.

A pregnant full-time faculty member is entitled to a childcare disability leave of absence for the period surrounding the birth of her child during which her doctor certifies that she is unable to work. The university treats disabilities arising from pregnancy and childbirth like any other non-occupational disabilities. The faculty member receives full

salary and benefits under the university's policy for medical leave (see short-term disability below).

1. Faculty members are expected to request medical leaves for childbirth and child care leaves sufficiently early to permit their departments and schools to plan for their absence. A faculty member who will be giving birth should include written documentation from her physician stating the anticipated duration of the disability. Such documentation and the request for leave must be shared with the human resources office if the actual period of disability differs from the original projection of her physician.

b. Short Term Disability

If an employee is absent from work for more than seven (7) consecutive days, s/he is placed on short-term disability.

If the employee has less than one (1) year of service, s/he receives his or her full pay for the first month of disability. If the disability is longer than one (1) month, the employee receives a benefit from the university's insurance company which is 50 percent of his or her weekly pay, not to exceed $170.00 per week.

If the employee has one (1) year of service or more, then s/he receives his or her full base rate of pay for the duration of the short-term disability which may last up to a maximum of 26 weeks, depending on the medical documentation produced by the employee's physician. The wage replacement shall not exceed the employee's base rate of pay. Any payments from the insurance company shall be offset against the university-paid wage replacement.

c. Long Term Disability

Coverage begins the first of the month following three (3) consecutive months of continuous employment, measured from the day the employee is in a benefits-eligible position. An employee disabled for six (6) months or more is eligible to apply for the long-term disability (LTD) program. a 100-percent university paid benefit.

The employee and his or her physician will be required to submit evidence of the LTD to the insurance carrier. Eligibility for this benefit is determined by the insurance company, based on the medical facts and circumstances submitted to the insurance company.

The LTD benefit is 60 percent of the employee's pre-disability, monthly base earnings rate, up to maximum benefit of $7,500 per month. LTD, if approved, may continue until the person reaches age 65 or when the disability ends, whichever comes first.

In the event of disability preventing any work at all, the employee's university employment is terminated, and the employee will be offered COBRA to continue his or her medical and dental coverage. Faculty members who are able to perform some of their

normal responsibilities, however may be given a leave of absence with partial salary that will be supplemented with prorated disability payments from the insurance carrier.

A faculty member who wishes to return to active employment after recovering from a disabling illness or injury should submit a letter from a physician stating that s/he is physically capable of returning to work. If special working arrangements are needed for the faculty member to return from the disability, the physician should also specify the nature of the accommodations required. If there is an opening for which the faculty member is qualified, consideration will be given.

The university, at its expense, may also require a faculty member to undergo a medical examination by a physician of its choice when the individual claims the existence of a disability that prevents the performance of his or her academic duties. Should the physician confirm that the faculty member is disabled, the university reserves the right to relieve the faculty member of all responsibilities. In such cases, the individual will be placed on a medical leave with full salary for up to six months. If the disability continues beyond six months, the faculty member may apply for additional leave under the terms of the University's long-term disability program.

Military Leave

Full-time faculty members are entitled to a leave of absence to fulfill their military obligations under the Uniformed Services Employment and Reemployment Rights Act of 1994. During the first 15 days of such leave each year, the faculty member will receive full salary and fringe benefits. Thereafter, s/he will be placed on a leave without salary. For further information on policies governing military leaves, faculty should contact the Human Resources Department.

Policy on Clock Relief and Contract Extension

Full-time *tenure-eligible* or *extended employment-eligible* faculty shall be eligible for *Clock Relief*. Clock Relief provides the opportunity to postpone a review for a set period of time. *Contract Extension* provides full-time *term-appointment* faculty the opportunity to extend their term of appointment for a set period of time. Clock relief and contract extension are for unpaid leaves and life events that can reasonably be expected to markedly delay the research and/or creative process and affect the faculty member's ability to attend to their professional duties. As noted below, each extension can be for either one or two semesters, depending upon the circumstances. For the purposes of this policy, a semester is defined as six (6) months in duration.

Life events that can be expected to markedly delay the research or artistic process and teaching and service commitments include:

- A child being born, adopted, or taken in as a foster child into the faculty member's household (automatic two [2] semesters of relief, upon request)
- A serious health condition (as defined in the FMLA) rendering the faculty member unable to perform the functions of her or his position (maximum two [2] semesters of relief)
- A serious health condition (as defined in the FMLA) requiring the faculty member to act as the primary caregiver for a parent, child, spouse, or domestic partner (maximum two [2] semesters of relief)
- The death of a parent, child, spouse, domestic partner, or sibling (one [1] semester of relief)
- A catastrophic residential property loss (one [1] semester of relief)

Review clock relief or contract length extension will also be granted for the following reasons:

- Specialized experience or training approved by the chair or director, when during such experiences, review-related activities are expected to be significantly reduced or interrupted
- Significantly increased administrative duties that were unanticipated at the time of the appointment
- An unpaid leave (for contract extension only)

Requests for all extensions shall be made in writing to the chair or director as a first step, and forwarded to the dean for final approval by the provost. Requests for extensions shall be made within three (3) months of the onset of the life event, or as soon as practical, once the situation has been identified. All requests under this policy must be made before the date that has been communicated to the faculty member as the date on which the department/program, division/school will initiate the review process, depending on the nature of the faculty member's appointment.

Events that occur in the final year of a faculty member's tenure or extended employment probationary period may not be the basis for a request for clock relief under this policy. Extensions of midterm reviews, when appropriate, will be granted upon request. Invoking an extension, however, does not commit the person to wait the full extent of the probationary period before requesting review.

xi. Discipline

University Faculty Discipline Policy

General Principles

In general, all faculty members have an obligation to comply with the policies and procedures of the university and its schools, divisions, and departments. These policies and procedures protect the rights and freedoms of all members of the academic

community. In particular, all faculty members are obligated to live up to high standards of professional conduct and integrity. A number of university policies are relevant to faculty conduct and bear directly on academic or ethical concerns that must be of central importance to all institutions of higher education. It is the responsibility of the faculty member to consult university policies directly for a full understanding of the concerns that give rise to each policy and the intended scope of their application.

Disciplinary action may also follow when a faculty member engages in other conduct unbecoming to a member of the faculty, such as any action which interferes with the regular operations of the university or the rights of others, any serious violation of the law, or any other conduct prejudicial to the teaching, research, or welfare of the university.

Alleged violations of university policy may give rise to disciplinary proceedings in accordance with the procedural guidelines of the specific policy. For policies which do not contain procedural guidelines, the procedures contained herein apply.

Disciplinary Procedures

a. General Procedures Applicable to All Disciplinary Proceedings

Filing a complaint

Any dean or officer of the university, any member of the faculty or staff, or any student may file a complaint against a member of the faculty for conduct prohibited by the policies of the university or its schools, divisions, and departments. Notwithstanding the right of any member of the university community to file a complaint, charges that seek to suspend for a fixed period of time without pay, demote, or dismiss a member of the principal faculty must be initiated by a dean, after consultation with the provost.

Where to file a complaint

The complaint shall be filed with the dean of the faculty member's school, except that a complaint against a dean shall be filed with the provost. A complaint against a faculty member who has a joint appointment must be filed with the dean of that faculty member's primary unit. Questions regarding a faculty member's primary unit should be directed to the Office of the Provost.

When to file a complaint

Complaints must be filed within 30 days of an alleged violation.

Informal resolution at school level

When a complaint is filed, an effort shall be made to resolve the matter informally under the direction of the dean of the faculty member's home unit at the departmental level of that school. Where the matter cannot be resolved informally, disciplinary proceedings shall proceed.

Penalties

Penalties for violation of policies and procedures of the university or its schools, divisions, and departments shall include reprimand, censure, removal of privileges, suspension, demotion and dismissal.

Temporary suspension pending the outcome of any disciplinary committee proceeding is an extraordinary remedy. However, nothing in this statement shall be interpreted as precluding such action by the provost, or the dean of the school or division, with the agreement of the president, if there is a concern that continued presence of that faculty member threatens substantial harm to him/herself, others in the university community, or the welfare of the university. Unless legal considerations forbid, any such suspension shall be with full base pay. At any time during the pendency of a disciplinary committee process, the president may impose, modify, or lift a suspension in the interest of substantial justice or the welfare of the university.

b. Specific Procedures

Visiting Faculty & Faculty on Term Appointments

Discipline of visiting faculty and faculty on term appointments shall be handled at the college/divisional level using the following procedures:

Hearing committee

Where the faculty member is not a member of the principal faculty, the dean shall refer the matter, with all pertinent information to an ad hoc committee consisting of five members who are selected from among the full-time faculty to hear the matter. In the case of faculty with joint appointments, the committee shall also have representation from the collaborating unit in which the faculty member holds his/her secondary appointment. The dean shall appoint the chair of the committee.

Procedures and authority of the hearing committee and dean

The special hearing committee shall make findings of facts, determine whether the charges are substantiated by clear and convincing evidence, and, if any charges are substantiated, recommend to the dean the imposition of an appropriate penalty from those provided in this policy. Recommendations for discipline must be supported by a majority vote. The dean may accept, reject or modify the recommendations of the committee. If the dean chooses not to follow the recommendation of the committee, he or she shall explain his or her reasons to the committee.

Appeal

Within 10 days of the issuance of the dean’s decision, a faculty member may appeal the decision of the Dean in writing to the provost. Grounds for an appeal shall be limited

to a claim that the decision was not supported by substantial evidence in the record taken as a whole, a claim that the discipline imposed is disproportionate to the alleged violation, or a claim that a violation of procedure occurred. In deciding the appeal, the provost may affirm or reverse the decision of the dean, may remand the case for a new or further investigation by the same or a different committee, or may increase or decrease the sanction(s) imposed in the interests of substantial justice and/or the best interest of the university. The provost shall issue a final decision within 10 days of his/her receipt of the appeal.

Principal Faculty

Reprimand, Censure or Removal of Privileges

Hearing committee for principal faculty

In instances where the dean or, if applicable, the provost, receives a complaint and in his/her sole discretion determines that the complaint, if proven, would not merit suspension for a fixed period of time without pay, demotion or discharge of that faculty member[2], the dean shall appoint a special committee consisting of five principal faculty members to review and resolve the complaint. In the case of faculty with joint appointments, the committee shall also have representation from the collaborating unit in which the faculty member holds his/her secondary appointment. Similarly, in a case involving a principal faculty with tenure or extended employment, the committee should consist only of faculty with tenure or extended employment. In the event that the division or school does not have enough members holding tenure/extended employment to serve, the dean shall ask the provost to appoint additional tenured/extended employment faculty members from other divisions/schools of the university to serve on the school/division committee. The dean shall appoint the chair of the committee.

Procedures for the special hearing committee

The special committee shall make findings of fact, determine whether the charges are substantiated by clear and convincing evidence, and, if any of the charges are substantiated, have the authority to impose, by majority vote and after consultation with the dean, an appropriate discipline set forth in this policy, except for suspension without pay for a fixed period of time, demotion or dismissal.

Appeal

A faculty member may appeal the decision of the special hearing committee. A written appeal shall be submitted to the provost within 10 days of the decision of the committee. Grounds for an appeal shall be limited to a claim that the decision was not supported by substantial evidence in the record taken as a whole, a claim that the discipline imposed is disproportionate to the alleged violation, or a claim that a violation of procedure

[2] See following section, "Suspension, Demotion or Dismissal for Cause of Principal Faculty."

occurred. In deciding the appeal, the provost may affirm or reverse the decision of the hearing committee, may remand the case for a new or further investigation by the same or a different committee, or may increase or decrease the sanction imposed as the interests of substantial justice appear to him or her to require. The provost will issue a final decision within 10 days of his/her receipt of the appeal.

Suspension, Demotion or Dismissal for Cause of Principal Faculty

Initiation of process and notice to the faculty

Charges seeking discipline that may result in suspension, demotion or termination arise in instances where the dean or, if applicable, the provost, receives a complaint and in his/her sole discretion determines that the complaint, if proven, would merit such sanction. The provost, or the dean, following consultation with the provost, shall initiate the process to suspend without pay, demote, or dismiss a principal faculty member by preparing a written statement of the grounds that place in question the fitness of the faculty member ("the charges").

The formal proceeding shall begin with a letter addressed to the faculty member by the provost, setting forth the charges preferred against the faculty member, the proposed discipline, and the right of the faculty member to request a hearing before the University Faculty Discipline Committee (see section on make up and charge of committee, "University Faculty Disciplinary Committee," below).

If the faculty member waives the right to a hearing or fails to respond within seven days of his/her receipt of the charges, the charges will be deemed substantiated and the provost shall determine the appropriate sanction(s) and notify the faculty member in writing of the sanction(s) within 21 days of the faculty member's receipt of the initial charges.

If the faculty member elects to have a hearing, he/she must notify the provost of such request within seven days of the faculty member's receipt of the charges. The provost shall ask him or her to answer the statements in the provost's letter in writing, not less than one week before the date set for the hearing. The date of the hearing shall be set to allow the faculty member at least two weeks but in no event more than four weeks, to prepare. The faculty member will be informed of his or her right to be accompanied by an advisor who will have no active role in the proceedings.

University Faculty Disciplinary Committee

If a principal faculty member elects to have a hearing, the provost will convene an appropriate faculty committee, consisting of at least five principal faculty members, to consider the case. If the faculty member has tenure or extended employment, the committee shall consist only of faculty with tenure and/or extended employment. The provost will ask the dean of the faculty member's school or division to designate a

faculty body to make nominations of possible committee members, but will make the final selection on the composition of the committee and will appoint the chair of the committee. Nominees may decline to serve if they deem themselves disqualified for bias or interest either at the request of a party or on their own initiative.

The committee shall begin its work by considering the statement of charges and the faculty member's response. If any facts are in dispute, the committee shall gather the testimony of witnesses and other evidence concerning the matter set forth in the provost's letter to the faculty member.

The committee shill determine the schedule of the proceedings and order of proof, conduct the questioning of witnesses, and, if necessary, secure the presentation of evidence relevant to the case. In the interest of the orderly operation of the university, hearings should be conducted on consecutive days, and adjournments should be granted only in exceptional circumstances. The faculty member shall also have the right to question witnesses who testify orally. Before reaching its findings, the committee will give the faculty member the opportunity to argue orally or in writing. The committee shall make explicit its findings with respect to each of the charges. A complete record will be kept of all the evidence and of the hearing.

The committee will not be bound by rules of evidence applicable in a court of law. It may admit any evidence that in its opinion is of probative value in deciding the issues involved. The burden of proof that adequate cause exists supporting its decision to suspend for a fixed period of time without salary, demote, or dismiss a principal faculty member rests with the university and shall be satisfied only by clear and convincing evidence in the record considered as a whole. The committee shall base its findings of fact and recommendations to support or not support the proposed discipline based solely on the hearing record.

The president, the provost and the faculty member shall be notified of the findings in writing and given a copy of the record of the hearing within 10 days of the completion of the hearing. The provost will notify the faculty member's dean of the findings. The provost and the faculty member shall have the opportunity to provide to the president a written response to the findings of the committee within 10 days of the committee’s decision.

The president may accept, reject or modify the findings and/or penalty recommended by the committee. Should the president reject the findings of the committee, the proceeding will be returned to the committee with specific objections in writing. The committee shall then reconsider, taking account of the stated objections and receiving new evidence if necessary. It should frame its reconsideration in the same manner as before. The provost and the faculty member shall again have the opportunity to provide to the president a written response to the reconsideration by the committee.

The president will review the record, findings, and recommendations of the committee and the responses of the provost and the faculty member, reach a final conclusion, and

recommend an action to the Executive Committee of the Board of Trustees. The recommendation to the executive committee shall be accompanied by the full report of the committee and the written responses of the provost and the faculty member. The decision of the executive committee is final and will be issued by the president in writing to the faculty member with a copy to the provost and the chair of the committee.

xii. Grievance

Faculty Grievance Policy

This policy deals specifically with grievances related to faculty employment and any other issue related to faculty not explicitly covered by another university policy, e.g., discipline and allegations of discrimination. Faculty members should first try to resolve grievances through informal means. If their concerns are not resolved satisfactorily, they may submit a formal grievance.

Faculty Grievances—General

Faculty grievances covered under this policy are classified into two main types:

- Those heard by the University Faculty Grievance Committee and which are connected to matters affecting principal faculty in the areas of reappointment and promotion to extended employment or tenure;
- Those heard by school/divisional faculty grievance committees and which are concerned with matters affecting all full-time faculty related to teaching assignments, distribution of workload, leaves or promotion in rank.

University Faculty Grievance Committee

The provost shall obtain the advice of a standing committee of five full-time faculty members selected by the Faculty Senate, but not necessarily members of that body. This committee shall be called the University Faculty Grievance Committee.

The University Faculty Grievance Committee will review grievances brought by a principal faculty member claiming that the procedures followed in reaching a decision not to reappoint or to deny tenure or extended employment were violated. These are the exclusive grounds on which the University Faculty Grievance Committee will recognize a challenge to such a decision; the committee may not substitute its judgment for any qualitative judgment in instances of non-renewal or promotion to tenure or extended employment underlying the decision. Upon completion of its review, the committee will forward its recommendations to the provost, who will make the final decision on faculty grievances.

When a grievance arises from a negative tenure or extended employment decision, a non-renewal after a negative post-probationary (fourth year) review or a non-renewal after a negative institutional suitability review, the faculty member must submit a grievance to the University Faculty Grievance Committee within 15 working days after being informed of the decision. For the purpose of determining this and other periods of time in these grievance procedures, "working days" exclude Saturdays, Sundays, university holidays, and the period between commencement and Labor Day.

The grievance should take the form of a written statement specifying how the procedures for making the decision at issue were not followed. The University Faculty Grievance Committee will review the underlying process and submit a report to the provost with its recommendations within 20 working days of receiving the initial written grievance. The provost may grant extensions of these deadlines in unusual circumstances.

Principal faculty who receive notice of non-renewal after a negative post-probationary (fourth year) review are not entitled by virtue of filing a grievance to any additional period of appointment beyond the date specified in the letter of non-renewal.

To facilitate the committee's evaluation of grievances, while minimizing the disclosure of confidential information, the committee and the provost will adhere to the following procedures:

- Upon receiving a grievance, the chair of the University Faculty Grievance Committee will provide the provost with a copy of the grievance.
- The chair of the University Faculty Grievance Committee, with the approval of its members, will establish a subcommittee, drawn exclusively from the members of the committee itself, to gather information that is relevant to the grievance.
- Membership of a subcommittee related to the grievance of a faculty member with either tenure or extended employment will consist exclusively of faculty from the relevant classification. If there are insufficient number of similarly ranked faculty, faculty from the other classification may be selected.
- The subcommittee will provide the provost with a list of questions outlining the information it requires. Within ten (10) working days of receiving the list, the provost or his/her designee will meet with the subcommittee to answer those and any other questions it may have about the grievance.
- While the subcommittee will not be given confidential documents, the provost will confirm whether such documents exist and describe their contents if necessary for the subcommittee to complete its review. The provost also will provide the subcommittee with other confidential information relevant to the grievance.
- If the subcommittee needs clarification or further information after its initial interview, it may ask for further meetings with the provost.
- The subcommittee will meet only with the Provost or his/her designee. It will not have authority to speak with other individuals as part of this review.

Upon completing its review, the subcommittee will submit a report to the tenured/extended employment (depending on the classification of the grievant) faculty members of the University Faculty Grievance Committee who will meet in executive session to discuss the subcommittee's findings, decide upon their recommendations, and agree upon the contents of their report to the grievant and the provost.

The University Faculty Grievance Committee will also follow these procedures in the case of grievances over non-renewal or denial of tenure or extended employment decisions conducted at the division/school level (i.e., when a school/division chooses not to forward a review to the provost) with the following exception: The subcommittee may, at its discretion, interview the school or division dean or his/her designee, who will provide the subcommittee with the same cooperation as the provost would in the case of grievances over university decisions.

School/Division Faculty Grievance Committees

Each division or school shall establish a Faculty Grievance Committee to advise the dean on matters not handled by the University Faculty Grievance Committee. The membership of the school/divisional grievance committee shall be elected by the voting members of the school/division’s full-time faculty and shall be a standing committee of the school/division. It shall not include departmental chairpersons or program directors or any faculty member whose primary assignment is administrative.

The divisional/school Faculty Grievance Committees will review grievances not related to denial of tenure or extended employment brought by all full-time faculty, including those related to teaching assignments, distribution of workload, denial of leaves, promotion in rank, or the abrogation of faculty rights to the free exchange of ideas and academic freedom. The school/division committee will forward its recommendations to the dean of the school/division, who will make the final decision on school/division grievances.

Disputes Related to Individual Letters of Appointment and Salary

Matters relating to individual contracts and complaints about salary or other benefits are not covered by the University Faculty Grievance Policy. Such matters should be discussed directly with the dean or her/his designee, whose decision shall be final.

xii. Separation

Separation Policy

A faculty appointment may end as a result of a decision by the university not to renew a term or visiting contract; to deny continuation on an extended employment eligible or a tenure eligible appointment at the end of a probationary contract; to deny promotion to extended employment or tenure at the end of extended employment eligible or tenure eligible contract; or to discontinue extended employment based on an institutional suitability review. In addition, employment of all faculty members (including tenured/extended employment faculty members) may end due to discontinuation of a program for reasons of financial exigency, dismissal for cause, resignation, or retirement.

a. Non-Renewal of Contract/Denial of Tenure and Extended Employment

Full-time faculty members with all types of contracts/appointments are subject to the processes outlined under the appropriate sections of this handbook. In the event of a negative review, and when the decision has been made not to renew the faculty member's employment, the faculty member is entitled to clear and unambiguous notice of non-renewal in writing by March 1st of their review year. When tenure or extended employment is denied, or after seven years of continuous employment, it is the practice of The New School to offer the faculty member a grace period of one year before the end of his or her employment.

Principal faculty members who wish to appeal the results of their non-renewal may do so through the university faculty grievance procedure. Such an appeal shall be limited exclusively to the question of whether the procedures set forth in the relevant sections of this handbook pertaining to such non-renewal have been followed.

b. Discontinuation of a Department/Program or Division/School

Serious financial exigency or curricular change(s) may require the university to discontinue an academic department/program, or division/school. In the event that the Board of Trustees determines that it must discontinue a department/program, faculty members in that department/program or division/school will receive formal notice of not less than six months. The determination by the board that a financial exigency exists shall be based on generally accepted accounting principles and practices. Every effort will be made to place tenured faculty members in suitable positions elsewhere in the university.

c. Resignation

Faculty members who wish to resign should give notice in writing as early as possible, but not later than three months before the resignation will be effective. In addition, faculty members are encouraged to make such resignation effective at appropriate times during the academic year, e.g., the end of a semester. In cases of hardship, situations in which a faculty member would otherwise lose an opportunity of professional advancement, or other special circumstances, the provost may waive the requirement of notice on recommendation of the dean.

d. Dismissal for Cause

Adequate cause includes one or more of the following: incompetent or inefficient service; neglect of duty; repeated and willful disregard or violation of university policy;

physical or mental incapacity; lack of professional integrity; other serious breaches of academic conduct; or serious personal misconduct, or any other conduct of a character seriously prejudicial to the faculty member's teaching or research or to the welfare of the university. The procedures for such a dismissal are contained in the University Faculty Discipline Policy.

xiv. Appendices

Evaluation and Promotion

Evaluation Standards, Criteria and Evidence

The University values faculty whose commitment to the life of the mind is demonstrated through scholarship, teaching, and a concern for the general life of their division and the University at large. Although distinguishing one quality from another--even for the purpose of discussion--separates what may be inseparable for a single faculty member, the distinctions which follow are an attempt to specify the qualities the University seeks, especially among its Principal Faculty.

Principal Faculty will be evaluated on the quality of their 1) teaching and advising, 2) scholarship, and 3) institutional and community service. While the general recognition of these three professional obligations is familiar, it is nonetheless essential to acknowledge the unique forms they take and to further acknowledge that they are often interrelated and overlapping.

Extended employment and tenure both recognize a set of accomplishments defined by outstanding professional contributions. It is not possible to define an abstract and universal standard of measurement, nor is it desirable to do so: each case must be examined in detail by making explicit comparisons and by delineating special strengths. The methods by which the work of a candidate in one discipline need be appraised can vary widely from that of another. Neither commercial nor critical recognition alone can be an a priori standard of appraisal without careful consideration of the type of work and the nature of the audience. The appraisal of a candidate's work must take account of content, ambition, context, venue, and the value of the work to the profession and to the University. Quantity, in and of itself, is not an affirmative value; every candidate for extended employment and tenure promotion, and promotion in rank, should have produced work of true quality.

It is important in all cases that the candidate's professional work be represented in the public sphere. In each case, the quality of the work and venues will be judged for relevance to the field and breadth of focus. Strong and consistent mentorship by chairs and senior faculty is essential to help junior faculty make appropriate choices regarding

professional activities related to teaching, scholarship, and service, consistent with expectations for extended employment or tenure. In conjunction with departmental/ Program/divisional and University guidelines and through annual and formative reviews, probationary faculty should discuss with their chair and, where appropriate, the dean, what evidence and criteria will be appropriate, given the candidate's scholarship and/or creative agenda, teaching, and service, in the review for extended employment or tenure.

Definitions of Tenure/Extended Employment

Faculty performance will be evaluated in all three of the following categories:

1. teaching/advising
2. scholarly, creative or professional activities
3. service

Successful candidates for tenure or extended employment must demonstrate ongoing excellence in two of the three categories listed above and an ongoing, good evaluation in the remaining category. In addition, the selection criteria for tenure and extended employment are differentiated by the following requirements:

Tenure

To qualify for tenure, faculty members must demonstrate ongoing excellence in their scholarly, creative or professional activities. In addition, faculty must elect to be evaluated for ongoing excellence in either teaching or service with the remaining category requiring an ongoing and good level of performance.

Extended Employment

To qualify for extended employment, faculty members must demonstrate ongoing excellence in teaching. In addition, faculty must elect to be evaluated for ongoing excellence in either service or their scholarly, creative or professional activities with the remaining category requiring an ongoing and good level of performance.

Teaching, Advising, Supervision

Quality teaching, advising, supervision, and general commitment to student learning and development are the hallmarks of the University. Principal Faculty members are expected to be outstanding teachers, mentors and advisors, with a primary commitment to understanding and implementing innovative and effective forms of teaching that positively affect learning. Principal Faculty are expected to actively engage in thinking about and implementing best practices in teaching in their disciplines and in interdisciplinary discourse. They are expected to foster and encourage intellectual excitement and breadth of learning in their students and advisees and must meet the

challenge of inclusiveness of our diverse student body. Principal Faculty will be evaluated in accordance with these expectations. For ease of review the standards and criteria for teaching and advising are presented separately below.

Measures of Teaching as reported in the annual evaluation and/or peer observation

The following qualify as activity in teaching and supervision:

- Instruction: teaching or team-teaching a seminar, workshop, studio, or a lecture course; leading a discussion section in a lecture course.
- Course development: designing new syllabi; undertaking research toward course development; offering core courses, requirements, electives, foundational courses and "writing intensive" courses; developing new courses of study and university curricula.
- Preparation and training: attending or leading pedagogy workshops; developing innovative teaching methods and new uses of electronic media; creating innovative educational websites; constructing procedures for evaluating and enhancing student learning and growth.
- Guiding effective individualized forms of study, e.g., independent study, graduate thesis and dissertation research, senior work, with responsibility, academic integrity and creativity.

Furthermore, Principal Faculty are encouraged to participate in university-wide or inter divisional programs by:

- Teaching in programs outside the division
- Participating in curriculum development for university or inter-divisional programs.
- Providing leadership on inter-divisional or university committees developing curricular programs.

Teaching effectiveness is determined through processes of self-evaluation, peer evaluation and student evaluations. Principal Faculty members should have a primary, though not exclusive role in evaluating their peers as teachers.

All evaluations must take into consideration the number, level and kinds of classes taught as well as student evaluations.

Standards for Teaching

Teaching requires mastery of one’s subject matter and the ability to transmit this knowledge to students through teaching that is innovative, rigorous, challenging, flexible, engaging, responsive, and organized. Courses whose structure and content do not evolve or reflect new developments in the field will not constitute satisfactory teaching criteria. Meeting the standards of “Excellent” and “good” are necessary for promotion; Meeting the standard of “acceptable” is only acceptable at time of probationary and annual performance reviews.

Excellent

Performance is of the highest quality as demonstrated through self-evaluation and recognized through peer review and student evaluation; demonstrates competency in almost all of qualities listed below with the recognition that some qualities may be more appropriate for different types of curricular programs.

Good

Performance exceeds expectations as demonstrated through self-evaluation and recognized though peer review and student evaluations; demonstrates competency in most of the qualities listed below, with the recognition that some qualities may be more appropriate for different types of curricular programs.

Acceptable

Performance meets expectations as demonstrated through self-evaluation and recognized through peer review and student evaluations; demonstrates competency in many of the qualities listed below. Improvement is necessary.

Unacceptable

Performance does not meet expectation; competency is not demonstrated in many of the qualities listed below, as appropriate to the field. Faculty whose performance is deemed unacceptable at the time of annual review will not be considered for merit increases or paid leaves. An evaluation of unacceptable can affect the likelihood of promotion to extended employment or tenure or promotion in rank

Specific Criteria Used for Evaluation of Teaching

Professional competence and awareness

- High level of competence in the field and ability to translate that knowledge into student learning
- Knowledge of the current literature/trends and understanding of research/practice in the field
- Current in best practices in teaching in that field.
- Knowledge of how one's field fits within the mission of the department/program, division and within the context of the larger university
- Teaching nested in the larger divisional/school/University mission and planning directives
- Engagement with interdisciplinary activities

Course development/design

- Appropriateness of selected materials/levels and relevance to program and learning outcomes of a diverse student body
- Articulation of course goals and learning outcomes
- Innovation in course design and pedagogical methods
- Course content designed to meet the diverse learning styles of the student body

- Creation of effective lesson plans and teaching strategies
- Institutional/divisional fit: offering courses appropriate to the overall mission of the division/University and providing instruction in desirable areas and fields

Mentoring individualized forms of study

- Availability to students to whom a faculty member has committed as a mentor or supervisor
- Effectiveness of supervision of independent studies, dissertations, theses, senior projects
- Promotion of finished student products that reflect high quality within or across relevant fields of study

Classroom effectiveness/delivery

- Effectiveness in facilitating discussion within the seminar format, in lecturing and/or leading discussions and/or use of other pedagogical methods as appropriate to aid and foster student learning
- Ability to engage students in course content
- Participating in out-of-classroom activities related to teaching
- Delivering the subject matter clearly and to meet the needs of a diverse student body
- Approaching and presenting the subject matter comprehensively and in depth
- Promoting creative thinking in the classroom environment
- Stimulating student participation in the scholarship process
- Engaging different levels of preparedness
- Use of traditional and non-traditional approaches to teaching and learning such as case studies, small group/collaborative, role playing, and other forms of experiential learning
- Demonstrating enthusiasm and energy in the classroom
- Developing good rapport with, and a positive attitude toward, students and demonstrating constructive interactions with students
- Effectiveness in communication
    - Clarity of written, oral, and visual presentation
    - Effective questioning and group facilitation skills
    - Encouragement of student participation and engagement
- Stimulation of critical thinking and problem solving abilities
- The use of appropriate methods of evaluation and assessment
    - Providing fair, responsible and consistent feedback to students regarding student academic performance
    - Offering analytical critiques for student presentations; theses, shows and/or exhibitions

Evidence considered:

- Self-evaluation, which should focus on, but is not limited to the following criteria:
    - Statement of teaching philosophy This should be a reflective statement about the candidate as a teacher and his/her thoughts about teaching in higher

education – with particular attention to his/her experience at The New School, his/her evolution and development as a teacher, and the challenges he/she faced and lessons learned along the way.
    - Pedagogical and technological skills where appropriate
    - Updating of course content on a regular basis
    - Revising the syllabus to reflect the updated course content
- Student rating reports (course evaluations)
- Classroom observation report(s)/peer evaluation(s) by designated senior faculty or by faculty colleagues (when peer evaluation system is in place)
- Annual review(s)
- New programs or courses initiated, or revisions to existing programs or courses
- Syllabi: appropriateness of lesson plans, readings, assignments
- Effective planning and organization: clear organization of syllabi, class sessions, and course activities
- Active participation in departmental, college and university discussion of curriculum through committee or other service
- Evidence of innovation in teaching: the use of new technologies; the development of new learning platforms, courses, programs or curricula; the creation of effective methods to evaluate student learning and skills; the development of methods to evaluate individual teaching, courses or curricula, etc.
- Mentoring junior faculty demonstrated by letters or reports (if formal mentoring program in place)
- Number of students for which one serves on the committee, such as:
    - Independent studies
    - Senior works
    - M.S./M.A. theses
    - Ph.D. dissertations
- Number of students for which one serves as the chair or primary advisor, such as:
    - Independent studies
    - Senior work/projects
    - M.S./M.A. theses
    - Ph.D. dissertations
- Quality of student work products supervised through individualized study
- Evidence of student progress through completion rates and finished products of individualized study
- Administration of teaching (e.g., managing multiple sections, coordinator for team taught course, TA supervisor)

Advising Activities

Advising is the responsibility of all principal faculty and includes, but is not limited to, the following types of activities: assisting undergraduates with selection of courses and logistics for registration such as scheduling, deadlines, and procedures; discussion with graduate and undergraduate students about their academic and career plans and opportunities; referral of students to university colleagues or services as appropriate.

Although each Principal Faculty member has a special obligation to advise students with regard to class work and to serve as a department or school advisor for students majoring in his or her area, other advising service to the student body may include but is not limited to the following:

- Serving as a critic for presentations/performances
- Assisting students with thesis show exhibition
- Advising in student activities and student council
- Advising incoming students and non-majors

Standards for Advising

Advising requires knowledge of the curriculum, academic programs and requirements, university and divisional services and policies, as well as the ability to have meaningful conversations with students about their academic program, progress, and aspirations. An advisor should provide effective two-way communication, be approachable, and promote student decision-making, independence, and accountability. An advisor is expected to conduct him/herself as a representative of the university.

Excellent

Performance is of the highest quality and far exceeds expectations as demonstrated through self-assessment and recognized through administrative review and student evaluation; demonstrates competency in all areas below.

Good

Performance exceeds expectations as demonstrated through self-assessment and recognized through administrative review and student evaluation; demonstrates competency in most areas below.

Acceptable

Performance meets expectations as demonstrated through self-assessment and recognized through administrative review and student evaluation; demonstrates competency in many of the areas below. Improvement is necessary.

Unacceptable

Performance does not meet expectation; competency is not demonstrated in many of the qualities listed below, as appropriate to the field. Faculty whose performance is deemed unacceptable at the time of annual review will not be considered for merit increases or paid leaves. An evaluation of unacceptable can affect the likelihood of promotion to extended employment or tenure or promotion in rank

Specific Criteria Used for Evaluation of Advising and Supervision

- Accessibility to students by providing sufficient office hours at appropriate times and ensuring accessibility via email and/or phone outside of office hours
- Good rapport with students: productive, positive interactions with students

- Ability to help students focus their studies and design an appropriate course of study
- Commitment to working closely with students to select courses, discuss concerns and issues related to their academic work, and help with long-range academic and professional planning
- Demonstrated knowledge of the curriculum, field, and institutional services
- Ability to mentor students and guide them in their future paths

Evidence considered:

- Self-assessment of advising effectiveness
- Student evaluations of advising effectiveness and/or student satisfaction surveys
- Reports written by directors of advising or other appropriate administrators including numbers of students
- Annual review(s)
- Evidence of participation in departmental, college, and/or university training programs/workshops, forums, or organized discussions related to advising
- Demonstrated knowledge of the curriculum
- Consistency and correctness in the advice given to students measured through chair's and/or advising director reports
- Where appropriate, initiation of new, or significant revision of existing, advising programs

Professional Work, Scholarship

Scholarly, creative, and/or or professional achievement

Clarifying the definition of scholarship

Instead of using the terms "research," "creative activity, or "professional practice," we propose to think of these activities more broadly as "**scholarship**", and define scholarship within the conceptual framework introduced by Ernst Boyer of the Carnegie Institution for the Advancement of Learning.[3]

Methodological Definition of Scholarship

Scholarship is defined not only by reference to the product but also to the process by which it was produced. Both qualitative and quantitative measures should be considered in assessing the significance and impact of scholarly and creative endeavors.

While it is generally agreed that there is a wide range of creative and professional activity among faculty, an acceptable form of scholarship is defined as any activity that fosters innovation, critical perspective and theoretical/analytical reflection, as well as clearly demonstrates an ongoing engagement with both the traditions and contemporary

[3] Boyer, Ernest L. (1990) *Scholarship Reconsidered: Priorities of the Professoriate*. San Francisco: Jossey-Bass. Pp. 16-24.

issues in the field. In this way, the University encourages the continued intellectual and professional growth of its faculty members.

Creative, original, and rigorous scholarship along with its dissemination in appropriate forms provides crucial indications of such growth. Thus, scholarship and its quantifiable and qualitative results should provide clear evidence of an ability to generate new knowledge and influence the shape of important debates within the candidate's field and beyond. No one displays such qualities in all of his or her scholarly and professional work; yet promotion to extended employment or tenure should be based on substantial indications of an ability to make such contributions according to the criteria and measures in place for the evaluation of scholarship.

Types of Scholarship

Scholarship for principal faculty eligible for Tenure or Extended Employment may be of one or more of the following types:[4]

The scholarship of discovery[5]

This is the generation of new knowledge through original research/creative activity and publication/production of the findings. Examples of scholarship in this area include the publications of books, articles, and reviews; the direction or production of films or videos; and exhibitions or performances of artwork, funded research, and sponsored projects. The scholarship of discovery is most recognizable as "research," the search for knowledge for its own sake, and the principled mode of inquiry that characterizes this quest.

The scholarship of integration

This is the compilation, synthesis, and transmission of current knowledge. Examples of this type of scholarship include the publication of collected, edited volumes and editorships of professional journals. The scholarship of integration is in making informed connections across the disciplines, to understand the broad and broadest contexts in which one's work fits.

The scholarship of application

This refers to professional practice. Examples of this type of scholarship include the professional output of faculty who work in the public or private sector, such as policy makers, human rights advocates, designers, video editors, and music and sound engineers. The scholarship of application seeks to bridge the gap between the worlds inside and outside of the academy and to center this deeply and squarely within the context of disciplinary understanding (i.e. strengthening collaborative ties between academics and practice).

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[4] Types of scholarship adapted from: Robert M. Diamond, *Preparing for Promotion, Tenure, and Annual Review: A Faculty Guide*, 2nd ed. (Bolton, Mass: Anker Publishing Company, Inc., 2004), p. 18, and Texas A&M University System Health Science Center, Appendix A: "Promotion Criteria.")

[5] The scholarship of discovery is the only form of scholarship accepted at The New School for Social Research for tenure promotion consistent with the mission of the division.

The scholarship of teaching

The scholarship of teaching seeks to bridge the distance between intrapersonal and interpersonal understanding, to do so in a way that is fully informed by the scholarships of discovery, integration, and application as crafted by a study of the discipline and disseminated in the field to ensure the transfer of knowledge. Examples of this type of scholarship include the publication of textbooks and the publication of pedagogical materials. Excellence in teaching is informed and sustained by an active professional life. Teaching is revivified and intellectual and/or creative vigor enhanced by the work faculty members do in developing new knowledge, developing new ways of doing and seeing, and helping others view knowledge in new ways.

The scholarship of creative work in the performing arts[6]

The scholarship of creative work in the performing arts recognizes the innovative nature of artistic creation. Excellence in the teaching of students aspiring to careers in the worlds of music and theater is informed by the faculty member's own creativity. Such artistry includes creating works that are performed, or performing works by others, judged in the light of such criteria as originality, scope, richness, and depth of creative expression. Excellence of creative work in the performing arts should therefore be confirmed by professional activities addressed to communities larger than the university where the nature of and the response to those activities can be assessed and found to be of a high standard.

Standards For Scholarship

An activity will be considered scholarly if it meets the following criteria[7]:

- The activity or work requires a high level of discipline-related or interdisciplinary expertise.
- The activity or work is conducted in a scholarly manner with:
  - Clear goals
  - Adequate preparation
  - Appropriate methodology
- The activity or work and its results are appropriately documented and disseminated. This reporting should include a reflective component that addresses the significance of the work, the process that was followed, and the outcomes of the research, inquiry, or activity.
- The activity or work has significance beyond the individual context:
  - May break new ground
  - Can be replicated or elaborated
- The activity or work, both process and product or result, is reviewed and judged to be meritorious and significant by a panel of one's peers.

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[6] The scholarship of creative work in the performing arts is only relevant to faculty in the performing arts schools.

[7] Methods of scholarship adapted from: Robert M. Diamond, *Preparing for Promotion, Tenure, and Annual Review: A Faculty Guide*, 2nd ed. (Bolton, Mass: Anker Publishing Company, Inc., 2004), p. 20.

Excellent

Performance is of the highest quality as demonstrated by candidate's self-assessment and recognized through external and internal peer review; far exceeds standards by demonstrating competency in most of the areas below, as appropriate to the field.

Good

Performance exceeds expectations as demonstrated by candidate's self-assessment and recognized through external and internal peer review and by demonstrating competency in many of the areas below, as appropriate to the field.

Acceptable

Performance meets expectations as demonstrated by candidate's self-assessment and recognized through external and internal peer review and by demonstrating competency in some of the areas below, as appropriate to the field. There is room for improvement.

Unacceptable

Performance does not meet expectation; competency is not demonstrated in many of the qualities listed below, as appropriate to the field. Faculty whose performance is deemed unacceptable at the time of annual review will not be considered for merit increases or paid leaves. An evaluation of unacceptable can affect the likelihood of promotion to extended employment or tenure or promotion in rank

Specific Criteria Used for the Evaluation of Scholarship

The mechanism for evaluating scholarship activity should remain consistent with the guidelines defined in the university's Full-Time Faculty Handbook (see p. 24).

It is generally recognized that many of the creative activities that Principal Faculty are engaged with involve various forms of scholarship and often do not receive public accolades or recognition from peers as might be the case with more traditional forms of scholarship. Therefore faculty members not regularly publishing, exhibiting, participating in important online discussions and conferences are strongly encouraged to make annual regular public presentations (in the form of a lecture, screening, performance) open to the academic community beyond the department/program level in order to disseminate their scholarship and get feedback from others.

Written and oral manifestations of scholarship may include both writing for traditional academic journals and presentation at academic conferences, as well as using newer forms of communication, including blogs and online forums. The value of each of these manifestations will be judged according to both peer-review and community impact; not all manifestations will be accorded the same weight.

Scholarship includes:

- Publications: books, articles, reviews, or essays (in print or online)

- Unpublished manuscripts which have been the basis for awards, grants, fellowships, or residencies
- Editorial work: editing or publishing of journals, anthologies, and books
- Ongoing scholarship projects (works in progress)
- Artistic publications and production: fictional or creative works, articles, reviews or essays (in print or online); direction or production of films, video or multimedia productions; exhibitions or performances of artwork; achievements in design and engineering including patents
- A body of creative work that contributes to film, video, or multimedia production
- Documented creative work such as performances, exhibitions, recordings
- Curatorial work/organizational activity: curating art exhibitions or organizing conferences and symposia, film festivals, and readings of creative work
- Development of innovative academic programs which are emulated and duplicated in the field
- Professional activity: the professional output of faculty who work in the public or professional sphere, such as policy-makers, designers, video editors and postproduction company owners, corporate media managers, music and sound engineers, etc.
- For performing arts faculty, creating works that are performed, or performing works by others, judged in the light of such criteria as originality, scope, richness, and depth of creative expression.
- Community activity outside the university: serving on disciplinary and/or professional boards and advisory committees; professional consulting; holding an office in professional organizations; judging contests and grant competitions; reviewing for journals, presses and grant agencies; organizing sections for professional associations (cross-listed with Service)
- Presentations and readings: presentations of papers at colloquia and conferences; readings of creative work; presenting invited or guest lectures
- Public lectures, programs, performances, and appearances
- Public talks or seminars held at the university to present ongoing projects or works-in-process to the academic community
- Honors: receipt of fellowships and/or awards
- The development of new intellectual property, especially in the form of utility patents
- Successful grant and fellowship applications, or grant submission where highly competitive
- Edited or synthetic works and works of translation
- Presentations at professional conferences or meetings
- Organization of conferences, important public events, or other professional meetings

Evidence considered:

- The impact and dissemination of the work on a local, national, or international level
- The quality and significance of the venues and media through which the work is disseminated

- Recognition of the work by peers in the field
- Reviews of publications and productions
- Solicited letters from outside referees
- Participation in the profession with the surrounding community
- Citation in other scholarly or creative work
- Documented consultancies
- Manuscripts, videos/recordings, and photographs of productions and exhibits

Service/Citizenship

As an institution dedicated to teaching and learning, the University relies upon the contributions of its entire faculty to enrich the educational community through their active presence as well as their participation in shared governance. Decisions about academic programs, curriculum, student life, academic affairs, and hiring and reappointment require the active engagement of the faculty. Service through committee participation, program development, and other contributions, as well as engagement in ongoing discussions, is an essential part of a faculty member's contributions.

Every Principal Faculty member is part of the academic community at all levels, and is expected to participate in the life of the school by serving on committees, working groups, or task forces. Faculty must expand their professional and pedagogical skills on a regular basis by participating in events related to their field which will enable them to maintain professional growth as educators.

Service to students and the academic community requires a high level of commitment to the daily workings of the institution, whether it be along the lines of service in academic administration, student advising, curriculum development, or public programming. Because of the university's commitment to social change and community involvement, service includes that given to the program/department, division, university, and the community at large, insofar as the last contributes to and furthers the mission of the division and the university. The quality of the candidate's involvement is as significant as the quantity.

Faculty must share their experience with newly-hired teachers and play an active role as mentors in their area of expertise. Principal Faculty are expected to be involved citizens of the division, the University, New York City, and the larger community.

Standards For Service

A citizen of the university is one who is committed to liberal learning, including social change and community involvement, and who is actively engaged in the intellectual and civic life of the department/program, division and University. A citizen is one who is collegial, responsive to the needs of the student and colleagues.

Excellent

Performance is of the highest quality; far exceeds standards in most areas below.

Good

Performance exceeds standards in many areas below.

Acceptable

Performance meets expectations in some areas below. There is room for improvement.

Unacceptable

Performance does not meet expectation; competency is not demonstrated in many of the qualities listed below, as appropriate to the field. Faculty whose performance is deemed unacceptable at the time of annual review will not be considered for merit increases or paid leaves. An evaluation of unacceptable can affect the likelihood of promotion to extended employment or tenure or promotion in rank

Specific Criteria Used for the Evaluation of Service

- Chairing or serving as secretary of faculty, divisional, or university-wide committees
- Service as department chair, director/coordinator, or supervisor
- Ability to lead and organize others and demonstrate evidence of administrative follow-through
- Leadership in divisional and University decision-making
- Service as faculty advisor to student groups or organizations
- Fulfillment of special assignments
- Mentoring junior or part-time faculty
- Contribution to curriculum development and enhancement
- Service to the community as professional expert/advisor
- Alumni relations
- Participation and responsiveness on faculty, divisional, or university-wide committees
- Participation in the decision-making and curriculum development processes
- Participation in faculty governance (e.g., department/divisional/university faculty meetings and committees, and the Faculty Senate)
- Attendance at student events such as conferences, recruiting sessions, theater performances, readings
- Attendance at divisional functions, such as exhibitions, openings, performances, lectures, commencement, convocation, and other community events
- Representing the program, division or university in internal or external public forums and venues
- Planning of curriculum-related enrichment activities or co-curricular requirements such as hosting speakers, lectures or festivals
- Reviewing portfolios, grading general exams, and other service to students

- Organization of department/program, division, or university-wide events, activities, panel discussions, lecture or reading series, or student groups
- Organizing material and advising students with special interests (e.g., graduate school, advanced training programs)
- Giving department- or university-wide lectures
- Community activity outside the university: serving on disciplinary and/or professional boards and advisory committees; professional consulting; holding an office in professional organizations; judging contests and grant competitions; reviewing for journals, presses and grant agencies; organizing sections for professional associations (cross-listed with Scholarship)
- Public service insofar as it contributes to the mission of the division or university or constitutes a professional activity relevant to the candidate's teaching and academic program.

Evidence considered:

- Evidence of service in leadership roles such as program and/or curriculum development and oversight
- Evidence of participation on college and university committees, including dean's service report, annual faculty addenda and committee year-end reports
- Year-end committee reports
- Chairs' reports, commenting on service to the department, participation in curriculum planning, etc.
- Development of opportunities for students, e.g., internships, service opportunities
- Other evidence of community participation in organizing conferences, speaker series or seminars, study abroad programs, supervision of student groups, etc.
- Evidence of outreach beyond the college community
- Evidence of outreach on behalf of the college beyond the college community
- Solicited letters from outside referees, where appropriate

Distinction between Tenure, Extended Employment, and Term Appointments

Category	Tenure	Extended Employment	Term Appointments
Job Security	Continuous employment provided faculty continue to meet performance standards	Continuous employment provided institutional need continues and faculty continue to meet performance standards	No presumption of continuous employment. Contracts may be for 1 to 5 years, renewable up to a total of 10 years
Evaluative Criteria for promotion: Teaching, Scholarship, Service	Excellence in scholarship and excellence in either teaching or service with good level in the remaining category	Excellence in teaching and excellence in either scholarship or service with good level in the remaining category	Not applicable
Duration of Scholarly Activity	Ongoing	Ongoing	Will remain current in field
Kinds of scholarly work considered	Scholarship of discovery[8] Scholarship of integration Scholarship of application Scholarship of teaching Scholarship of creative work in the performing arts[9]	Scholarship of discovery Scholarship of integration Scholarship of application Scholarship of teaching Scholarship of creative work in the performing arts	Scholarship of discovery Scholarship of integration Scholarship of application Scholarship of teaching Scholarship of creative work in the performing arts
External Referees (candidate may suggest names)	At least 5 letters from leading scholars and/or practitioners in the field. Dean or chair may make further inquiries	At least 5 letters from qualified scholars and/or practitioners in the field. Dean or chair may make further inquiries	No external referees required after initial appointment although peers may be consulted for reappointment.
Negative Promotion Review	One year of employment prior to actual termination	One year of employment prior to actual termination	Not applicable
Annual Performance Review	Yes	Yes	Yes
Post-Appointment Review	Post Tenure Review if triggered by two consecutive unsatisfactory annual reviews	Institutional Suitability Review based on assessment of institutional need and performance review	Administrative review at end of contract if renewal of line is approved
Change of Appointment Type	None	Faculty originally hired on Renewable Term contracts and whose official start date began prior to May 2006 and who are promoted to Extended Employment status, may make a one time request for a review for Tenure with an accompanying switch in employment status at the end of either the first or second Extended Employment term.	While a dean or chair may recommend that a particular faculty member on a term appointment be switched to a principal appointment, there is no presumption that the request will be granted. If it is granted, the faculty member must stand for peer review according to the standards and procedures set forth for the review of principal faculty.

[8] The scholarship of discovery is the only form of scholarship accepted at The New School for Social Research for tenure promotion as consistent with the mission of the division.
[9] The scholarship of creative work in the performing arts is only relevant to faculty in the performing arts schools consistent with their mission.