The New School Full-Time Faculty Handbook

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Introduction

The *Full-Time Faculty Handbook* was created in 1995 and was substantially revised in 2006, in 2010, and in 2013. It will be further updated whenever necessary, according to the process for revision described in Section X.

The *Handbook* contains the approved policies and procedures of the university concerning the terms and conditions of faculty employment. All principal faculty, regardless of their date of hire, are governed by the current policies and procedures of the university.

One purpose of these policies and procedures is to ensure fairness, clarity, and equity for principal faculty across the university, while allowing for appropriate divisional policies and procedures that reflect the distinctive character and culture of the divisions.

Although this document is not intended to create a contract between the university and its employees, the *Handbook* does specify policies and procedures that articulate rights, protections and responsibilities for faculty – and it is important for faculty members to become familiar with the policies and procedures specifically described in this handbook.

General Academic Policies

Policies change in response to unanticipated developments both at The New School and in higher education in general. Each year, new facilities, centers, institutes, and programs come into being. New faculty and trustee policies are enacted, and various procedures and benefits are modified.

The University's detailed academic policies, including those on academic freedom, intellectual property, affirmative action, and teaching awards are posted on The New School's website. Other relevant information, including the full text of the current handbook, can be found in the same place.

The editors of this website, like the authors of this handbook, have made every effort to ensure the accuracy of the information it contains. When circumstances require a formal confirmation of the relevant information, a faculty member should consult the Provost's Office directly; our staff will be pleased to assist in answering any questions that may arise about this material.

Faculty Responsibilities

The basic responsibilities of all principal faculty members include:

- Meeting high standards of scholarly, creative, or professional achievement.
- Teaching effectively.

- Serving the needs of students. Being available to full-time and part-time students to meet in person, through divisionally approved, conspicuously posted, and regularly scheduled office hours, and to respond to inquiries in a timely way through electronic means as appropriate in accordance with divisional guidelines set by the dean's office.
- Contributing to a collegial and collaborative work environment, and serving on divisional and university committees regarding curricular development, program and peer reviews, etc.
- Adhering 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 Outlines, and Submission of Grades.

I. Faculty Categories, Appointment Types, and Ranks

Faculty Categories and Appointment Types

From its inception, The New School has made a special effort to foster innovative forms of inquiry and boundary-crossing communities of research and creative practice. At The New School, practitioners whose work is recognized in their professions 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 has three types of appointments for full-time faculty:

- Principal Faculty, consisting of full-time faculty with
 - o Renewable-Term Appointments (RTA)
 - Tenure-Track/Tenure Appointments
 - Extended-Employment Appointments (EE)
- Associate Faculty, consisting of full-time faculty with
 - o Fixed-Term Appointments
 - Visiting Appointments
- Faculty Fellows, consisting of full-time faculty with
 - Post-Doc Fellowships
 - Research Fellowships

Principal Faculty are responsible for planning and managing the curriculum, the supervision of junior and part-time colleagues, and maintaining academic quality. They are expected to be effective teachers and student advisors, to play an active role in their professions, departments, divisions, and university governance, and to meet standards of scholarly, creative, or professional achievement as established through their divisions/schools.

All full-time faculty – Principals, Associates, and Fellows – are subject to review as well as periodic substantive evaluations; any faculty member may be terminated by the university for cause or under extraordinary circumstances, as discussed in section IX ("Separation").

When a faculty position becomes vacant or a new appointment is needed, the dean of that division shall consult with the provost. All initial appointments to tenure-track, tenure, and RTA require an open national search to fill the line authorized by the provost. After this authorization has been obtained, the dean shall follow university policies and procedures for filling the position. In all cases, these policies shall be consistent with Equal Employment Opportunity 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.

Renewable-Term Appointments

Renewable-term faculty members are responsible for teaching and service, and providing expertise in their fields or professions. They are expected to be effective teachers and advisors to students, and to play an active role in their departments/programs. Renewable term appointments are offered to faculty members who demonstrate excellence either in teaching, service, or scholarly or creative endeavor. Renewable term appointments will normally be made for periods of three to five years, based on specific job expectations aligned with institutional need; they may be renewed indefinitely, subject to faculty members' meeting expectations for performance, and also subject to institutional need. Renewable term appointments carry no presumption of continuing employment beyond the specified contract period. Under some circumstances, senior renewable-term faculty can be considered for promotion to Extended Employment.

Extended Employment

Faculty with extended employment appointments have been granted 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 carries a presumption of continuous employment, subject to a triggered and post-promotion performance review, and subject to demonstrable institutional need.

A qualified RTA faculty member may be nominated by a dean to apply for EE after three contract renewals or ten years, whichever comes first. In addition, a qualified RTA faculty member may ask once to be considered for EE. To qualify for EE, an RTA faculty member must generally demonstrate ongoing excellence in the three categories of pedagogy, teaching, and learning. But a faculty member may elect instead to be evaluated for ongoing excellence in service, or in scholarly, creative, or professional activities, with the third category requiring an ongoing and good level of performance. The determination of what areas are to be designated as "excellent" will depend on institutional need as well as the prior job expectations of the RTA faculty. Applying for EE does not jeopardize a renewable term appointment.

Tenure and Tenure-Track

Tenure-Track

All new junior tenure-track appointments are for a four-year probationary period. In the fourth year of that period, a faculty member undergoes a post-probationary review (PPR), which may result in reappointment for an additional three-year period, or in termination. Tenure-track appointments are designed for faculty who are expected to excel in scholarly, creative, or professional activities. 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 third category requiring an ongoing and good level of performance.

Tenure

Faculty with tenure are those who have not only proven sustained excellence in their scholarly, creative, or professional activities, and in their teaching or service, but have also shown commitment to maintaining these standards. They have received 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 limits of time, subject to triggered post-promotion performance review.

Fixed-Term Appointments

Faculty members with fixed-term appointments provide temporary academic services. Appointments are based upon the experience and academic background of the candidate, and programmatic needs. Fixed-term appointments may be made for periods of one to three years. Fixed-term appointments may *not* be renewed, except in special circumstances, and then only once, and for a total term not to exceed three years. Faculty with fixed-term appointments may also apply for RTA and tenure-track jobs involving an open national search.

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. Other instructor appointments of a short-term nature, made on non-renewable contracts, may be made based on program needs.

Full-Time Faculty Ranks

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 fields.

Assistant Professor

The rank of Assistant Professor is generally awarded upon appointment to tenure-track faculty. The same rank can be awarded to RTA faculty who possess a terminal degree in their discipline or have the equivalent in scholarly/professional/creative practice and demonstrate excellence in one of the following three categories and a good level of performance in the remaining two: scholarly, professional, or creative practice as recognized in the relevant fields or disciplines; pedagogy, teaching, and learning; service.

Associate Professor

The rank of Associate Professor is awarded to tenure-track, tenure, RTA, and EE faculty for demonstrating excellence in two of the following three categories and a good level of performance in the remaining one: scholarly, professional, or creative practice that has gained national or international recognition and is recognized for its distinction in the relevant field or discipline; pedagogy, teaching, and learning; service. The rank of Associate Professor is

typically given to tenure-track faculty at the time that tenure is awarded. The same rank for RTA faculty would typically not be considered before the seventh year of employment as an RTA faculty member. RTA candidates who are performing above and beyond the minimum requirements by their second reappointment may apply to their deans to have their rank review in tandem with their second reappointment.

Professor

Having demonstrated excellence at time of promotion to Associate Professor, the rank of Full Professor is awarded for substantial achievements either in the field of pedagogy, teaching, and learning; and/or in scholarly, professional, or creative practice since promotion to an Associate Professor which has gained national and/or international recognition. All faculty members promoted to Full Professor are expected to have continued to assume and undertake important leadership roles in the university. Typically, promotion to Full Professor takes place no sooner than five years after promotion to Associate Professor. There are two paths for promotion to Full Professor:

- i. On the pedagogy path, the faculty member will have demonstrated outstanding pedagogical leadership that could include but is not limited to the development of new academic programs and/or amendments to existing programs that help determine the future path of The New School; curricular development; and pedagogic innovation. In addition, the faculty member will have maintained a high standard of scholarly, professional, or creative practice; advising, and mentoring.
- ii. On the scholarship, professional or creative practice path, the faculty member will have continued to produce substantial work recognized for its distinction in the relevant fields or disciplines (this can include earlier work that has demonstratively gained in significance since prior promotion) and will have maintained a high standard of pedagogy, teaching, and learning, advising, and mentoring.

Visiting faculty hold the rank of Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor, or Visiting Professor of Professional Practice based on their home institution designation or level of education and scholarly/professional/creative accomplishment.

Other Titles

Outside of the ranking system, The New School has three other titles for faculty:

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 fields. In some cases, faculty with equivalent achievements at other institutions may be hired with the rank of Distinguished Professor.

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 access to certain university resources and facilities.

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.

II. 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.

In general, principal faculty are expected to teach five courses or their equivalent annually.

Principal faculty are also 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 represent the interests and strengths of the faculty member, while simultaneously furthering the goals of the division/school and the university.

Workload Responsibility Guidelines

The primary responsibilities of full-time faculty are imparting knowledge to others (teaching or other instructional activities), creating new knowledge (research, scholarly, 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 full-time faculty members to be engaged in the following three workload areas at all times:

- Instructional duties.
- Research and/or professional and creative practice.
- 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 typically 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, and 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.

For the purposes of 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 technology; unusually large class sizes, especially in the absence of teaching or research assistants or where the number of assistants is inadequate; research productivity demands; student-teacher supervision; thesis/dissertation supervision load; supervision of fieldwork; supervision of students in clinical settings; or extraordinary service on a university-wide committee.

In the area of research and scholarly or professional and creative activities, typically a minimum of twenty percent of full-time 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.

Framework and 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 program and the school or division. The department's overall instructional or course assignments shall be consistent with student needs and those of the department or program. The faculty of each department or program are 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 member 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 members 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 the faculty latitude to explore academic and professional opportunities as they arise, contributions to the university can be maximized.

Process for Workload Assignments

Role of the Faculty Member

The workload obligation of an individual faculty member should reflect the proportion of effort within each of the three core areas of responsibility that best represent the interests and strengths of that member, while simultaneously furthering the excellence of both the department's and the university's academic, service, and research and scholarly 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 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 a full-time faculty member:

- At the time of negotiation of the initial faculty appointment or reappointment to a new renewable-term appointment;
- At the time of appointment for a visiting faculty member;
- At the beginning of each probationary term for a faculty member eligible for extended employment or tenure;
- At the time of award of tenure or extended employment;
- Following the conclusion of academic leave;
- At the time of promotion for a tenured or an extended-employment faculty member.
- Workload assignments will also be reviewed annually, as part of an annual review.

At any other time when a departmental need or faculty concern arises, faculty, chairs, or the dean can initiate a discussion of workload. Logically, one such time may 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. A faculty member who objects 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 a faculty member objects to the assignment, the dean shall review the case and render a final decision. 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 authority to resolve any issues of concern to the faculty member. However, the associate dean's or chair/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 faculty member's concerns, will allow the faculty member the opportunity to express them, and will act expeditiously to resolve them. If the concerns are not resolved with the dean, faculty may appeal to the provost for a review of the matter.

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 formulating their responsibilities 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.

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.

Role of the Provost

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.

University Policy on Outside Employment of Full-Time Faculty Members

Adopted April 19, 1985

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 services 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.

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 approved in advance by the appropriate dean and by the provost.

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 parttime 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 faculty member has the obligation to inform the relevant chair and dean about the nature and extent of all outside professional activities and continuing commitments. Principal faculty members must obtain permission for such activities and it is their responsibility to keep chairs and deans up to date in this regard. In addition, the faculty member is expected to get permission from the relevant chair and dean before undertaking any significant new outside professional activities or outside 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.

III. Faculty and Program Reviews

Faculty Reviews

The New School has five types of faculty reviews: Annual Performance Reviews, which include the Annual Faculty Self-Report; Reappointment Reviews; Rank Reviews; Promotion Reviews; and Post-Promotion Reviews. Each review type is described below. Reviews for rank and for promotion are sometimes independently conducted, according to differing criteria, in order to allow the university to acknowledge appropriately the distinctive contributions of renewable-term, tenure-track, tenure, and extended-employment faculty.

Annual Performance Review

An evaluation of every faculty member's performance is generally held each year. The annual performance review enables deans and program chairs to provide faculty with development support and mentoring, when needed, as well as to assess faculty progress and expectations in preparation for promotion and reappointment reviews. Annual performance reviews are also intended to ensure faculty productivity and the maintenance of high standards. All faculty are asked to complete an annual self-report for the dean. Included in the report are: instructional activities, creative scholarship, and other scholarly, professional, and creative work, service activities, and recognition during the prior year. Reviewed at the division/school level along with teaching evaluations and classroom observations (when available), these annual reports become part of the basis for salary adjustments and leaves, and also become part of the personnel file. Failure to meet obligations and standards established by the program, department, school, and division, 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 that requires prompt remedial action for all principal fulltime faculty and may lead to termination for fixed-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 renewable-term, extendedemployment, or tenured faculty member will result in a post-promotion review and may result in termination.

Reappointment Reviews

For Tenure-Track Appointments

In the fall semester of the fourth year, probationary tenure-track faculty will stand for a post-probationary review (PPR). Faculty are reappointed on a tenure-track who demonstrate ongoing excellence in their scholarly, creative, or professional activities as well as ongoing excellence in either pedagogy, teaching, and learning; service; with the remaining category requiring an ongoing good level of performance.

For Renewable-Term Appointments (RTA)

Renewable-term faculty members are responsible for teaching and service and providing expertise in their field or profession based on specific job expectations aligned with institutional need. They are expected to be effective teachers and may advise students and play an active role in their department program. Renewable-term appointments are made for faculty who demonstrate excellence either in pedagogy, teaching, and learning; service; or in scholarly, professional, and creative practice. Renewable-term appointments will normally be made for periods of three to five years and may be renewed indefinitely, subject to meeting expectations for performance, and also subject to institutional need. Renewable-term appointments carry no presumption of continuous employment beyond the specified contract period. Under some circumstances, senior renewable-term faculty can be considered for promotion to extended employment.

Rank Reviews

Assistant Professor

The rank of Assistant Professor is generally awarded upon appointment to tenure-track faculty. The same rank can be awarded to RTA faculty who possess a terminal degree in their discipline or have the equivalent in scholarly/professional/creative practice and demonstrate excellence in one of the following three categories and a good level of performance in the remaining two: scholarly, professional or creative practice as recognized in the relevant field or disciplines; pedagogy, teaching, and learning; service.

Associate Professor

The rank of Associate Professor is awarded to tenure-track, tenure, RTA and EE faculty for demonstrating excellence in two of the following three categories and a good level of performance in the remaining one: scholarly, professional, or creative practice work that has gained national or international recognition and been recognized for its distinction in the relevant field or discipline; pedagogy, teaching, and learning; service. The rank of Associate Professor is typically given to tenure-track faculty at the time tenure is awarded. The same rank for RTA faculty would typically not be considered before the seventh year of employment as an RTA faculty member. RTA candidates who are performing above and beyond the minimum requirements by their second reappointment may apply to their dean to have their rank review in tandem with their second reappointment.

Professor

Having demonstrated excellence at the time of promotion to Associate Professor, the rank of Full Professor is awarded for substantial achievement in the field of pedagogy, teaching, and learning; and/or in scholarly, professional, or creative practice since promotion to an Associate Professor which has gained national and/or international recognition. All faculty members promoted to Full Professor are expected to have continued to assume and undertake important leadership roles in the university. Typically, promotion to Full Professor takes place no sooner than five years after promotion to Associate Professor. There are two paths for promotion to Full Professor:

- i. On the pedagogy path, the faculty member will have demonstrated outstanding pedagogical leadership that could include but is not limited to the development of new academic programs and/or amendments to existing programs that help determine the future path of The New School; curricular development, and pedagogic innovation. In addition, the faculty member will have maintained a high standard of scholarship, professional or creative practice, advising, and mentoring.
- ii. On the scholarship, professional or creative practice path, the faculty member will have continued to produce substantial work recognized for its distinction in the relevant field or discipline/s (this can include earlier work that has demonstratively gained in significance since prior promotion) and will have maintained a high standard of pedagogy, teaching, and learning; advising, and mentoring.

Promotion Reviews

For Extended Employment

Application for extended-employment appointments may be made by exceptional senior RTA faculty, typically after 10 years. Applicants must demonstrate ongoing excellence in two of three areas: scholarly, professional, or creative practice as recognized in the relevant field or disciplines; pedagogy, teaching, and learning; service. The remaining category requires an ongoing good level of performance.

For Tenure

In the fall semester of the third year after a successful post-probationary review (PPR), faculty will stand for tenure. Tenure appointments are made to faculty who demonstrate ongoing excellence in their scholarly, professional, or creative practice, as well as ongoing excellence in either teaching and learning; or service; with the remaining category requiring an ongoing and good level of performance. Faculty who are to be appointed with tenure must go through a New School tenure-promotion review. Faculty promoted to tenure and extended employment will be automatically promoted to Associate Professor unless they already hold such rank.

Post-Promotion Reviews for Tenure and EE Faculty

Faculty with extended employment (EE) and tenure are not exempt from ongoing evaluation. They, like their renewable-term (RTA) counterparts, have an obligation to maintain their performance as outstanding teachers, exemplary scholars, and good citizens of the university. Likewise, the university has an obligation to work with faculty members in a constructive manner to promote and advance faculty development.

Post-promotion reviews shall be mandatory when triggered by two consecutive negative annual performance evaluations for tenured or EE faculty. Annual reviews for years spent on leave without pay shall be disregarded for the purposes of this calculation. The review shall be conducted by an ad hoc committee convened by the appropriate division. Upon recommendation of the head or chair and with the approval of the dean, a post-promotion review may be waived or postponed if there are extenuating circumstances that prohibit a meaningful review. Health problems exemplify extenuating circumstances.

This formal institutional evaluation offers a place for a more in-depth discussion of a faculty member's progress over the course of his/her career than is possible in annual reviews. The post-promotion review is meant to assist both the university and faculty in recognizing the strengths and weaknesses of the 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 termination of tenured or EE faculty on grounds of incompetence, malfeasance, or failure to perform duties, as well as on grounds of program termination or the university's bona fide financial exigency.

The purpose of the post-promotion review is to focus the perspective of the faculty peers on the full scope of the 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 an obligation to provide a dossier with all documents, materials, and statements that he/she believes to be relevant and necessary to the review. The faculty member will be given no fewer 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 considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of materials supplied to the committee will be shared with the faculty member. The faculty member has the right to provide a written rebuttal of any discrediting 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 scholarly, professional and creative practice, and service. The burden of proving unsatisfactory performance is placed upon 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 and in fact do meet 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 minimum
 expectations. The committee may then recommend termination for cause, a sanction
 other than termination for cause, or a single period of remediation not to exceed two
 years.
- Termination for cause: If termination 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 termination, then the procedures in the termination-for-cause section will begin immediately. If the president decides to proceed with the termination, the faculty member shall be provided with a statement of charges and notification of a right to a formal hearing in accordance with termination-for-cause policy.
- Sanction other than termination 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 termination 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 those 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 termination for cause or a sanction other than termination for cause following the procedures described above.

Criteria for Faculty Reviews

Basic principles:

- To the greatest extent feasible, given the capacity of the division, structures and procedures should aim to enhance shared faculty governance, by insuring meaningful consultation between principal faculty and administrative leaders.
- Principal faculty should be given every chance possible to pursue successful and satisfying professional careers at The New School: the structure of mentoring and annual evaluations is a crucial ingredient in achieving this goal.
- The procedures and criteria for promotion and review should be transparent and fair.

Divisions require flexibility to shape their practices and processes to meet their local needs and culture, recognizing that in all cases these processes must be consistent with overall university policy. In some areas, however, university practices should be widely shared to insure fairness to faculty who often work across the university. A shared guideline for reappointment and promotion processes throughout the university is one such area:

The Provost's Office requires that all divisions create two committees at two different stages of the reappointment and promotion process. In order to make these processes broadly consistent across divisions:

• Each division needs to create a set of specialized ad hoc committees to conduct a rigorous peer review of full-time faculty members as needed. These committees should consist of experts in the relevant area who are able to document the scholarly and professional achievements of the faculty members under review in sufficient depth and detail that a dean or provost can review the reasoning the committees have used to arrive at their conclusions. Who should constitute the relevant specialized peer group is sometimes self-evident, but in some cases the rationale may need to be spelled out.

• Each division needs to create a division-wide review committee of some sort, to advise the dean about the recommendations of the ad hoc peer-review committees and to insure that their procedures conform to appropriate divisional standards. Such committees will help foster links between full-time faculty that are desirable in themselves, as well as helping to insure that rigorous procedural and evaluative norms are consistently upheld in all evaluations of faculty up for reappointment or promotion.

The specific form of these two required types of review committee can vary by division.

In addition, after extensive deliberations and discussion in all divisions, the provost has concluded that divisions will have the discretion to recommend tenure-track and tenure-promotion committee members who are appropriately qualified and experienced principal full-time faculty. It is expected that in tenure cases, tenured faculty will be in the majority and all review committees will continue to be vetted by the provost.

Values of fairness and equity of treatment argue for uniform policies across the university; but differences in culture and aspiration, where pedagogical, professional, and administrative needs may vary, argue for a more tailored approach.

Broad criteria for faculty reviews are set by the university in the faculty handbook but can and should be further elaborated at the divisional level. For example, divisions (and sometimes departments and schools within them) should have discretion to articulate the kinds of evidence that can be used to meet or support university-wide criteria or to support the case for excellence. This allows more nuance and specificity; for example, regarding what good service means in different institutional settings with different governance and administrative needs, or how excellent scholarship in different academic and practice-based fields is demonstrated and assessed. The criteria remain university-wide and divisions are expected to uphold rigorous standards of excellence.

The specific procedures for evaluation followed by each division are adopted on a majority vote of the full-time faculty in each division and approved by the Provost's Office for consistency with general personnel policy of the university. The procedures become effective when recorded by the Provost's Office and approved by the board of trustees.

Divisional supplements are meant to lay out the relevant procedures and evidence for faculty reviews. Should divisional supplements be incomplete, general university guidelines prevail.

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.

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 reviews, program reviews, reviews of institutional need, and any other relevant 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 reappointment, 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.

Review Schedule and Dossier Guidelines

The timeline for the review process and guidelines for faculty in the preparation of the review dossier are available on the Provost's Office website.

Program Reviews

All university departments and programs shall be reviewed every seven years to assess their performance. Intended to determine program quality and need, program evaluations will seek to assess program excellence in the field, student learning outcomes, relevance, and market demand. These reviews will start with an internal evaluation (or "self-study") conducted by the department and proceed with an external evaluation conducted by a group of outside experts convened by the provost. These periodic program reviews will be a principal vehicle for academic and budget planning and the associated decisions about strategic investments, growth, and program direction. Program reviews are also important mechanisms for establishing demonstrable institutional need for both RTA and EE faculty.

Establishing Institutional Need

Institutional need can be called into question either by a periodic program review that results in a negative evaluation, or by an executive decision by the president and/or provost that a program, department, area of study, or division has to be closed, reduced in size, or changed for strategic, market, or fiscal reasons. At such a determination, the provost will appoint a review committee that will consider the treatment of individual cases.

IV. University Research Support

Information on research support, funding opportunities, sponsored projects, the proposal process, and related deadlines can be found on the Provost's Office website. Information on the Institutional Review Board (IRB) can be found there as well, along with university policies on conflicts of interest and research involving human subjects.

V. Compensation

Information on base salary determination, joint funding salary adjustments, and payment schedule can be found in the Institutional Policies and Procedures Manual (IPPM), posted on the Human Resources website. Information on tuition waivers and other benefits for full-time faculty are posted on this website as well. Supplemental pay policies are posted on the Provost's Office website. When circumstances require a formal confirmation of this information, a faculty member should consult the Provost's Office directly; our staff will be pleased to assist in answering any questions that may arise about current compensation and benefit policies.

VI. 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 his/her responsibilities as a scholar, artist, teacher, mentor, or 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 are of two types:

- a) Leave for professional development
- Academic leave for creative or scholarly purposes (including unpaid leave and prepromotion leave)
- 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- and long-term disability)
- Military leave

Leave for Professional Development

The New School is committed to the encouragement and support of faculty professional development. Recognizing 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 scholarly activity, creative production, and public service by offering relief from teaching and departmental responsibilities. The professional activity 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. The policy is nevertheless 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. It will regularly circulate information of funding opportunities to each of the divisions. (Additional information on research support can be found on the Provost's Office website.)
- 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, he/she 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 – academic leave, leave for creative or scholarly purposes (including unpaid leave and pre-promotion leave), and public service leave – are described below.

Paid Academic Leave

All principal full-time faculty members are entitled to apply for a paid academic leave every six years. Academic leaves may be for one semester at full pay or two consecutive semesters at half pay. Faculty members on academic leave continue to participate in the benefit programs available to full-time faculty.

For faculty members whose appointments include a teaching load of five courses per year, the distribution of duties will be configured in conjunction with the chair or director. For a one-semester academic 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 courses with additional advising and service responsibilities or to teach three courses with reduced advising and service responsibilities.

The term during which an individual is eligible for an academic leave is determined by the individual's appointment history. The provost and deans' offices track eligibility for academic

leave including the projected date of the next academic leave and information on how that date was determined. Faculty members with questions about their academic leave-eligibility should consult with their dean or his/her designee.

A faculty member may request that his/her academic leave (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 academic leaves 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.

Faculty submit requests for academic leave to their dean's office using the provost-office form designated for this purpose. Applications for academic leave 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. Faculty must return completed applications to their dean's office by the date noted on the application. Academic leaves must be approved by the appropriate divisional officers (chairs, directors, and the divisional dean), and also by the Provost's Office.

A faculty member on academic 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 academic leave, or if not known at that time, before the effective date of the academic leave.

A faculty member granted an academic leave is required to return to the university for a period of at least one year following the completion of the academic leave, except for faculty members eligible for an academic leave during the year in which they will retire. In the event the faculty member does not return to the university following a university-sponsored academic leave, he/she will be expected to reimburse the university for the funds contributed to the leave or have the 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.

Unpaid Leaves

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. Faculty requesting such leaves must use the provost-office form designated for this purpose and submit to their dean's office. 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 if funds are available for this purpose. Supplements may be provided only if permitted by the rules of the fellowship or the other institution involved.

Pre-Promotion Leave

Pre-promotion leaves are meant to accommodate career-development opportunities and review requirements for junior faculty on tenure-track or extended-employment contracts. A pre-promotion leave involves a one-semester leave at full salary or two semesters at half pay. A faculty member is eligible after their first four years of service, provided that the faculty member has passed post-probationary review (PPR), been approved to continue on a tenure-track or extended-employment-track 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 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-promotion leaves must be recommended by the appropriate chair and/or director and dean and approved by the Provost's Office. Faculty should submit requests to the dean's office using the provost-office form developed for this purpose. 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 months before the beginning of the desired leave; the Office of the Dean will notify applicants about its decision at least six months before the beginning of the desired leave.

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, Medical, and Military Leaves

Leaves for personal reasons are governed by the Family and Medical Leave Act (FMLA) described on the human resources website at http://www.newschool.edu/hr/benefits/medical-family-leaves/

Policy on Clock Relief and Contract Extension

Full-time tenure-track or extended-employment-track 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 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 his/her 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)

Clock relief for scheduled promotion reviews (or contract extensions) 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/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 the department/program or division/school has told the faculty member it 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 faculty to wait the full extent of the probationary period before requesting review.

VII. 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 follow when a faculty member engages in conduct unbecoming to a member of the faculty, such as any action that 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 teaching or research at the university or to its welfare.

Alleged violations of university policy may give rise to disciplinary proceedings in accordance with the procedural guidelines of the specific policy. For policies that 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, demote, or dismiss a member of the full-time faculty for a fixed period of time without pay 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; 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 primary units should be directed to the Provost's Office.

When to file a complaint

Complaints must be filed within 30 working days of when an alleged violation is known or should have been reasonably known. For the purpose of determining this and other periods of time in these procedures, "working days" exclude Saturdays, Sundays, university holidays, and the period between commencement and Labor Day.

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 termination.

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 and faculty on term appointments

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

Hearing committee

Where the faculty member is not a member of the full-time 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/she shall explain his/her reasons to the committee.

Appeal

Within 10 working 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 working days of his/her receipt of the appeal.

Full-time faculty

Reprimand, Censure, or Removal of Privileges

Hearing committee for full-time 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, the dean shall appoint a special committee consisting of five principal faculty members to review and resolve the complaint (see section on "Suspension, Demotion, or Termination for Cause of Full-Time Faculty," below). 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 full-time faculty with tenure or extended employment, the committee should consist only of faculty with tenure or extended employment. In the event 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 termination.

Appeal

A faculty member may appeal the decision of the special hearing committee. A written appeal shall be submitted to the provost within ten working 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 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/her to require. The provost will issue a final decision within ten working days of receipt of the appeal.

Suspension, Demotion, or Termination for Cause of Full-Time 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, the proposed discipline, and the right of the faculty member to request a hearing before the University Faculty Discipline Committee (see section on composition 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 working 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/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/her right to be accompanied by an advisor who will have no active role in the proceedings.

University Faculty Disciplinary Committee

If a full-time faculty member elects to have a hearing, the provost will convene an appropriate faculty committee, consisting of at least five full-time 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 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 and the faculty member may contact the provost to challenge the proposed composition of the committee on the basis of possible conflict of interest or demonstrable bias.

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 shall 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, demote, or dismiss a full-time faculty member for a fixed period of time without salary 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 ten 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 ten 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 it 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.

VIII. 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 (UFGC) and that are connected to matters affecting full-time faculty in the areas of reappointment and promotion to extended employment or tenure;
- Those heard by school/divisional faculty grievance committees and that 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 seven full-time faculty members nominated by the University Faculty Senate, but not necessarily members of that body. These nominations shall be forwarded to the provost no later than May 1 of each year. This consultative committee shall be called the University Faculty Grievance Committee.

The University Faculty Grievance Committee will review grievances brought by a full-time faculty member with regard to tenure and EE promotions or PPR and RTA reappointments 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 substantive judgment in any of these cases. Upon completion of its review, the committee will forward its recommendations to the provost, who will make the final decision on all faculty grievances.

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When a grievance arises from a negative tenure or extended-employment decision, a nonrenewal after a negative post-probationary (fourth year) review, a nonrenewal of a renewable-term appointment, the faculty member may submit a grievance to the University Faculty Grievance Committee within 30 working days after being informed of the decision. This should be sent simultaneously to the chair of the University Faculty Grievance Committee and to the deputy provost. 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 30 working days of receiving the initial written grievance.

The provost may grant extensions of these deadlines in unusual circumstances.

Full-time faculty who receive notice of nonrenewal 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 nonrenewal.

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 establish a subcommittee exclusively drawn from the full committee and constituted
 appropriately for the case, to gather information that is relevant to the grievance. Email
 communication to the grievant from the University Faculty Grievance Committee will
 explain the broad timeline of the case.
- 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 an insufficient number of similarly ranked faculty, faculty from another classification may be selected.
- Within ten working days of receiving the grievance, the subcommittee will provide the provost with a list of questions outlining the information it requires. Within ten working days of receiving this 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.
- The provost or his/her designee will provide the subcommittee with confidential
 information relevant to the grievance. While the subcommittee will not be given
 confidential documents available to the provost's office, the provost will confirm whether
 such documents exist and describe their contents if necessary for the subcommittee to
 complete its review.

- The subcommittee may request further clarification or information from the provost's office in order to evaluate whether proper procedures were followed.
- The University Faculty Grievance Committee and its 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 confidential review, or to consider data, documents, or letters outside the formal process. As in the case of all faculty reviews, all proceedings of the University Faculty Grievance Committee and its subcommittees will remain totally confidential.

Upon completing its review, the subcommittee will submit a report to the appropriate members of the University Faculty Grievance Committee who will meet in executive session to discuss the subcommittee's findings and decide upon their recommendations. As stated above, the final report must be submitted to the grievant and the provost within 30 working days of receiving the grievance.

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.

IX. Separation

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 track or a tenure-track appointment at the end of a probationary contract; or to deny promotion to extended employment or tenure based on a promotion review. All extended-employment appointments are subject to

demonstrable institutional need, which can be called into question either by a periodic program review that results in a negative evaluation or by an executive decision that a program, department, area of study, or division has to be closed, reduced in size, or changed for strategic, market, or fiscal reasons. In addition, employment of all faculty members (including those with tenure or extended employment) may end because of discontinuation of a program for financial considerations, termination for cause, resignation, or retirement.

Nonrenewal 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 nonrenewal in writing as soon as possible during the 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.

Full-time faculty members who wish to appeal the results of their nonrenewal 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 have been followed.

Discontinuation of a Department/Program or Division/School

Serious financial considerations 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 such financial considerations exist shall be based on generally accepted accounting principles and practices. In cases where there is no longer an institutional need for a program, department, areas of study, or division, every effort will be made to place EE faculty in alternative positions elsewhere in the university. Similarly, should a department/program be discontinued, every effort will also be made to place tenured faculty members in suitable positions elsewhere in the university.

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.

Retirement

The New School is committed to sustaining an academic environment in which a full range of ages and generations is represented in the faculty and staff. 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. 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.

The university offers retirement benefits to any full-time or proportional full-time faculty member who is at least age 65 and has at least 10 years of service. These benefits are an ID badge that allows access to the library and other facilities, a New School email address, and up to \$1,500 per year toward reimbursement of the retiree's cost for Medigap insurance (insurance that supplements Medicare). In addition, from time to time the university may offer eligible faculty a Faculty Retirement Incentive plan.

For more information on retirement, please schedule an appointment with the Director of Employee Benefits in Human Resources.

Termination 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 termination are contained in the University Faculty Discipline Policy.

X. 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.

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 policies 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 revising the handbook. If the faculty proposes amendments that are not accepted by the board of trustees, the faculty shall be informed of the reasons for the non-acceptance.

In order to facilitate this process, the provost in consultation with the faculty senate shall appoint a standing Faculty Affairs Committee, consisting of full-time faculty members and relevant staff members from the Provost's Office. This advisory committee shall meet periodically to review the handbook and propose suggested revisions. 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, and then forward his/her recommendations to the president and the board of trustees.

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 holds the final authority, and who agrees 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.