The goal of this document is to provide administrators of academic departments with a summary of the relevant policies and procedures, and related forms, related to faculty processes, from an administrator’s point of view. It does not go into each process in great detail, but provides an overview and resources for further information. It is complemented by the Stern Faculty Guidebook.

Comments and suggestions are welcome at any time. Write to facultyserv@stern.nyu.edu.

I. Recruitment

a. Job Postings

   i. Ad Placement

   ii. Description: Place ads for position openings in appropriate outlets

b. Position Listings

   i. Description: For legal reasons, NYU requires that applicants apply for an actual job opening. Hence, all openings must be designated in OFRS.

   ii. Process: A general ad is placed in the Chronicle of Higher Education, Diverse Magazine, and another outlet for tenure-track, visiting and clinical positions, typically for 30 days.

   iii. Timing: September, October or November.

c. Recruitment Process

   i. Description: Each department handles its own recruitment process.

   ii. Process:

      1. Apply for and receive authorization from Vice Dean of Faculty to fill a certain number of slots.
2. Establish Recruiting Committee (in one department, it is chaired by one young full professor, one senior professor, one untenured professor; in another department, there is at least a chair, but perhaps no one else).

3. Review applications submitted through OFRS and conduct informal inquiries with third parties via phone and email.

4. Conduct interviews at meetings/conferences or by phone.

5. Select finalists. General guide: 6-10 interviews yields 3-5 finalists, producing two offers per slot.

6. On-campus interviews.
   a. Consists of one day, perhaps with dinner the night before, of formal and informal meetings with other faculty. Candidate gives a seminar.

7. The committee reviews candidates and proposes offer terms to Vice Dean of Faculty. If approved, the Vice Dean makes an offer to the candidate. Can be done on a rolling basis, i.e., before interviewing all the candidates.

8. Candidates may choose to view faculty housing options before or after accepting.

9. New faculty are invited to the New Faculty Orientation and New Faculty Reception, held in early September.

d. Recruitment Expenses

i. Description: All expenses associated with recruitment of candidates are funded by the OFA budget. Expense guidelines follow STARS policy. Meals cannot exceed $500 for a group, or $150 per person. Amounts in excess cannot be paid for by STARS. If recruit wishes to make an additional visit for housing purposes, expenses are reimbursable per STARS policy. Allocation from OFA.

ii. Process: OFA provides allocated amount. OFA approves exceptions (e.g. meals over limit, etc.). Otherwise expenses are processed by department.

iii. Timing: ongoing

iv. Form: n/a
II. Application

a. Inquiries

i. Description: From time to time, people interested in applying for a faculty job at Stern contact department administrators.

ii. Process: Applicants should be referred to the Online Faculty Recruitment System (OFRS). This applies to full-time and part-time faculty.

iii. Timing: Ongoing

b. Rejections

i. Description: The acknowledgement email sent by OFRS states that only candidates we’re interested in will hear back. No “rejection” needs to be sent.

c. Offer Letters

i. Description: Letters to faculty candidates outlining terms of appointment.

ii. Process: Dept. Chair prepares Offer Terms form describing terms of proposed offer. Send to OFA with CV and teaching evaluations. OFA drafts letter, sends to Chair and VD for review. After approval, VD signs, and OFA emails and mails letter for acceptance signature.

iii. Timing: November - March

iv. Form: Offer Terms

III. Visa Processing and Labor Certification

a. J-1 Visa

i. Description: For sponsored international full time or part time professors and research scholars, holding a temporary NYU position.

ii. Process: HR must be notified prior to appointment date.

iii. Timing: At least four months prior to appointment date.

iv. Forms: Offer letter with salary for professors or approved visiting scholar application.
b. H-1B Visa
   i. Description: For sponsored international full time, tenure-track faculty
   ii. Process: HR must be notified prior to appointment date.
   iii. Timing: At least seven months prior to appointment date.
   iv. Forms: Signed letter from department chair supporting H-1B petition and completed Form Seven (provided by Stern Human Resources), indicating if export license is needed.

c. O-1 Visa (“Alien of Extraordinary Ability”)
   i. Description: Used occasionally for faculty who are recognized as having sustained national or international acclaim for extraordinary ability in their field.
   ii. Process: HR must be notified prior to appointment date.
   iii. Timing: 6-7 months prior to appointment date.
   iv. Forms: signed letter from chair supporting the O-1 petition; burden of documentation lies with faculty member.

d. Labor Certification
   i. Description: Only for tenure-track faculty. Labor Certification requires approval by US Department of Labor before NYU can submit a petition for permanent residence. Approval is granted if it can be demonstrated that there are no “equally qualified” US workers available.
   ii. Process:
   iii. Timing: Must be filed within 18 months of original offer letter.
   iv. Forms: Requirements from department: Department Chair’s signed detailed recruitment report explaining recruitment procedure, list of all finalists and outcome, attestation signed by chair confirming that all CVs submitted for this position will be maintained for 5 years (sorted by primary reason for rejection) and retrievable in the event of an audit.
IV. **Affirmative Action/EEO Requirements**

   a. **Description:** Stern must report to NYU on its efforts to hire candidates of various race, ethnicity and gender.

   b. **Process:** Coordinator fills out Affirmative Action form for department chair approval. Submit to OFA with copies of ads placed for the position.

   c. **Timing:** Forms are due June 1.

   d. **Form:** [Affirmative Action Recruitment Report Form](#)

V. **Faculty Housing**

   a. **Description:** OFA manages Stern’s rental housing for faculty.

   b. **Process:** Recruitment candidates should be referred to Director of Faculty Affairs to view housing. They will be asked to complete a request for housing form.

   c. **Timing:** Apartment tours can take place before and/or after offer acceptance.

   d. **Form:** [NYU Stern Request for Faculty Housing](#)

VI. **New Faculty On-Boarding**

   a. **Description:** Welcoming information and activities for new faculty

   b. **Process:** See Appendix

   c. **Timing:** New full-time faculty usually start either July 1 or September 1, and once in a while on January 15. On-boarding preparation occurs in the days, weeks and months prior to their start date.

   d. **Form:** See Checklist at Appendix A

VII. **Visiting Scholars**

   a. **Description:** Professors may choose to sponsor faculty or PhD students from other institutions to spend a limited amount of time at NYU Stern, using the library, attending seminars, conducting research and the like.

   b. **Process:** Submit completed form to Faculty Affairs Coordinator.
c. Timing:
   i. If a visa is not required, form to be submitted four (4) weeks prior to visit.
   ii. If a visa is required, form must be submitted four (4) months prior to visit.

d. Form: [http://www.nyu.edu/oaa/scholar.pdf](http://www.nyu.edu/oaa/scholar.pdf)

VIII. Compensation

a. Self-Assigned Teaching Request
   i. Description: Due to potential conflicts of interest, approval is required when faculty assign themselves an overload or executive programs course to teach. This should happen only as a last resort; every effort should be made to find another professor or an adjunct to teach.
   
   ii. Process: Complete online form for approval by the Vice Dean of Faculty, Form is kept on file with the Office of Faculty Affairs.
   
   iii. Timing: on-going, when courses are assigned.
   
   iv. Form: [Self-Assigned Teaching Request](http://www.nyu.edu/oaa/scholar.pdf)

b. Overload Teaching
   i. Description: Faculty teaching courses above and beyond their assigned course load receive extra payment. Such assignments are subject to approval by the dean and NYU Provost.
   
   ii. Process: Prior to assigning an overload course, Department Chair submits completed form to OFA. This form is to be used only for overloads that occur during the fall and spring semesters. For summer term overload teaching, use the summer compensation worksheet for all summer courses. Payments are processed after regular teaching load has been taught.
   
   iii. Timing: on-going, when courses are assigned
   
   iv. Form: [Teaching Overload Form](http://www.nyu.edu/oaa/scholar.pdf)
c. Summer Cap

i. Description: Faculty members cannot be compensated during the summer for more than 3/9ths of their base pay. If that cap must be exceeded for any reason, including overload teaching, approval of the Stern Dean and NYU Provost is required.

ii. Process: Submit form to OFS with detailed justification of exception.

iii. Timing: March-May

iv. Form: Request to Exceed Summer Cap

d. Adjunct Compensation

i. Description: Part-time faculty members are hired each semester based on department staffing needs. Rates are determined by department, but must meet requirements of collective bargaining agreement.

ii. Process: Department Coordinators meet with HR to confirm adjunct pay rates. Appointment details are submitted via the online adjunct database.

iii. Timing: Mid-June for fall adjuncts; mid-November for spring; and mid-March for summer adjunct appointments.

iv. Forms: Adjunct Compensation Donation Form (for adjunct faculty who choose to donate salary back to school

IX. Annual Merit Review

a. Description: Department chairs provide feedback every spring to each faculty member through an Annual Merit Review, using the completed Faculty Activity Report (FAR) as one source of information. The feedback reflects input gathered at a meeting with the Dean and Vice Deans, and provided by Program Directors through Faculty Comment Forms.

b. Process: Tenured, tenure-track and clinical faculty complete a Faculty Activity Report online and submit to their department chairs. The department chairs review the FARs and provide feedback using the Faculty Review Form.

c. Timing: FAR – November – January; meetings in February – March

d. Forms: FAR; Review Forms
X. **Reappointment of Clinical Faculty**

   a. **Description:** Clinical faculty members typically serve two-year renewable terms. If it is decided that they should not continue, they receive a one-year contract that is not renewed.

   b. **Process:** Departments prepare proposal for reappointment. All Department Chairs, as a group, review proposal. If approved, goes to dean for approval.

   c. **Timing:** Clinical reappointments are discussed at the February or March Department Chairs’ meeting. OFA prepares reappointment letters to be sent in June.

   d. **Form:** [Clinical Reappointment Form](#)

XI. **Funded Faculty Research Incentives**

   a. **Description:** Faculty members and their departments receive financial incentives for obtaining outside grant funding.

   b. **Process:** See Incentive Policy

   c. **Timing:** ongoing

   d. **Form:** n/a

XII. **Promotion and Tenure Process**

   a. **Description:** Tenure-track faculty members have eight years to earn tenure, with significant milestones to achieve during that time.

   b. **Process:** If required (see policy below), external reviewers are identified by department chair, and OFA requests letters. Department’s tenured faculty of appropriate rank votes on tenure/promotion decisions. If recommended, case is forwarded to school-wide P&T committee. Dean and Provost approval is required. For additional details, click here.

   c. **Policy:** [Promotion and Tenure Guidelines](#) [Sixth Year Review](#)
d. Timing:

i. June: OFA sends to department chair list of faculty due for P&T review or clinical reappointment.

ii. July: Department chair submits copies of P&T dockets and list of external reviewers to OFA.

iii. August: OFA requests names of external reviewers.

iv. September–October: Departments review P&T cases.

v. November: Department submits final P&T package to OFA for review by Schoolwide P&T Committee.

vi. November – May: Schoolwide P&T Committee reviews cases.

e. Form: n/a

XIII. Resignations

a. Description: Faculty members resign for various reasons.

b. Process: A signed resignation letter must be submitted to the department chair. Provide a copy to Director of Faculty Affairs and/or Vice Dean of Faculty.

c. Timing: Letter must be received prior to last date of employment.

d. Form: n/a

XIV. Sabbatical/Leave

a. Description: Tenured faculty may take paid sabbaticals periodically. Tenured, tenure-track or clinical faculty may take unpaid leaves of absence.

b. Process: OFA sends out request for sabbatical/LOA applications, which must be approved by department chair.

c. Timing: Forms are due to OFA in first week of December.

d. Form: Sabbatical Request  Leave of Absence Request
XV. Hiring

a. Part-time non-students
   i. Description: For temporary and/or part-time work, hiring students is encouraged. Only if no NYU student can do the job can a non-student be considered.
   iii. Process: The faculty member completes the request form and submits it to the department’s Administrative Coordinator, who reviews it and sends it to OFA for approval. No one should start work prior to such approval.
   iv. Timing: ongoing
   v. Form: Request to Hire Temp Form

XVI. Course Scheduling

a. Description: Stern’s Office of Enrollment Services, Records and Registration Department handles all course scheduling for Stern MBA, PhD and Undergraduate courses, and coordinates with Executive Programs.

b. Process: Assistant Dean of Academic Affairs and Enrollment Management (Beth Rubin) sends proposed schedules to the Department and Deputy Chairs. They return the schedules with faculty assignments and work with the Enrollment Services area to produce the final schedule.

c. Timing:
   i. Initial request for the following fall/spring is sent before winter break and is due back by February 1. Revision of fall schedule continues through late March. Spring schedule is finalized over the summer. The summer schedule is produced the prior fall and is finalized by mid February.
   ii. Late March-early April: Department Chairs and Deputies meet with the Vice Dean for MBA Programs, the Dean of the Undergraduate College and Enrollment Services team to confirm staffing assignments.
   iii. Assignment of classrooms and cancellation of low-enrollment classes occur over the summer for fall, in December for spring and in April for summer.
   iv. Form: n/a
XVII.  **STEP (Stern Teaching Excellence Program)**

a.  Description: The Stern faculty determined that all faculty members should participate in a STEP review every four semesters taught. It is entirely confidential, though department chairs and vice deans are notified each semester as to which faculty members are due for a STEP review.

b.  Process: Vice Dean of Faculty sends an email at the start of each semester to those faculty members who are due for a STEP review. The faculty member is to contact Ian Stewart to schedule the appropriate review.

c.  Timing: Notification occurs at the start of each semester.

d.  Form: n/a

XVIII.  **STARS (Stern Teaching and Research Supplement)**

a.  Description: Stern provides funds to each department, which in turn allocates some of these funds to faculty members for research and teaching expenses. See [STARS Handbook](#) and [STARS FAQ](#) for details.

b.  Process: Some departments solicit requests from faculty so that those who have greater or lesser needs are provided for appropriately. Other departments apply a blanket percent of base salary as the individual allocations. The allocations are presented to Pat Kong in Stern’s budget department, who administers the expenses.

c.  Timing: August

d.  Forms: n/a

XIX.  **New Faculty Reception**

a.  Description: New and selected continuing faculty members are invited to a reception. Department chairs introduce the new faculty members in their departments.

b.  Timing: Held in first week or two of September.
XX. Department Chair/Program Director Meetings

1. Description: The Vice Dean of Faculty holds monthly meetings for all department chairs and program directors to provide updates and gather input on issues and policies.

2. Timing: Schedule is set at the beginning of each academic year.
APPENDIX A
New Faculty “Onboarding” Checklist
September, 2011

Upon acceptance of offer:
1) Office of Faculty Services emails incoming professors, notifying them of New Stern Faculty Info page [http://w4.stern.nyu.edu/faculty/newfacultyinfo.cfm](http://w4.stern.nyu.edu/faculty/newfacultyinfo.cfm)
2) ____________ Requests computer specifications, printer, and special software needs.
3) ____________ Places an order with Noreen Shields in Stern IT.
4) ____________ Requests new phone number
5) ____________ Requests long distance code (TARA #)
6) ____________ Determines arrival date.
7) ____________ Requests a Stern email account.
8) ____________ Identifies office space.
9) ____________ Emails the new faculty with attached Basic Information including info on how to check email, forward NYU emails to Stern account, change settings via SIMON, etc. Provide physical address and phone number.
   (Included on Stern's "New Faculty Information Page" [http://w4.stern.nyu.edu/faculty/newfacultyinfo.cfm](http://w4.stern.nyu.edu/faculty/newfacultyinfo.cfm)).

Two weeks prior to arrival:
1) ____________ Orders name plate (is two weeks enough?)
2) ____________ Orders keys (is two weeks enough?)
3) ____________ Sets up mailbox
4) ____________ Arranges for copy codes (last 4 digits of SS#) to be input into copiers
5) ____________ Asks budget to set up STARS account
6) ____________ Places necessary items on desk:
   a. Office supplies (pens, tape, scissors, staples, etc.) on their desk. If possible, use a Stern mug of some sort.
   b. Stern Telephone Directory
   c. Department’s directory of all faculty/staff/Ph.D student and space layout, main telephone numbers and fax numbers.
   d. Written instructions (given by central NYU telecommunications) on how to set up and check voicemail.
   e. Book publishers contact info for textbooks (desk copies)
   f. Teaching schedules, with sample outlines.
   g. Welcome packet with Stern paraphernalia
7) ____________ Posts a welcome sign on their office door.
8) ____________ Puts a “welcome new faculty” (for all incoming faculty) sign on the department’s bulletin board.
9) ____________ Set a time for the new faculty member to pick up his/her key.

Upon arrival:
1) ____________ Shows them their office and gives a tour of the department (if they haven’t already seen it). This includes instructions on how to use the copy and fax machines, printers, etc.
### Basic Information
(Information provided by Department Administrator.)

#### Office Location & Phone Number

<table>
<thead>
<tr>
<th>Office</th>
<th></th>
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<tbody>
<tr>
<td>Phone #</td>
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<tr>
<td>Fax #</td>
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#### Department Administrator

<table>
<thead>
<tr>
<th>Name:</th>
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<tbody>
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<td>Phone No.:</td>
<td></td>
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<tr>
<td>E-mail:</td>
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#### Your Department Administrative Aide

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<th>Name:</th>
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</thead>
<tbody>
<tr>
<td>Phone:</td>
<td></td>
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<tr>
<td>E-mail:</td>
<td></td>
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</tbody>
</table>

#### Stern E-mail & Intranet Access Information

<table>
<thead>
<tr>
<th>Username (NetID):</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Password:</td>
<td>Your Social Security # or NYU ID # (no dashes). Change immediately by going to <a href="#">SIMON</a>.</td>
</tr>
<tr>
<td>E-mail address:</td>
<td>Add “@stern.nyu.edu” to your username.</td>
</tr>
</tbody>
</table>

If you have difficulty accessing your e-mail, contact the IT Help Desk at (212) 998-0180.

#### Photocopying Facilities

<table>
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<tr>
<th>Photocopier location:</th>
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<tbody>
<tr>
<td>Your copy code:</td>
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Please limit your usage of the department copy machine to small jobs. All copies that are to be distributed to the entire class should be given to your Department Administrative Aide at least two days in advance. Please be sure to comply with relevant copyright laws. For large jobs and Copy Center usage limits, please contact your department administrative aide. (Requests must be submitted to the Copy Center at least 2 days in advance.)
### Your Class(es)

<table>
<thead>
<tr>
<th>Course 1</th>
<th>Course 2</th>
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</thead>
<tbody>
<tr>
<td><strong>Course Title:</strong></td>
<td></td>
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<tr>
<td><strong>Course #:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Level</strong></td>
<td>□ Undergrad □ MBA □ Undergrad □ MBA</td>
</tr>
<tr>
<td><strong>Your class Web page:</strong></td>
<td>The Web site for your class will be in Blackboard (<a href="http://sternclasses.nyu.edu">http://sternclasses.nyu.edu</a>) approximately one month before it begins. See p. 16 for more information.</td>
</tr>
<tr>
<td><strong>Class e-mail address:</strong></td>
<td>@stern.nyu.edu @stern.nyu.edu</td>
</tr>
<tr>
<td><strong>Classroom:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Day (s):</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Class start &amp; end times:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Date of first class:</strong></td>
<td></td>
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<tr>
<td><strong>Date of last class:</strong></td>
<td></td>
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<tr>
<td><strong>Holidays/Breaks (classes do not meet):</strong></td>
<td></td>
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<tr>
<td><strong>Exam date &amp; time:</strong></td>
<td></td>
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<tr>
<td><strong>Required grade distribution?</strong></td>
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<tr>
<td><strong>Grades due by:</strong></td>
<td>72 hours after the final exam or final assignment is due.</td>
</tr>
</tbody>
</table>

The following faculty members have taught this course recently and may be contacted if you have questions:

<table>
<thead>
<tr>
<th>Name:</th>
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<tbody>
<tr>
<td>Office #:</td>
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<tr>
<td>Phone #:</td>
<td></td>
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<tr>
<td>E-mail address:</td>
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1 Your course and section number with dashes instead of periods, followed by the semester, e.g., B70-2337-31-S2003. Please note that S=spring, U=summer, and F=fall.
2 KMC is the Kaufman Management Center (44 W. 4th St.). UC and LC are the upper and lower concourses of Tisch Hall (40 W. 4th St.) and are located one and two floors, respectively, below the lobby. On the UC, ground and 7th and 8th floors, you can walk between KMC and Tisch without leaving the building.
3 If you are teaching a class that meets for longer than 80 minutes, please give a 10-minute break roughly halfway through.
4 You will be notified of the location later in the semester.
5 If you are teaching an MBA core course, you may give no more than 35% A’s. If you are teaching an undergraduate course, the following is the required distribution: 20% A’s, 40% B’s, 20% C’s or below. Your department may make additional distribution requirements.
Materials Enclosed

- Letter of Appointment
- Sample syllabus (if you have not taught this course before)
- Stern Phone Directory (also available on-line: https://w3.stern.nyu.edu/Telecomm/phonedit/)
- Department Phone List
- Academic Calendar for each program and semester in which you will teach this year
- Faculty Guide to Student Services at New York University

Things We Need from You

<table>
<thead>
<tr>
<th>Item</th>
<th>Due:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A short bio of yourself (max 500 words)</td>
<td>At least 4 months before your class begins</td>
</tr>
<tr>
<td>Tentative syllabus</td>
<td>At least 4 months before your class begins</td>
</tr>
<tr>
<td>Coursepack order</td>
<td>At least 6 weeks before your class begins</td>
</tr>
<tr>
<td>Textbook order</td>
<td>At least 1 month before your class begins</td>
</tr>
<tr>
<td>Final syllabus</td>
<td>At least 1 month before your class begins</td>
</tr>
<tr>
<td>Course Web site materials</td>
<td>At least 1 month before your class begins</td>
</tr>
</tbody>
</table>

Note that the MBA and Undergraduate Program calendars often differ from each other and from the NYU calendar.