Columbia Business School

Diversity Goals and Strategy for Columbia Business School **September 30, 2015**

History

In 2011, the 124 member tenured and tenure-track faculty of Columbia Business School had twenty-one female members and three African-American members. In July 2015 the 128 member tenured and tenure-track faculty of Columbia Business School had twenty-six female members and four African-American members. While strong progress has been made in recent years, including achieving both our twenty percent female and three percent African-American 2014 goals for faculty, and nearly reaching our three percent goal for doctoral students, the School has not yet achieved the level of diversity to which we aspire. The Business School believes that increasing faculty and faculty pipeline diversity in meaningful ways will play a strong role in increasing the School's effectiveness as a teaching and research environment in the global context of the 21st century.

Based on our experience recruiting over the past four years, we have developed the following plan to focus on this important priority. The Dean's Office and Faculty Executive Committee have reviewed these goals and strategies and have shared the plan with the full faculty for input.

Objective

Columbia Business School is committed to increasing the gender and racial diversity of its faculty and student body so that their representation more closely reflects their availability pools in the field. The School plans to use the following goals and strategies to accomplish this.

Goals

1. Increase the percentage of female full-time tenured and tenure-track faculty from 20 percent to 22.5 percent by July 2018. We see this as an ambitious goal to which we aspire.
    a. Currently the tenure-track faculty is 31.25 percent female (15/48)
    b. Currently the tenured faculty is 13.75 percent female (11/80)

2. Increase to four percent or at least retain the percentage of underrepresented minority members of the full-time tenured and tenure-track faculty through July 2018. Given the significant progress at Columbia Business School over the past three years, we believe this is a realistic goal.

3. Increase the percentage of underrepresented minority doctoral candidates to five percent by July 2018.

4. Increase the percentage of female full-time August/September entry MBA candidates from 37 to 39 percent by the class entering in fall 2018.

A table documenting progress since 2011 and future goals is below:

Diversity Goal	Status in 2011	Original Goal	Status in 2015	New Goal for 2018
% Tenured and Tenure Track Women	16.9 %	20.0%	20.31 %	22.5%
% Tenured and Tenure Track URM	2.419 %	3 %	3.125 %	4 %
% Doctoral Students URM	0 %	3 %	2.8 %	5 %
% MBA Women	36%	n/a	37%*	39%

*2014 class. 2015 class is not yet available.

Current State and Rationale for Goals as Set

1. As of July 2015, the full-time, tenured and tenure-track faculty of Columbia Business School is 20.3 percent female (26/128). In data provided by the Provost's Office in 2011, 30 percent of the "external pool," was female.[1] Updated Provost Office pool numbers from 2014 are broken down by tenure status and show 13 percent of the tenured and 32.4 percent of the tenure-track pools are female. Using these numbers and the 62.5 percent tenured break down of our own faculty this would be equal to 20.2 percent female.

   However, because our faculty is heavily tenured, and the female percentage of the tenured pool is much lower, and because our recruiting is focused on un-tenured faculty, we have set our goal for the full tenured and tenure track faculty combined. Assuming a one percent growth rate in our tenured and tenure-track faculty, we would need to have 30 female faculty members to meet the goal of 22.5% women. This would require that we successfully recruit one to two new female faculty members every year for the next three years, and lose none to other Schools. We believe this is an ambitious goal. Given the experience we have had and the progress we have made from 17 to 20 percent since 2011, with strategies identified below, we hope to reach this goal.

2. As of July 2015, three percent of the full-time, tenured and tenure-track faculty of Columbia Business School is African-American. At the same time, 2011 data tell us that two percent of the tenured and 7.7 percent of the tenure track "external pool" is African-American, and less than one percent of the "external pool" is Native American/Alaskan Native, although the true and viable candidate pool is hard to determine rigorously. Updated numbers from 2014 show 2.5 percent of the tenured and 9.3 percent of the tenure-track pools are African-American. Given the tenure break down of our faculty this translates to 5 percent. Assuming a one percent growth rate in our faculty, we would need to maintain or increase by one the number of African-American or Native American faculty members over the next three years, and lose none to other Schools to reach this goal. We believe this goal is reasonable given our progress from two and a half to three percent since 2011.

3. As of July 2015, there are three African-American doctoral candidates at Columbia Business School in a program of 108 students. Data on the true and viable candidate pool are hard to determine, but it is probable that it at least matches the pool of current junior faculty

[1] The Office of the Provost collects information on graduates of doctoral programs, peer school faculty and other relevant data in order to estimate the gender and ethnicity breakdowns of eligible applicants to faculty positions. Using this 2013 data, and the tenure breakdown of our current faculty, the School's present faculty is representative of the pool.

candidates. Given this assumption, we aspire to increase the percentage of African-American or Native American doctoral candidates to five which would require that we successfully recruit two additional students over the next three years and not lose any. We believe this is an ambitious goal, but given the number of students recruited each year (about 17), seems possible.

4. As of July 2014, the full-time MBA program was 35.9 percent women, and the traditional fall entry class was 37.1 percent women. Final numbers for 2015 are still pending. Our biggest challenge in matriculating women to the program comes from the limits to the financial aid we can provide. Nonetheless, the School is making important progress in building a supportive environment for women at Columbia and therefore we believe increasing the percentage of women in the August entry full-time program by 0.66 percent each year over the next three years is an ambitious, yet achievable goal.

Strategy and Tactics Planned in order to Reach Hiring and Enrollment Goals

Goal 1 and 2: Increase the percentage of female and underrepresented minorities in the full-time tenured and tenure-track faculty

Columbia Business School will use the same strategy and tactics to increase the number of female and underrepresented minority faculty successfully recruited to our full-time tenured and tenure-track faculty, as described below.

Senior Vice Dean to meet with Faculty Search Committees

- Following authorization for a faculty search, the Senior Vice Dean will meet with the search committee members and chairs to discuss diversity strategy and goals and disseminate best practice advice.
- At this meeting, the Senior Vice Dean will disseminate strategies to make all candidates who come to campus feel comfortable during their recruiting visits. This includes strategically planning academic and social activities that include a mix of junior and senior faculty members and are appropriate for all types of candidates.
- Before candidates who will be given offers are selected, search committee chairs will meet again with the Senior Vice Dean to discuss challenges and successes of diversity strategy so that best practices can be shared across searches.

Senior Vice Dean to meet with Faculty Candidates During On-Campus Interviews

- The Senior Vice Dean will meet with all faculty candidates during their job-talk visits, unless there is not possible due to scheduling challenges. This will provide the Dean’s Office with more information during the selection, offer, and negotiation portion of recruiting. Given the present diversity in the Dean’s Office this sends important signals about how the School values diversity.

Research and Review of Pool of Female and Underrepresented Minority Scholars in Every Hiring Field [2]

- Each division will attempt to identify all target group faculty members at top five to ten top peer departments and consider recruiting them.
- Each division will conduct a review of exceptional target group doctoral students who are expected to finish their PhDs within the next 24 months at the top doctoral-granting departments in business and related disciplines.[3]
- The objective of these reviews is to develop a list of possible junior and senior candidates to follow, and to begin developing relationships with the most promising candidates, for potential future recruiting.

Outreach to Identified Candidates

- Under the leadership of the division chair and the search committee chair, the division will reach out individually to attractive candidates at the doctoral, junior, or senior level to assess interest and potential fit with our divisions and encourage applications as applicable.
- The School has had some success to date in targeting doctoral candidates before they have entered the job market, and has encouraged divisions to consider this tactic more broadly.

Maintain Inclusive Language in Job Advertisements

- Incorporate language explicitly valuing diverse experience and skills into job descriptions and advertisements. The following sentence will be added to all new external job advertisements: "Columbia Business School is particularly interested in candidates who, through their research, teaching and/or service will contribute to the diversity and excellence of the academic community."[4]

Comprehensive Review of Female and Underrepresented Minority Applicants to Advertised Positions

- Search committees for all positions will individually review all qualified candidates in targeted groups, and the Business School will consider interviewing (for the first round – usually at the academic association conference) at least one female and one underrepresented minority applicant. If the top applicants (based on the same criteria used for screening all applicants) are truly not competitive, then the search committee will discuss the candidates with the Senior Vice Dean before finalizing the interview list. The search committee will consider inviting at least the top female and underrepresented minority candidates to come to campus for an interview, unless the candidates are truly not competitive, in which case the search committee will discuss the candidates with the Senior Vice Dean before finalizing its short list.

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[2] Divisions may appoint faculty members and provide them with an administrative support staff member to facilitate these reviews. The dean's office will also provide lists of faculty and students at peer schools pulled from publicly available websites to the search committees.
[3] This information can be gathered from public websites, and the Dean's Office will provide divisions with lists to begin with.
[4] This statement came directly from the University's guidelines on searches so should be incorporated into all future search advertisements.

Finalist Selection

- Search Committees making a recommendation of a person to receive an offer from the School, will share the resume of the strongest female and underrepresented minority applicants with the Senior Vice Dean before an offer is made, so that a comparison can be made between candidates.

Recruiting

- The Business School will deploy some of its recruiting budget specifically to attract female and underrepresented minority candidates to positions at Columbia. Examples could include:
  - Matching competitive offers made by peer Schools
  - Enhancing an offer through additional research funding, course reductions, supplemental housing support, etc.
  - Bringing an applicant and his or her family to Columbia for an additional visit or recruiting activities
- Recruiting visits for all candidates should be personalized to include information and activities that highlight resources of interest and that are available for those candidates. This could include activities such as:
  - Lunch with junior faculty research liaison and recently hired junior faculty in the division
  - Meeting with the Assistant Dean of Faculty Affairs and the Office of Work-Life as applicable. Meetings with the Dean of the School (for top priority recruits.)
  - Meeting with representatives from the Provost's Diversity Office or other faculty at the University who have received Provost's diversity support (if feasible or of interest.)

On-boarding and Retention

While Columbia Business School seeks to support all faculty members at a very high level, additional follow up will be provided to members of underrepresented minorities and women as needed.

The Division Chair or Senior Vice Dean will plan conversations at least annually with all target group members to insure that needs are understood and being met.

In retention conversations, the School will make every effort to provide targeted faculty with what they need to be successful at Columbia.

<u>Goal 3: Increase the percentage of underrepresented minorities in the Doctoral Program</u>

Grass-Roots Recruiting

Under the leadership of each division's faculty representative to the doctoral committee, faculty members in each division will be encouraged to reach out to colleagues who teach at undergraduate institutions or in industry who might have recommendations of underrepresented minorities to recruit to our programs. At their discretion, faculty members could offer to speak to such candidates in advance of application.

The Doctoral Office will support each division by providing templates of e-mails to send to colleagues to solicit recommendations of potential candidates.

If feasible within the Doctoral Program budget, the program may offer to bring promising candidates, particularly those identified by faculty and their colleagues, to campus in advance of normal recruiting visits to generate applications.

The Doctoral Program Committee will solicit recommendations from full-time faculty of MBA candidates who have completed their first year and/or members of the full-time Research Assistant program who would be strong candidates and could add to the diversity of the Doctoral Program. The Doctoral Office will reach out to those candidates identified.

Advertising and Targeted Recruiting

The doctoral program will identify venues for advertising and recruiting which have the potential of reaching a broader base of possible applicants. Such outreach could include advertisements in publications that may reach a more diverse audience. In coordination with recruiting for the summer intern and research staff associate programs, the Doctoral Office will arrange opportunities to meet directly with diversity undergraduate groups at top nearby universities, starting with Columbia, in order to increase awareness of our programs, lower barriers to application, and encourage applications. This could include coordinating with minority student clubs or other student organizations and seeking opportunities to invite students to consider our programs, as well as targeting historically black colleges, and other schools with a diverse population.

Rigorous (Dual) Review of all Doctoral Applications received by Underrepresented Minorities

For all applications to the doctoral program from members of underrepresented minority groups, the Doctoral Office will be sure that the applications receive reviews by at least two faculty members before a decision is made to deny admission. The purpose of this review is to insure that all candidates who might help to increase diversity are given a full consideration, and to avoid potentially 'false negatives' where a candidate might be overlooked.

PhD Project

The Doctoral Program's admissions office has participated in The PhD Project, an initiative to promote diversity in the PhD admissions process, for many years, but to date this involvement has not resulted in increased minority applications or students. While the direct impact of this participation remains inconclusive, the School will continue to attend the annual conference using some or all of the following strategies in order to increase the return from the conference participation, and maintain our presence in this organization, which sends an important signal to the field that we continue to be interested in diversity:

1. Collect names and contact information from all prospective applicants who come to the recruiting table, and then reach out proactively to these prospective applicants following the conference.
2. The Doctoral Office may offer to waive the application fee or send a simple note indicating that the School hopes they will apply.
3. Invite faculty members (such as doctoral committee members) or current PhD students to attend the conference to talk with prospective students in order to increase the level of dialogue with prospective applicants.
4. Have faculty members or current PhD students follow up with prospective applicants directly via e-mail or phone.
5. Develop a targeted mailing to all prospective applicants who attended the PhD Project conference.

6. Track all applicants who apply through the PhD Project specifically, as well as other underrepresented minority applicants to measure results of the initiative.
7. The admissions committee for each division will consider inviting at least the top underrepresented minority applicant to interview, unless the candidates are truly not competitive.

Faculty Outreach

A small fund will be maintained to support faculty members attending the PhD project recruiting conference or to make other visits to targeted venues where underrepresented minority candidates can be recruited. The faculty leaders of the doctoral program in each division will be encouraged to make at least one visit or recruit another colleague from their division to do so each year.

<u>Goal 4: Increase the percentage of women in the full-time MBA Program</u>

Unlike with doctoral program admissions and faculty recruiting, Columbia Business School's largest barrier to increasing the percentage of women in the full-time MBA program to date, has not been finding strong candidates to admit, but has been converting those admitted applicants into matriculated students.

Financial Aid: Our strongest peer school competitors, particularly Chicago, Kellogg, and Wharton, have devoted significant budgets to providing financial aid to women in order to attract them to their programs. Given current budget parameters and fundraising priorities, we do not anticipate being able to dramatically change the scope of available aid immediately, or compete with those schools on that dimension. However, we do expect the amount of aid available at Columbia to increase, and that an increasing portion of available aid will be deployed towards supporting the goal of gender diversity. In addition, with the expected completion of fundraising for the Manhattanville campus in the near future, we plan for financial aid to be a top priority for the School.

Welcoming and Supportive Community: A very important component of attracting female MBA students to Columbia is the academic and social environment they will join. There are a number of circumstances and initiative which we believe will make Columbia Business School an increasingly attractive place for female MBA students.

CBS Reflects: In 2013-2014, in response to *The New York Times* article "Harvard Business School Case Study: Gender Equity," the MBA students at Columbia founded *CBS Reflects*, a student-led initiative partnering with faculty and administrators to reflect on diversity and inclusion at Columbia Business School with a focus on gender. This group spearheaded a rigorous quantitative and qualitative study of gender at the school, culminating in recommendations to improve student performance and to create a supportive and inclusive environment for all students at Columbia Business School. See <u>CBS Reflects: Gender Equality</u>. This group has continued to meet, reflect on matters of diversity beyond gender, such as ethnicity and sexual orientation, and conducted a wide ranging student survey in 2014-2015. They anticipate issuing a follow up report in 2015-2016.

CBS Commitment to University's Sexual Respect Initiative: The student deans in both the MBA and EMBA programs are regular participants in the planning and strategy meetings for the University's initiative on sexual respect. The Business School has established its own peer to peer awareness and resources network to complement the resources available at the University. This standing student group has partnered with the Student Affairs Office to present programming in new student orientation and throughout the semester to increase awareness and promote inclusive environments for all.

Gender Neutral Bathroom: In response to conversations that emerged from some of these initiatives, the School converted a single-sex bathroom into a gender neutral/family friendly bathroom on the first floor of Uris Hall. This facility is well utilized and serves as an important symbol of the School's commitment to maintaining an environment where all members of the community can feel that their needs are being met, regardless of their gender identity.

Strategic Review of Student Support Resources: As part of ongoing continuous improvement processes, the School is looking at how it deploys resources such as student tutoring and student support services and will consider ways in which these resources can support the School's goals of recruiting and retaining a student body that more closely reflects our aspirational gender breakdown.

Focus on Faculty Diversity and Mentorship: The goals, priorities, and initiatives described elsewhere in this document, have been conceived of to help to make the environment of Columbia a more inclusive one for students of all genders and backgrounds. We believe that by increasing the gender and ethnic diversity of the faculty of the School we will begin to change the culture of the School and help to make it a more welcoming environment for all students.

Mentoring

In 2015, Columbia Business School developed a comprehensive Junior Faculty Mentoring Initiative to support junior faculty development. The initiative, which was endorsed by the School's faculty executive committee, formalizes the mentoring culture at the School so that support is consistent across the divisions. Details of the plan and progress toward implementation are described below:

The goal of mentorship at Columbia Business School is to provide junior faculty with as supportive an academic environment as possible in which their scholarship can flourish. The School also seeks to provide information and guidance on the norms and process of scholarship generally and the tenure process in particular.

Our ultimate goal is to have a robust informal culture of collegiality and mentorship, with official mechanisms playing supporting, scaffolding roles. Everyone can participate in helping to shape this culture.

Research Mentoring and Developing a Culture of Mentorship

- Each divisional chair appoints a tenured faculty member in the division to serve as "Junior Faculty Research Liaison." In 2015-2016 the liaisons are:

Accounting: Shiva Rajgopal	DRO: Gabriel Weintraub
Economics: Andrea Prat	Finance: Charlie Calomiris
Management: Malia Mason	Marketing: Ran Kivetz

- The School has created best practices documents of activities for "Junior Faculty Research Liaisons" and FAQs that they can share with the new faculty members. (See Appendix A attached.)
- The senior faculty in each division, working with their "Junior Faculty Research Liaison" are in the process of developing and executing a mentorship strategy that is appropriate for the unique culture, needs, and resources in the division.
  - In some divisions, a formal research mentor is assigned to each junior person.
  - In others divisions, that would not be feasible or appropriate.
  - Each division will submit their plan to the Dean's office by mid-September.

The "Junior Faculty Research Liaison" <u>is not</u> meant to be a research mentor for junior faculty members.

- The “Junior Faculty Research Liaison” is meant to make sure that the division has a plan so that junior faculty members are mentored.
- The “Junior Faculty Research Liaisons” have the following responsibilities:
    - Develop and execute, along with the tenured faculty in their division, an appropriate mentorship strategy for their division.
    - Make strategic introductions for the newly arriving junior faculty to members of the division (and outside the division as appropriate) who might have synergies with the incoming faculty members’ research, and encourage the junior faculty to seek advice when needed. This responsibility may be delegated more broadly as part of the division’s mentorship strategy if appropriate, but each new junior faculty member can expect to have some introductions made for them.
    - Encourage senior and mid-career faculty to engage with the incoming faculty members in informal mentoring activities. Such activities could include organizing “early-stage research” presentations as described below.
    - Model an ‘open door policy’ so that new recruits feel they can come to ask questions and other faculty on the floor may be encouraged to be open as well.
    - Share best practices with other Junior Faculty Research Liaisons.
    - Serve as a point of contact for all members of the division to make suggestions for improving the culture at the School.

Junior Faculty Resources and Meetings

- The School will provide an FAQ page/handout for junior faculty members listing the main resources and contacts at the School in an easy-to-access format.
- The Senior Vice Dean or designee(s) will plan and host two meetings per year that include a variety of research development topics.
- Topics should change each year, with one meeting each year normally focusing on the promotion and tenure process. (Promotion and Tenure Committee members and/or Tenure Review Advisory Committee members come to explain how the process works.) The first meeting this year is scheduled for September 21, 2015.
- Other topics could include the following:
    - Developing a long-range research plan (career grant recipients, recently tenured faculty, and more senior established researchers, may speak on how to make strategic choices about your research.)
    - Defining your field and making a case for tenure (Divisional chairs, Promotion and Tenure Committee members, recently tenured faculty members, faculty members who bridge fields present)
    - Making the most of your time as a junior faculty member (People who have taken leaves, received fellowships, etc. share experiences)
    - Accessing research resources (Libraries, ITG, Behavioral Lab, External Relations, Sponsored Projects Administration, etc.)
    - Guiding faculty on how to increase impact of their ideas (Marketing and Communications, External Relations, Faculty who serve as editors of key disciplinary journals, are leaders in professional organizations, and conference program chairs)

Opportunities for Informal Research Exchange

- Often, the best way to facilitate dialogue with junior faculty is to provide informal opportunities for groups of junior and senior faculty to exchange research ideas. Open forums for exchange provide valuable feedback to junior faculty on their research in a friendly setting. They also help junior faculty “learn by example” by engaging with and observing senior faculty. The School seeks to encourage more such opportunities for research exchanges.

- Toward that end, each division should organize an “early-stage research” lunch seminar in which junior and senior faculty can present research and exchange ideas.
- A variety of formats is possible, and it is up to the division (or sub-group) to determine a format most suitable to them.
- These informal seminars should ideally be regular events during the fall and spring semesters.

Teaching Mentoring

- The division chair (in consultation with the core course coordinator when applicable) will assign a formal teaching mentor to all new faculty members.
- The School will create a one-page document outlining mentoring ideas, questions, and best practices for both mentors and mentees.
- A roadmap of resources available through the Samberg Institute (and perhaps a list of suggested activities to prepare for teaching) will be provided to all new faculty members.

Plan for implementing the University’s *Guide to Best Practices in Faculty Search and Hiring*

Columbia Business School will strive to take the following actions to insure that Best Practices are implemented in our faculty searches.

- The University’s *Guide to Best Practices in Faculty Search and Hiring* and associated checklist will be distributed by the Senior Vice Dean to division chairs, when divisional searches are initially approved, and search committee membership and chairs are requested. (Done in July 2015).
- The Senior Vice Dean will generally request a search plan and a designated diversity advocate, from each search committee chair.
- Dean’s office will confirm that standard inclusive language is included in all SSEP forms and job ads going forward
- The Senior Vice Dean will plan a meeting for all search committee members in the fall to review the guide and best practices. Data on divisional gender and ethnicity will be shared with committees at or before this meeting.
- The Senior Vice Dean’s Office will share the evaluation form with committee members and indicate that the School will request evidence of a consistent interview and decision making process when evaluating hiring recommendations.
- The Senior Vice Dean’s Office will provide template e-mails to search committee members which they may use to solicit recommendations from colleagues of high-potential candidates and encourage them to apply.
- The Senior Vice Dean’s Office will provide lists to the search committees of PhD candidates and faculty members at peer schools with gender and ethnicity information gleaned from publically available websites.
- The Senior Vice Dean’s Office will ask committee members and division chairs to document any efforts made to ask each candidate about commitment to diversity and diverse environments.
- The Senior Vice Dean’s Office will ask committee chair to share the resume of the strongest female and underrepresented minority applicants with her before an offer will be made, along with steps taken to identify such candidates, so that a comparison can be made between candidates and evaluation of the rigor of the search.

- In June of each year, the search committees will be asked to provide any feedback on strategies used in search and success of those strategies in increasing faculty diversity.

Areas of Ongoing Concern

In the Provost's Meeting with the Dean in Spring 2015, the following areas of concern were identified:

- Tenured female faculty remains at 13%
- Tenure-track female faculty remains below 20%
- MBA female students remains below 35%
- Tenured underrepresented minority faculty remains at 4%

Faculty Strategy

Given a few recent resignations and tenure decisions, our numbers look slightly different as of July 1, 2015, and we feel it is important to clarify them.

- Tenured faculty are 13.75% female
- Tenure-track faculty are 31.25% female
- Tenured and tenure-track faculty are 20.31% female

Nonetheless, the School acknowledges that we have additional progress to make, and plans to use the recruitment strategies along with the mentoring program refined and launched in fall 2015 to continue to increase the percentage of tenure-track women and underrepresented minorities and support them to become tenured in at least the same percentages as their male and non-minority colleagues.

In addition, the School is considering a more comprehensive program of junior faculty leaves to provide additional research time for junior faculty before they are evaluated for tenure.

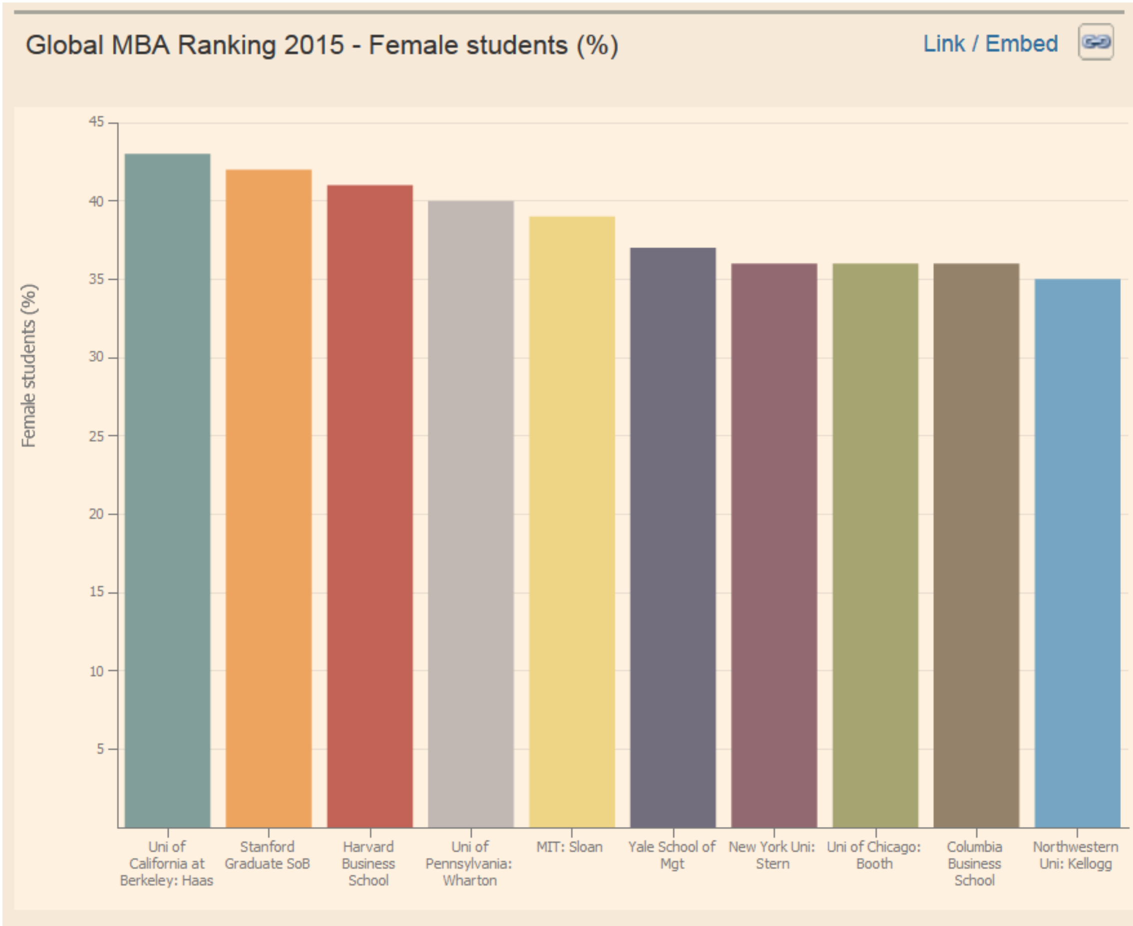
Full-Time MBA Gender Diversity Strategy

As with the faculty data our MBA student gender breakdown differs based on the program and schedule in which students are enrolled. As evidenced by the data below in 2014 the MBA program students beginning in the fall (the most traditional program format) has more than 37 percent women, while the January class has 32.7 percent women. The Executive MBA classes are less diverse.

Program	Enrolled	Male	Female	Female %
MBA – January start	199	134	65	32.7%
MBA – August start	544	342	202	37.1%
MBA Total	743	476	267	35.9%

EMBA Americas	24	13	11	45.8%
EMBA Saturday	116	81	35	30.2%
EMBA Fri/Sat	137	105	32	23.4%
EMBA NY Total	277	199	78	28.2%

The School has decided to set our goal around the fall entry full-time MBA program gender percentage, which is what is reported in most ranking surveys and is presently on par with some of our peer schools (Chicago Booth, Kellogg Northwestern, NYU-Stern, and Yale School of Management) and somewhat behind Harvard, Wharton, Stanford, Berkeley and MIT.



(Data /Chart from *Financial Times* rankings on line)

As discussed in the strategy section above, financial aid will remain a key driver of success in achieving this goal, but we believe the progress that the School has made and will continue to support in changing the environment for female students will go a long way to supporting Columbia Business School's goal of increasing gender diversity in the MBA Program.

Communication and Assessment

The Dean's Office and the director of the Doctoral Program Office have endorsed this plan.

Faculty Goals

The Senior Vice Dean will meet with all search committee chairs and members to review the plans outlined in this strategy document and at critical points in the hiring process (as outlined above) to review progress.

Doctoral Student Goal

The Senior Vice Dean will meet with the doctoral committee and admissions members to review the plans outlined in this strategy document.

Assessment

In July 2016, 2017, and 2018, the Dean's Office will document progress towards the goals above, share the results with the Executive Committee of the Faculty, and adjust strategy and goals as necessary for the succeeding year(s).

OPTIONAL EXAMPLE E-MAIL TEMPLATE

E-mail to colleagues regarding PhD Candidates – This draft is pending approval from the University's Affirmative Action Office. The General Counsel's Office has reviewed it.

Faculty members should feel free to modify the template to suit their own style.

Subject: Request for your advice and assistance in recruiting Junior Faculty to Columbia Business School

Dear X:

I hope you are well, and that your summer was restful and productive.

I am writing to you today as part of an important initiative at Columbia Business School to increase the gender and ethnic diversity of the School's faculty.

If you have any strong graduate students who you believe would be a good match for Columbia, I would be grateful if you would be willing to help connect us. I know you work with terrific doctoral students at (NAME OF SCHOOL) and thus truly value any recommendations you might have. We are particularly interested in recruiting underrepresented minorities and women, such as Black/African American, Hispanic/Latino or Native American candidates.

Depending on your preference, you could either: (1) share their name and contact information with me, and our search committee could reach out to them, or alternately, (2) you could share the attached recruiting announcement with them and have them contact me directly if they are interested in learning more about the division and the School.

We are proud of our division and School—and our recent recruiting has gone well. However, because we know our future success depends on it and in conjunction with University-wide priorities we are taking a more proactive stance to build a faculty that reflects the demographic make-up of top doctoral programs.

Thank you for considering whether you have any students to recommend.

I look forward to hearing from you.

Sincerely,

Attachment

OPTIONAL EXAMPLE E-MAIL TEMPLATE

E-mail to colleagues regarding PhD Candidates – This draft is pending approval from the University's Affirmative Action Office. The General Counsel's Office has reviewed it.

Faculty members should feel free to modify the template to suit their own style.

Subject: Request for your advice and assistance in recruiting for Columbia's Doctoral Program

Dear X:

I hope you are well, and that your summer was restful and productive.

I am writing to you today as part of an important initiative at Columbia Business School to increase the diversity of the students in our doctoral program.

If you have any strong students who you would encourage to consider top PhD programs, I would be grateful if you would be willing to help connect us. I know you work with terrific undergraduates at (NAME OF SCHOOL) and thus truly value any recommendations you might have. We are particularly interested in recruiting underrepresented minorities and women, such as Black/African American, Hispanic/Latino or Native American candidates.

Depending on your preference, you could either: (1) share their name and contact information with me, and the our program leadership could reach out to them, or alternately, (2) you could share the attached brochure with them and have them contact me directly if they are interested in learning more about the program.

We are proud of the students in our doctoral program—they come from top universities around the world and go on to teach and work in top universities and companies. However, because we know our future success depends on it and in conjunction with University-wide priorities we are taking a more proactive stance to create a student body that reflects the demographic make-up of top college graduates.

Thank you for considering whether you have any students to recommend.

I look forward to hearing from you.

Sincerely,

Attachment

Annual Review Process for Junior Tenure-track Faculty Members at Columbia Business School

Columbia Business School strives for a clear and transparent annual feedback process for tenure-track faculty members. Our goal is for junior faculty members to have the information they need to understand the promotion and tenure process, and the feedback and guidance from their tenured colleagues to understand their progress against the very high standards for research, teaching, and service required to be granted tenure at Columbia University.
This document is intended to outline the annual review process and list some best practices for implementation.

- Each January, all faculty members are asked to submit a "Faculty Activity Report" (FAR) form, along with a CV and an "Outside Activities Report" reporting on the previous calendar year to the Dean's Office.
    - The FAR is used for many purposes, including the division's annual review of junior faculty progress, the Dean's Office review for all faculty salary increases, and by the External Relations and Marketing and Communications departments, to better understand faculty work.
- The FAR and CVs of junior faculty members are sent to the divisional Chairs. Working papers should also be requested by the division at this time if they have not been requested earlier in the year.
- Each division assigns tenured faculty members to write a formal review of their junior colleagues.
    - Reviews are drafted for each junior faculty member and agreed to and signed off on by the entire tenured faculty of the division.
    - Reviews are delivered to the Dean's Office in February or March.
    - If reviews are controversial, the division is encouraged to discuss them with the Dean's Office in advance of sharing them with the faculty member.
    - The tenured faculty members who wrote the review then meet with the junior faculty member, normally in person, to deliver the review and discuss its contents with them.
    - The reviews normally cover the following topics:
        - Formal reminders of the criteria for earning tenure at Columbia
        - Discussion of research, both published and in progress, noting implications of questions addressed, evidence of impact, clarity of field definition, research design, etc.
        - Discussion of teaching efforts and results
        - Discussion of service to the School and University
        - Discussion of activity in the field beyond the University
        - Overall assessment of progress against promotion and tenure benchmarks
    - While the reviews are intended to be honest assessments by tenured faculty members, and to reflect the consensus of the division's tenured faculty, they are never a guarantee of a specific future outcome.

<u>Best Practices for divisions in Annual Review Process for Junior Faculty Members</u>

- Normally at least two tenured faculty members will collaborate on the review of each junior faculty member.
- Ideally there will be a rotation through the senior faculty members so that each year there is a primary and secondary reviewer for each junior faculty member, and the senior person rotates off after the second year.
    - This creates some continuity among reviews, but also brings fresh perspective, and expands the number of senior faculty members who are familiar with the junior faculty member's work.

- It may be helpful if review assignments are made in the summer or fall of the year for the following spring review so that reviewers have time to become familiar with the work and progress of their junior colleagues.
- If the division has a mentor strategy that assigns formal mentors to each junior faculty member, then it is best to keep the mentor out of the rotation for the formal annual reviews.

Expectations and Best Practices for "Junior Faculty Research Liaisons"

Junior Faculty Research Liaisons serve as the point person in each division to facilitate and encourage formal and informal mentoring.
The "Junior Faculty Research Liaison" has the following responsibilities:

- Develop and execute, along with the tenured faculty in their division, an appropriate mentorship strategy for their division.
- Make strategic introductions for the newly arriving junior faculty to members of the division (and outside the division as appropriate) who might have synergies with the incoming faculty members' research, and encourage the junior faculty to seek advice when needed. This responsibility may be delegated more broadly as part of the division's mentorship strategy if appropriate, but each new junior faculty member can expect to have some introductions made for them,
- Encourage senior and mid-career faculty to engage with the incoming faculty members in informal mentoring activities. Such activities could include organizing "early-stage research" presentations as described below.
- Model an 'open door policy' so that new recruits feel they can easily ask questions.
- Share best practices with other Junior Faculty Research Liaison's across the School.

Best Practices

- ➢ Recruit one or two other tenured faculty in your division to collaborate on developing the mentorship strategy document for your division.

- ➢ Read the research summary on the new faculty member's page
- ➢ Prior to the start of the fall semester, contact new faculty members in the division to set up a time to meet (perhaps for coffee in the lounge) with the new faculty member and learn a little about their work. If your division assigns formal research mentors, this may not be necessary.
- ➢ Develop a list of one to three other members of the senior faculty, and introduce the new junior faculty member to them, to discuss their research.
- ➢ Consider inviting the new faculty on the floor to join you for lunch, and include other members of the current junior and senior faculty if possible.
- In conjunction with your division, agree to a suitable format for an "early-stage research" seminar or internal talk series in which junior and senior faculty can present research and exchange ideas.
  - Select dates and organize a presentation schedule for this seminar
  - It may make sense to begin the schedule with faculty members who have been here several years, perhaps those most recently promoted to associate. Ideally all new faculty members will have an opportunity to make one presentation in their first year at Columbia.
  - One possible format could be to have two short talks (25 minutes each) on one day.

FAQs for Tenure-Track Faculty Members about Mentorship

Q: How does mentoring at Columbia Business School work?

A: Columbia Business School has a two pronged mentor program for teaching and research.

For Teaching:

- You will be assigned a teaching mentor by your divisional chair when you arrive at Columbia. Normally, you will not teach in the first semester of your appointment and you will to sit in on their class and work to develop a plan for the class you will teach in the following semester.

For Research:

- Each division at Columbia Business School has a "Junior Faculty Research Liaison" who serves as the point person in the division to facilitate and encourage formal and informal mentoring.
- Each division has its own unique mentoring strategy, tailored to the size, shape and culture of the division. Some divisions assign formal research mentors to all junior faculty members, others do not. You may ask your Junior Faculty Research Liaison to see the division's mentoring strategy.
- You can expect that the Junior Faculty Research Liaison or another member of the tenured faculty will make introductions for you to at least one other tenured member of the faculty to discuss research.

Q: What are my responsibilities?

A: You do not have formal responsibilities to your mentor, other than to follow through on promises you make, and to be respectful of their time.

Mentorship is an organic process, so you are encouraged to make the most of the connections and feedback provided to you, but also to seek guidance from a range of colleagues at Columbia and beyond as you engage in creative intellectual work of your own choosing. All faculty members are ultimately responsible for their own choice of research direction and the originality, creativity, quality, productivity, and integrity of their scholarly work.

Q: What should I do if I don't connect with my assigned mentor?

A: By their nature, some mentor/mentee relationships are more fruitful than others. If you have concerns about your mentor assignment, you may talk to your Junior Faculty Research Liaison, your chair, or the Senior Vice Dean. You may also informally develop relationships with other faculty members that serve you more effectively.

Q: If I have a formal research mentor, what role do they play in evaluation for promotion and tenure?

A: As a member of the tenured faculty in the division, the mentor will play the same role as all tenured faculty in the division. They will be involved in annual evaluations and will vote on your case for promotion and tenure. Normally, however, they will not draft your annual evaluation.

FAQs for Tenure-Track Faculty about Promotion and Tenure and Increasing the Impact of Your Work

Q: How long is the tenure clock at Columbia?

A: The tenure clock at Columbia is eight years long. Faculty members at Columbia University are normally considered "up for tenure" in their seventh year of "counted service." Sometimes faculty members are considered early.

Q. What is "Counted Service"?

A: The University limits the number of years that a faculty member can remain on the tenure track, but in some instances allows some time to be excluded from the limit. The University refers to the time that is included when calculating the limit as "counted service." Normally "counted service" is equal to the years of employment in a faculty position at Columbia after receiving the Ph.D., however the University allows faculty members to have a limited number of breaks in their counted service (also known as "stopping your tenure clock") for parental workload and other types of leaves. More details are available in the faculty handbook and below.

Q: Under what conditions does my tenure clock stop?

A: The tenure clock is often stopped when a faculty member takes a leave of absence.
Normally:

- The University will stop the tenure clock for up to one year for research, service, or medical leaves of six months or more.
- The University will stop the tenure clock for up to one year for up to two parental leaves.

Details of types of leaves and process for requesting them are explained in detail in the faculty handbook and on the faculty governance website at: Leaves of Absence - Guide to Understanding and Applying for Leaves (2015). Please consult the Dean's Office if you have questions.

Q: When are faculty members considered for promotion to un-tenured associate?

A: Assistant professors must be considered for promotion to un-tenured associate professor before the end of their 5th year of counted service. The nomination would typically come after three to four years, but a division could elect a shorter or longer time depending on the circumstances. See promotion policy at: Untenured Assistant to Untenured Associate

Q: How do annual evaluations work?

A: Each January, all faculty members are asked to submit a "Faculty Activity Report" (FAR) form and CV to the Dean's Office. A past version of the FAR form is available at: Faculty Activity Report Template (2014) The FAR and CVs of junior faculty members are sent to the Divisional Chairs. Each division assigns tenured faculty members to write a formal review of their junior colleagues. Reviews are drafted for each junior faculty member and agreed to and signed off on by the entire tenured faculty of the division, and shared with the junior faculty member and the Dean's Office.

Q: What are the criteria to be awarded tenure at Columbia University?

A: The University's Tenure Review guidelines indicate that to receive tenure:

- The nominee must be an outstanding scholar, a person who has demonstrated the capacity for imaginative, original work and who shows promise of continuing to make significant contributions to research.
- Excellence as a teacher is also necessary, and service to the University and discipline is important. Neither, however, individually or taken together, is a sufficient basis for tenure.
- The essential requirement for the appointment of any nominee is scholarly achievement testifying to an unusually original and creative mind.

Q: How does the University evaluate candidates against these criteria for tenure?

A: From a practical point of view, the University evaluates candidates against these criteria by soliciting external letters of evaluation from non-Columbia faculty members with an expertise in the candidate's field. Letters are normally solicited from 15 to 20 individuals split between peers and senior academics in the field. The University asks the writers to rank the candidate's research contributions against those of a list of peer scholars in the field.

In addition, the University looks at other information and data such as:

- Candidate's CV
- Candidates publications and/or working papers
- Candidate's research statement
- Citation counts
- Course evaluations
- Divisional statement
- Evaluation votes

Q: What are the steps of a tenure review?

A: The tenure review process for internal candidates proceeds as follows. More details are available at the following link: http://www8.gsb.columbia.edu/faculty-staff/faculty-governance/promotion-tenure

1. The candidate submits required documents to the division.
2. The division evaluates the candidate (including establishing a reading committee to review the work) and votes upon whether to solicit external letters and if so recommends from whom.
3. The Promotion and Tenure Committee evaluates the candidate and votes upon whether to solicit external letters. and if so recommends from whom.
4. The tenured faculty of the School evaluates the candidate and votes upon whether to solicit external letters and if so from whom.
5. The dean evaluates the candidate and the recommendation vote of the tenured faculty and solicits letters.
6. The division evaluates the case and the external letters and votes upon whether to recommend tenure.
7. The Promotion and Tenure Committee evaluates the case and the external letters and votes upon whether to recommend tenure.
8. The tenured faculty of the School evaluates case and the external letters and votes upon whether to recommend tenure.

9. The dean considers the merits of the case and the advisory vote of the tenured faculty, and decides whether or not to recommend tenure and forward the case to the University's standing Tenure Review Advisory Committee (TRAC).
10. The case is reviewed by the Tenure Review Advisory Committee.
11. The Provost makes a recommendation to the President.
12. The President makes a decision, and it is communicated by the dean to the candidate.
13. If the decisions are positive, the appointment is forwarded to the trustees for approval.

The candidate will be advised of status after key votes according to Business School procedures, and will be asked if they want the process to proceed. They may request that the process be stopped at any point along the way.

Q: What do you need to submit for your tenure case to be considered?

1. A current curriculum vitae (c.v.)
2. Copies of 3 to 5 of your most important research papers or publications
3. A personal statement that describes both past research and future research plans.
4. The division may also ask for additional information as they evaluate and build your case, such as course materials and teaching evaluations, etc.

Q: When do you need to submit for tenure materials?

A: For faculty being considered in their seventh year, materials will be due to the division in the spring of your sixth year, although they may be updated during the seventh year to reflect changes in the CV during that time.

Q: How can you increase the impact of your research?

A: There are many strategies that junior faculty members can use to increase the impact of their research. A non-exhaustive list of ideas is below. Discussing these ideas with your colleagues and pursuing the most efficient of them for you and your work is the best way to proceed.

- Conduct and publish thought provoking research in top academic journals.
- Present your work at conferences and seminars at other Universities.
- Submit working papers to SSRN.
- Send copies of or links to your published research to colleagues at other Universities.
- Collaborate with faculty at other universities.
- Organize conferences or conference sessions on topics central to your research.
- Serve as a reviewer for top journals.

Q: What are best practices to bring your working papers to publication?

A: Clearly there are many parts of the journal publication process that are beyond your control. The best strategy is to focus on the parts of the process that are in your control:

- Seek more information from journal editors: If you get a "rejection" or a "revise and resubmit" it is OK to ask for additional feedback or clarification. This can help you make an informed decision about how to approach potential revisions.
- Seek advice from multiple colleagues if you get a "rejection" or a "revise and resubmit." This can also help you to make an informed decision about how to approach potential revisions or appeals.

- Use the feedback you receive from all sources to make a decision about whether to resubmit to the same journal, submit to a different journal, or stop pursuing the work.
  - You could decide to submit to a different journal and then, if you don't get accepted at the second journal revise for the original outlet.
- Use the feedback you receive from all sources to confer with your co-authors about the best path to publication.
- Take deliberate and timely action on a "rejection" or a "revise and resubmit" response from a journal. It is up to you how long an article sits on your desk, and minimizing that time may be one of the biggest levers you have to moving articles more quickly toward publication.
- Understand the typical review process and expected time for specific journals and use that information to be strategic about the submission path you take.