

Standards for Internal Promotion from Tenured Associate Professor to Tenured Professor

Approved by the Tenured Faculty on 2-11-2020

Under this policy, tenured Associate Professors are normally considered for promotion to (Full) Professor in their fourth to sixth year after receiving tenure. Strong justification is required for an earlier recommendation for promotion. There is no upper limit to the time a tenured faculty member may serve in the rank of Associate Professor. An Associate Professor can request that the Division review his or her case for promotion at the end of year 6 if the Division has not initiated a review by this time. To be eligible for promotion there must be clear evidence that the candidate has fulfilled the promise on which tenure was granted, namely, a continuing outstanding research track record, distinguished pedagogical and teaching activities, and involvement in professional service in and outside Columbia University. For promotion to full professor, the main criteria should be research productivity since tenure, teaching, and service, with a stronger weight on teaching and service than at the tenure juncture. Promotions to full professor require approvals from the provost and trustees.

The following factors are among those considered in evaluating the candidate's qualifications for promotion. The quality and impact of cumulative contributions is considered, with an emphasis on contributions since tenure.

A. Research

1. Publications in recognized journals and other scholarly and professional disseminations.
2. The initiation and development of significant research projects.
3. The candidate's effectiveness in mentorship of junior faculty as well as in guiding, advising, and placing graduate students.
4. The development of programs and infrastructure that contributes to research at the School.
5. Other evidence of research recognition such as citations, awards, service on editorial boards, research grants from outside organizations, patents, adoption of the candidate's software, and invited research presentations.

B. Education and Teaching

1. Effectiveness as a teacher, drawing on opinions of past/present students, student course evaluations, and other indications of effectiveness.
2. Curriculum development, focusing on the creation of new courses and updating material of existing courses.
3. Publications related to teaching, including cases, textbooks, and teaching aids.
4. Mentoring of junior faculty in the classroom.
5. Participation in executive education, including the development of new programs and new material for existing programs.
6. Active interest in student affairs and welfare, and effectiveness as a student advisor.

C. Professional Service

1. Participation and leadership in important faculty assignments and committees within the University, School, or Division, such as those concerning curricular development, educational policy, research matters, and administrative and university affairs.
2. Participation and/or leadership in business school programs and centers.
3. Professional scholarly recognition outside the university community as evidenced by appointments to editorial posts for scientific publications and membership on significant professional and scientific committees, councils, boards, and review panels.
4. The impact of a candidate on the business community and practice, including articles, editorials, interviews, and mentions in media outlets.
5. The impact of a candidate on public policy through publications and/or governmental experiences.
6. Leadership and participation in diversity initiatives, outreach, cross-campus activities, and mentoring.

It is not expected that an individual would rate highly on every point in each of the three categories, yet the quality of the candidate's performance in regard to listed items, and the number of those in which the candidate has proved successful, should lead to reasonable uniformity of judgment in considering promotion.

Process

In order to have a nomination considered by the Promotion and Tenure Committee, full professors in the Division must first vote on the promotion based on the preceding criteria. For the Division to forward the case to the Promotion and Tenure Committee, a minimum vote of 70% of those present is needed, with the expectation that P&T approval would require a significantly higher level of endorsement. If the Divisional vote is less than 70% positive, the chair should provide feedback to the candidate on the reasons that the promotion was not recommended, and the case will normally not be forwarded to the Promotion and Tenure Committee. However, at this point the candidate may appeal the case to the P&T committee, which would then consider the promotion.

For the Promotion and Tenure Committee to consider the case, the Division must submit to the Senior Vice Dean (who will distribute materials to committee members): (1) the individual's *curriculum vitae*; (2) two to three published or unpublished papers; and (3) a divisional statement, at most five pages long, that clearly defines the individual's research area and summarizes his/her contributions as defined above. The Divisional statement should provide an explicit assessment of where the candidate stands in the profession relative to top senior scholars in the candidate's field of research. As a part of this assessment, the Division is asked to provide cite counts for the candidate and the top senior scholars. The required cite count used is that reported by the Institute for Scientific Information's Web of Science, that counts cites by

published papers to the candidate's research. A second measure (based on Google Scholar) can also be reported.

The Promotion and Tenure Committee will then provide the Dean's office with its assessment of the case, and a recommendation whether or not to move forward with a promotion to Full Professor. If the P&T recommends against moving forward, then it must provide written feedback to the Dean providing reasons for the decision. This recommendation is advisory to the Dean who makes the final recommendation for promotion to the Provost for confirmation by the Trustees.

If the candidate has formally requested that they be considered for promotion, but the final decision is not to promote at this time, then the divisional chair will provide feedback to the candidate including information from the dean and/or the Promotion and Tenure Committee as appropriate. If the candidate is not aware that they were being considered, no feedback is necessary.

The Dean's Office may also grant a promotion without following all the steps in the above procedure in unusual circumstances such as competitive pressures from peer institutions. Even in such cases, whenever possible, every effort will be made to go through the procedures specified above.