

*Approved by the Promotion and Tenure Committee and Tenured Faculty
Columbia Business School June 21, 2013¹*

Revised and affirmed by the tenured faculty 2-11-2020

Clarification Edits Proposed 7-8-2021, 9-29-2021, & 10-14-2021

Changes have received Dean's Office, P&T, EC, and Provost approval
and were adopted by a unanimous vote of the Tenured Faculty on December 6, 2021.

PROCEDURES FOR PROMOTION

Promotion from Untenured Assistant to Untenured Associate Professor

Promotion nominations for candidates to untenured Associate Professor should come from a division's tenured faculty or the Dean's Office. Based on a divisional statement and additional documentation the Promotion and Tenure (P&T) Committee advises the Dean on the desirability of faculty promotions from a rank of untenured Assistant Professor to untenured Associate Professor.

Criteria:

A nomination to Associate Professor shall signify recognition of completed and ongoing research, teaching, and service, and serve as a judgment that, if the individual maintains his/her trajectory on research, teaching, and service, tenure at Columbia is a reasonable probability, where "reasonable probability" means that the division assesses that the likelihood that the candidate will be eventually granted tenure at Columbia Business School is greater than 50%.

Timeline:

Divisions must undertake an evaluation of each tenure track faculty at the rank of Assistant Professor to consider promotion to Associate Professor without tenure before the end of the fifth counted year of service. The evaluation could result in a nomination to put the candidate up for promotion to Associate Professor without tenure, a decision to re-evaluate the candidate at a later date (for promotion to Associate if the evaluation is done before the fifth counted year of service or for promotion to tenure before the end of the sixth counted year of service), or a recommendation to terminate the appointment as of the end of the subsequent year.

The nomination would typically come in the fourth counted year of service, but a Division could elect a shorter or longer time depending on the circumstances (but subject to the aforementioned limits). Strong justification is required for an earlier recommendation for promotion. Regardless of when the review takes place, it is considered the equivalent of the "Fifth Year Review" as required by the Provost's Office.

No details of this process should be disclosed to the candidate between the time that the division votes on the nomination and when the division chair notifies the candidate of the Dean's final decision.

Divisional Process:

The Divisional evaluation must result in a vote on a recommendation that is communicated to the P&T Committee and the Dean's Office---however the voting threshold for the recommendation is

¹ Originally developed December 2, 2009. Minor typographical corrections and clarification that all cases must be presented to the Promotion and Tenure Committee regardless of the recommendation of the division were made in February 2012 following the revision of the promotion to full professor procedure. Further revision, June 2013 and January 2020, and December 2021.

left up to the division.² If promotion to untenured associate is not recommended during or before the fifth counted year of service, the division must clearly communicate the reasons to the candidate as well as to the P&T Committee. The P&T Committee recognizes that the Dean's Office may also initiate a promotion based on competitive pressures from peer institutions.

Documentation Required:

In order to have a nomination considered by the P&T Committee, the Division must submit to the Senior Vice Dean of Faculty Affairs (who will distribute materials to the P&T committee members):

- (1) the individual's *curriculum vitae*;
- (2) two to three published or unpublished papers;
- (3) a list of four senior scholars who are leading experts in the area of research of the individual to help define the boundaries of the field, as defined in the Divisional statement, as well as a list of at least four leading junior scholars in the individual's cohort to whom the candidate is likely to be compared at tenure; and
- (4) a divisional statement, **at most five pages long**.

The Divisional Statement should clearly define the individual's research area, summarize his/her research, teaching, and service contributions, and describe the manner and extent to which these contributions fit in with the Division's overall strategy. It is not intended to be written with the same scope and detail as for a tenure case.

The Division is asked to provide as an addendum to the divisional statement cite counts for the candidate and their peer-comparison list. 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 counts should be provided both in raw form, and adjusted for the year in which the candidate and peer scholars received their PhDs.

The Divisional Statement should briefly compare the candidate and the identified junior comparison scholars in terms of research achievements, potential and overall trajectory toward tenure, and should clearly state the reason for the recommendation to move forward with the promotion. The names on these lists are for purposes of internal evaluation by the P&T Committee and should not include faculty at Columbia. No letters of recommendation will be solicited, nor will these cohort or senior scholars be contacted by the division or the P&T Committee. The identified scholars need not be part of future tenure proceedings.

Only item (1) is required if the division is not recommending promotion.

Promotion and Tenure Committee Process:

The P&T Committee will receive materials a week in advance of the meeting at which the case will be discussed. The Divisional representative on the Committee will present a high-level summary of the case, and the committee will discuss the case.

If there is not sufficient support on the P&T Committee for promotion and the Dean concurs, the committee and/or the Senior Vice Dean of Faculty Affairs will communicate this to the division

² For reference, for a tenure case to automatically move forward to a full review by the P&T Committee, it must have at least 70% support from the Division.

chair, and the division will prepare a regular junior faculty annual review letter for the candidate, providing actionable feedback to strengthen their case, or guidance on their future prospects.

If the P&T Committee endorses the promotion, it will then provide the Dean's Office with a written assessment of the case in the form of a letter to the candidate, and a recommendation to move forward with a promotion to untenured Associate Professor. This recommendation is advisory to the Dean who makes the final decision.

If the Dean endorses the recommendation to promote, then the Senior Vice Dean of Faculty Affairs or the Dean will inform the Division Chair who will communicate the promotion decision to the candidate.

If the Dean decides against the recommendation of the P&T Committee to promote, then the Senior Vice Dean of Faculty Affairs or the Dean will re-write the letter to the candidate to reflect this decision, seek guidance from the P&T Committee and the Office of the General Counsel as needed, and meet with the division chair and the candidate separately or together to explain the decision.

The P&T letter to the candidate will be sent to the candidate and will be shared with senior faculty in the candidate's division after review by the Office of the Dean.

The letter is also sent to the Provost's Office as the Fifth Year Review, but it does not require their approval.