

Tenure Evaluation Procedures for Internal Faculty Candidates at Columbia Business School

Revised Spring 2019. For implementation with cases that begin in the Spring of 2020.

Approved by Tenured Faculty May 9, 2019 & finalized December 9, 2019.

Preamble

- The purpose of our promotion and tenure processes is to create and maintain an excellent and diverse faculty by evaluating faculty members' past accomplishments and anticipated future achievements, in an equitable and, to the extent appropriate, transparent process.
 - Consistent with University policy, the primary basis for a promotion to untenured associate, to tenure, or to full professor is research productivity and impact. Teaching, collegiality, and service (to the division, school, and broader academic community) also matter.
1. Criteria for tenure and University rules for the tenure process are described in [Principles and Customs Governing University-Wide Tenure Reviews \(2018-19\)](#).¹ Below are procedures and customs at the Business School.
 2. The role of the Promotion and Tenure (P&T) Committee and election of its members is outlined in the Business School's [By-Laws](#). The role of the Senior Vice Dean of Faculty Affairs (SVD) as the chair of Promotion and Tenure Committee is non-voting. The SVD is responsible for insuring that policy is followed and tasks are executed, but not for canvassing or presenting cases.
 3. Untenured faculty members receive annual written evaluations as well as verbal feedback from senior faculty in their division. They also receive written feedback from the P&T Committee when they receive promotion to Associate Professor without tenure. Details on promotion to Associate Professor without tenure are at: <https://www8.gsb.columbia.edu/faculty-staff/faculty-governance/promotion-tenure>
 4. In the fall of the sixth year on the tenure clock (usually in September or October), the Senior Vice Dean of Faculty Affairs or a designee from the dean's office meets with tenure candidates to outline the tenure review process, deliverables, and normal timeline.
 5. By the end of the sixth year on the tenure clock (usually by mid-April), if the candidate agrees, the tenured faculty members in the Division meet to decide whether to consider a candidate for tenure.
 - a. A candidate may also be considered for tenure before the end of the sixth year if:
 - i. they submit a written request to be considered for tenure to the Division Chair and to the Senior Vice Dean, or
 - ii. if the Division Chair submits a written request to the Senior Vice Dean of Faculty Affairs on behalf of the division and the candidate agrees to this request.
 - b. If the candidate does not wish to be considered for tenure at the end of their sixth year

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<https://provost.columbia.edu/sites/default/files/content/Faculty%20Affairs/Tenure%20Guidelines%202018-19.pdf>

on the tenure clock, they should submit a written note to that effect to the Division Chair and the Senior Vice Dean of Faculty Affairs.

- c. The candidate may pull their case at any time during the process by submitting a written note to that effect to the Division Chair and the Senior Vice Dean of Faculty Affairs.
 - d. If it is agreed by the division and the candidate that a candidate's case will be considered, the chair meets with the faculty member to specify required materials which would normally include a c.v., 3-5 of the candidate's most important research papers and a personal statement (as described below). These documents must be submitted and available to the reading committee and the division at least one week in advance of the meetings when they consider the case.
 - e. A reading committee of tenured faculty members is formed in the Division to read and evaluate the candidate's research. This committee presents its conclusions to the tenured faculty in the division (including pros and cons of the case).
 - f. The tenured faculty members in the division carefully review the candidate's research, teaching, and service based on the submitted materials and vote on whether they recommend moving the case forward (by soliciting external reference letters). A quorum for the meeting is 50% of the tenured faculty members in the division who are not on leave. Faculty members on leave may participate and vote, and their vote and participation should be counted (as if they were not on leave) in both the numerator and denominator when determining if a quorum has been reached. If they are not participating, they should not be counted in the denominator when determining if a quorum has been reached.
 - i. In person attendance at this meeting is strongly encouraged, but if this is not possible, then phone attendance is permitted with prior approval from the Divisional Chair.
 - ii. Each member of the Division who is present votes using a signed ballot with options of yes, no, or abstain.² Votes are counted by the divisional chair or staff person.
 - iii. Ballots are only shared with the Promotion and Tenure Committee and are otherwise private. The tally of the vote is recorded and shared with the tenured faculty and the case is passed to the P&T Committee for review.
6. Regardless of the outcome of the divisional vote about whether to solicit external letters, the case is reviewed by the Promotion and Tenure Committee.
- a. The Division must submit the following material to the Dean's office for the P&T Committee review (please see the University guidelines for a detailed explanation of these documents which are required by the University).
 - i. The candidate's current curriculum vitae (c.v.)
 - ii. Copies of 3 to 5 of the candidate's most important research papers or publications
 - iii. A personal statement from the candidate that describes both past and future research. Details on research should be included here (not in the division statement). This statement will be sent to all letter writers per TRAC's guidance if and when letters are solicited.
 - iv. A procedural checklist confirming that the process and timeline for the

² Throughout the document, the reported % in favor should be calculated by the number of yes votes over the number of people present, thus abstain votes are included in the denominator.

- divisional review was completed in accordance with policy.
- b. If the division's vote is less than 70% in favor of the nomination, then the following item must also be submitted
 - i. A brief overview of the case including pros and cons from the point of view of the division
 - c. If the division's vote is at least 70% in favor of the nomination then the following items must also be submitted:
 - i. A divisional statement that assesses the quality of the candidate's scholarship, teaching, and service and makes the case for tenure.
 - ii. A list of recommended senior letter writers along with a detailed justification for their choice.³ This list must include ten senior letter writers (all tenured faculty) and may include alternates as well. This list may be modified by the P&T Committee and the tenured faculty of the School. (As per the University Guidelines, the candidate should not be consulted and the information listed should include complete credentials as well as any prior or current associations the reviewer has with the candidate (e.g. co-authors, colleagues, advisor/advisee, classmates etc.)
 - iii. A comparison/peer list of recently tenured faculty⁴, all of whom are in the primary field of the candidate. This list must include eight comparison/peer letter writers and may include alternates as well. This list may be modified by the P&T Committee and the tenured faculty of the School. (As per the University Guidelines, the candidate should not be consulted and the information listed should include complete credentials as well as any prior or current associations the reviewer has with the candidate (e.g. co-authors, colleagues, advisor/advisee, classmates etc.)
 - iv. In addition to materials required by the Provost, the Division is asked to provide 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. It includes cites by unpublished working papers to the candidate's published and unpublished research and can be thought of as a "leading indicator" that is more appropriate for younger scholars who have not had as much time for their research to have an impact in Web of Science's count.

In the normal timetable, these documents are submitted to the Dean's office in mid-August of the seventh year on the tenure clock.

7. The P&T Committee decides whether the case is worthy of a full examination. In making this decision, the P&T considers the vote from the Division and the process it followed.
 - a. If the Divisional process is deemed fair and without irregularities, a Divisional vote of 70% in favor is sufficient for the P&T to give the case a full examination. This requires

³ University Procedure (see page 8) says: "The dean or executive vice president responsible for obtaining the evaluations selects the scholars who will be asked for referee letters, taking into consideration suggestions received from the nominating department, division, or school. Scholars at other universities may also be consulted in compiling the list of referees, **but not the nominee.**"

⁴ The University discourages including non-tenured faculty on the comparison list, although exceptions may be requested through the Senior Vice if there are exceptional circumstances. If an exception is made, letters are not solicited from the untenured candidates. Only tenured faculty members are asked to write letters.

the materials outlined in section 6c and the formation of a subcommittee of two members to evaluate the tenure case. Subcommittee members confer individually with all members of the tenured faculty in the Division as well as with the candidate. The P&T Committee will then proceed to conduct a detailed evaluation of the case based on the submitted materials and findings of the subcommittee.

- b. When the divisional vote is greater than 50% but less than 70%, the P&T will proceed with the subcommittee formation and canvassing as specified above, and may, at their discretion, ask for additional information and proceed with a full examination of the case.
- c. When the divisional vote is less than 50%, the P&T review will primarily focus on verifying the Divisional process was adequately followed, and under normal circumstances will ratify this outcome, although, at their discretion, may give the case a full examination.

If the P&T Committee decides that the case is worthy of a full examination, it forms a subcommittee of two members to evaluate the tenure case. Subcommittee members confer individually with all members of the tenured faculty in the Division as well as with the candidate. The P&T Committee conducts a detailed evaluation of the case.

8. The P&T Committee votes on whether or not to recommend the tenure case to the tenured faculty. Each member of the P&T Committee present at the meeting votes yes or no. The P&T committee may recommend changes to the list of letter writers. The candidate is told by the Divisional Chair and a P&T representative whether less than 50%, 50-69%, or 70+% of the Division and P&T voted for tenure.
 - a. If there is more than 70% support from the either divisional faculty or the P&T committee or both, then the case will normally be forwarded to the tenured faculty in the School.
 - b. If there was less than 70% support from the divisional faculty and the P&T committee, the process will normally end, but the candidate may request that the case be forwarded to the tenured faculty of the School.
 - c. If the division did not prepare a divisional statement, and the P&T committee recommends the tenure case to the tenured faculty, and the candidate does not pull the case, then the P&T committee will work with the division's tenured faculty to prepare a divisional statement.
9. If the case proceeds, materials are distributed to the tenured faculty at least a week in advance, and the tenured faculty of the School meet to discuss the tenure case, and to hear reports from the Division and the P&T Committee. In the normal timetable, this will occur by October of the seventh year on the tenure clock. During this stage of the process, the tenured faculty may also recommend modifications to the list of letter writers. The tenured faculty votes on whether or not to proceed with the tenure review and solicit external referee letters using a signed ballot indicating: proceed, don't proceed, or abstain. Ballots are only shared with the Dean, Senior Vice Dean of Faculty Affairs, and, if the case proceeds to TRAC, with the Provost, and are otherwise private. Voters must identify themselves on the ballot so the Dean and the Provost may contact voters to understand their position. Normally, a vote of at least 70% in favor would be necessary for the Dean to solicit external referee letters. In person participation is required to vote.
10. Based on the outcome of the vote, the Dean decides whether to solicit external referee letters from all names on the senior faculty list and tenured faculty on the peer list using the University's

approved text.⁵ The senior letter writers are sent the tenure candidate's c.v., the personal statement, and list of all the names for peer comparisons, as well as the papers. Each peer writer is sent the candidate's c.v., papers, and the list of names for peer comparisons, with their name *omitted* from the comparison list. Letter writers do not receive the divisional statements or the cite counts.

11. The Division meets again to review the tenure case and the external letters. Each member of the Division present (in person or over the telephone) votes whether to recommend tenure using a signed ballot with options of yes, no, or abstain. Ballots are only shared with the Promotion and Tenure Committee, the Dean, and the Senior Vice Dean of Faculty Affairs, and if the case is forwarded to TRAC with the Provost's Office and are otherwise private. The tally of the vote is recorded and shared with the tenured faculty and the case, with a post-letter addendum, is sent to the P&T Committee for review.
12. The P&T Committee meets to review the tenure case and votes on whether to recommend tenure. P&T members vote on the strength of the tenure case using a scale of 1 to 4, with 4 representing a strong tenure case and 1 representing a weak tenure case. A vote of 3 of 4 is considered a vote in favor of the case.
13. The Divisional Chair and a P&T representative communicate with the candidate whether less than 50%, 50-69%, or 70+% of the votes were positive at the division and P&T Committee.
 - a. If there is 70% or more support from the either divisional faculty or the P&T committee or both, then the case will normally be forwarded to the tenured faculty in the School.
 - b. If there is less than 70% support from the divisional faculty and the P&T committee, the process will normally end, but the candidate may request that the case be forwarded to the tenured faculty of the School.
14. If the case proceeds, the tenured faculty of the School meets for a second time to vote using a signed ballot on whether to recommend tenure. In the normal timetable, this vote occurs by December of the seventh year on the tenure clock. Ballots are only shared with the Dean, the Senior Vice Dean of Faculty Affairs, and the Provost, and are otherwise private. Voters must identify themselves on the ballot so the Dean and the Provost can contact any voters to help understand their position. Quoting from the university Tenure Guidelines document (p. 4): "The decision on whether to nominate is made by an open vote or by signed ballots. Faculty who do not vote affirmatively will be asked to provide the Office of the Vice Provost with an explanation of the reasons for their opposition or abstention." The tally of the vote is announced to the tenured faculty. Normally, a vote of at least 70% in favor would be necessary for the Dean to move the case forward to the University's standing Tenure Review Advisory Committee (TRAC). In person participation is required to vote.
15. Based on the outcome of the vote, the Dean decides whether to move the case forward to TRAC. If the case moves forward, the complete dossier (statements, papers, c.v., and letters, along with other materials required by the University) is sent to the Office of the Vice Provost for Academic Administration electronically on a flash drive.⁶

⁵ See page 33-34 of University Procedure.

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<https://provost.columbia.edu/sites/default/files/content/Faculty%20Affairs/Tenure%20Guidelines%202018-19.pdf> (see page 28 for specifications).

16. The case is reviewed by TRAC and the Provost's Office according to the procedure outlined in the University document. The Provost makes a recommendation to the President.
17. Once the President has made a decision, the Provost informs the Dean's office of the decision. The Dean's office informs the candidate. This notification typically occurs before May 15th of the seventh year.
18. If the Provost's recommendation is positive and the President's decision is positive, then the appointment is forwarded to the Trustees for approval.