

Report of the Faculty Governance Committee

May, 2013

Faculty governance at Columbia Business School was codified last in 1994. Since then, the School and the faculty have grown considerably, some of our governance practices have evolved, and new issues have arisen. In order to help the School function as one of the world's pre-eminent business schools, the Faculty Governance Committee proposes the following governance rules for adoption by the faculty of the School.

Our proposals are built upon a set of principles and beliefs. First, we continue to embrace the principle that a strong dean is vital to the success of the School. Second, rather than thinking in terms of rights, we believe that the faculty and the dean have a variety of responsibilities: to the School, to our students, alumni and other constituencies, to the University, and to each other.

Finally, we want to emphasize that the culture of the School, manifested in the day-to-day behavior of the faculty and the Dean's Office, is more important to the overall success of the enterprise than new governance rules. Each of us as faculty members has responsibilities which go beyond the pursuit of excellence in scholarship and teaching. We also have to be good citizens who are willing to work hard, and in a collegial way, to help the Office of the Dean carry the heavy burdens of administering the enterprise. In order to be successful, the following proposals must be implemented with the active involvement and participation of each member of the faculty and the Office of the Dean in a spirit of cooperation and trust.

1. The faculty is responsible, in consultation with the dean, for the conduct of teaching and research at the School. Sections 3-6 below govern how this responsibility is exercised. A vote by the full faculty, when required, is conducted as follows:
 - a. Tenured faculty, tenure-track faculty, professors of practice, and senior lecturers in discipline are entitled to vote on motions in full faculty meetings.
 - b. Motions are approved by a majority of the votes cast except that motions to amend these governance rules require a two-thirds majority of the votes cast.
 - c. Votes on motions will be by show of hands unless a secret ballot is requested by at least one faculty member.

2. The School is headed by the dean, who serves as chief executive officer and provides vision, strategic direction and leadership. The dean works with the Executive Committee to advance the School's intellectual mission in scholarship and teaching. The Dean's Office also is responsible for conducting the School's administrative functions, including those activities required by the University. In addition to the dean, the Office of the Dean includes a senior vice dean and a vice dean for curriculum and instruction, both of whom are tenured members of the faculty.
 - a. The dean can create and staff administrative positions and committees pursuant to the responsibilities of the Office of the Dean.

- b. The dean is responsible for calling faculty meetings and distributing their agenda and supporting materials in a timely manner.
 - c. The dean is responsible for:
 - i. presenting a draft strategic plan every three years to the Executive Committee for review and comment before presenting the plan to the full faculty;
 - ii. presenting a draft of the School's preliminary budget for the coming fiscal year to the Executive Committee for review and comment, as well as making available for review and comment the audited statement of revenues and expenses for the fiscal year when it becomes available;
 - iii. notifying the Executive Committee of the creation of senior administrative positions to be staffed by a faculty member.
3. The Executive Committee is the major academic policy and oversight committee of the School.
- a. Its voting members include the dean, the senior vice dean, the chairs of the standing divisions, and two at-large members of the faculty, including one from Finance and Economics and one from the other divisions, who are elected by the full faculty.
 - i. The vice dean for curriculum and instruction attends parts of Executive Committee meetings dealing with matters of curriculum and instruction.
 - ii. Depending on the agenda for a given meeting the dean or the Committee can invite other members of the administration or the faculty to participate.
 - iii. Any member of the Executive Committee can call for a vote on a given issue, but such votes are not binding on either the Dean's Office or the full faculty.
 - b. The responsibilities of the Executive Committee are to:
 - i. review and comment on a draft of the dean's three-year strategic plan before the plan is presented to the full faculty;
 - ii. review and comment on the dean's preliminary budget for the coming fiscal year and the audited statement of revenues and expenses for the fiscal year when it becomes available;
 - iii. review and comment on the dean's faculty hiring plans for the coming year;
 - iv. review and comment on proposals to make major changes in the School's degree programs before being sent to the full faculty for approval;
 - v. review and comment on proposals to change these governing rules;
 - vi. review and comment on the creation of, or major changes in, any of the School's centers, programs or institutes;
 - vii. review and comment on the creation of new standing faculty committees;
 - viii. consider allegations of unprofessional behavior on the part of faculty members and, if deemed appropriate, refer the issue to the appropriate officials in the School or University; this responsibility is to be carried out by the seven elected members of the Committee except where a conflict of interest requires recusal; University procedures for investigating unprofessional behavior may be invoked before or after recourse to the Committee.

- ix. consider faculty grievances and, if deemed appropriate, refer the issue to the appropriate officials in the School or University; this responsibility is to be carried out by the seven elected members of the Committee except where a conflict of interest requires recusal; University procedures for investigating faculty grievances may be invoked before or after recourse to the Committee.
 - x. select one of its seven elected faculty members to be included, on a rotating basis, in all meetings of the Board of Overseers;
 - xi. advise on the creation of any senior administrative position to be staffed by a faculty member;
 - xii. ensure that the Office of the Dean distributes minutes of Executive Committee meetings to all members of the faculty in a timely manner after each meeting;
 - xiii. create, administer and analyze, with the Office of the Dean, an annual survey designed to provide anonymous faculty feedback on the state of the School.
- c. The agenda for the monthly meetings of the Executive Committee is set jointly by the Dean's Office and a faculty member of the Executive Committee who is elected by the Committee annually. The agenda, including relevant supporting documents, is distributed to the Committee and the full faculty at least one week prior to each Executive Committee meeting.

4. Standing Faculty Committees

- a. The Curriculum and Instruction Committee replaces the Teaching and Curriculum Committee. It is responsible for oversight of the School's elective courses as spelled out in Section 5b, as well as conducting any activities of the Teaching and Curriculum Committee the dean and Committee members may choose to continue.
 - i. Its voting members include the vice dean for curriculum and instruction, who is a tenured member of the faculty and chair of the Committee, and six tenured members of the faculty, including two from the Finance and Economics Division, and one from each of the other divisions. In unusual circumstances, a professor of practice or senior lecturer can serve as a voting member of the Committee if approved by all tenured members of the Committee.
 - ii. The divisional representatives are elected by the full-time faculty of their divisions and serve renewable terms of three years.
- b. The Promotion and Tenure Committee is responsible for reviewing and voting on faculty promotion and tenure cases. Tenure cases are then presented to the tenured faculty for discussion and vote.
 - i. The Committee is chaired by the senior vice dean, who is a non-voting member.
 - ii. The other members of the Committee are tenured faculty who represent each division, including two from Finance and Economics, are elected by the full-time faculty in the division, and serve renewable terms of three years.
- c. The Doctoral Committee is responsible for oversight of the Ph.D. and M.S. programs.
 - i. The Committee is chaired by the director of the doctoral program, who is appointed by the dean.

- ii. The other members of the Committee are designated by the chairs of the divisions and serve renewable terms of three years.
- d. The Executive Education Committee advises the associate dean for executive education on academic content of non-degree programs for executives.
 - i. The associate dean for executive education is appointed by the dean and chairs the Committee.
 - ii. The other members of the Committee are faculty members appointed by the dean and serve renewable terms of three years.

5. The Curriculum

- a. Core courses are reviewed periodically by a special faculty core course committee appointed by the dean, including the chair of the committee. Recommendations to change the core must be approved by vote of the full faculty. Staffing of core courses is done by the divisions in conjunction with the Dean's Office.
- b. The primary responsibility for determining what elective courses are to be offered in the School's degree programs, and how they are to be staffed, lies with the School's divisions working in conjunction with the Dean's Office on matters related to the number, size, content and quality of courses, as well as student demand.
 - i. Before being offered for the first time, an elective course must be approved by the chair of a sponsoring division following notice of the proposed course, including its syllabus, to the division's faculty and to the Curriculum and Instruction Committee. In the unlikely event a proposed course does not have a sponsoring division, the Dean's Office can petition the Curriculum and Instruction Committee to approve the offering based on the Committee's standards for evaluating courses.
 - ii. When an elective course proposed by one of the School's programs or centers is under consideration for approval by the Curriculum and Instruction Committee, the faculty member serving as faculty director of the sponsoring program or center may be invited to participate in the Committee's deliberations.
 - iii. The Curriculum and Instruction Committee resolves claims that a proposed course substantially overlaps with an existing course.
 - iv. Once approved, a new elective course is considered experimental and cannot be offered more than three times unless approved as a regular course by the full faculty based on recommendation of the Curriculum and Instruction Committee.
 - v. Elective courses, including elective courses taught by adjunct faculty, are reviewed regularly by the Curriculum and Instruction Committee and can be removed from the curriculum by the full faculty based on recommendation of the Committee.

6. The Divisions and Division Chairs

- a. The divisions are the chief academic components of the School. They are chaired by a tenured member of the division who is elected by the full-time faculty of the division (subject to veto by the dean).
 - i. Election of division chairs is administered by the Dean's Office.
 - ii. If no candidate receives a majority of the vote on the first ballot, the two individuals receiving the most votes are the subject of a second vote. Whoever receives the most votes on the second ballot becomes chair. In the event of a tie vote on the second ballot the dean selects the chair.
- b. Division chairs serve three-year terms no more than two of which can be consecutive.
 - i. In the event of a major governance problem within a division, the dean, or the Executive Committee by majority vote, can require a new election.
 - ii. A division, on the basis of a two-thirds vote of its full-time faculty, can request the holding of a new election.
- c. Division chairs are responsible for:
 - i. leading the strategic development of the division;
 - ii. representing the division on the Executive Committee and ensuring that the division's faculty are informed of the Committee's deliberations;
 - iii. staffing the division's courses in conjunction with the Dean's Office;
 - iv. recommending candidates for adjuncts and visitors to the Dean's Office;
 - v. overseeing the evaluation and development of tenure-track faculty by tenured faculty;
 - vi. nominating division members for search committees subject to approval by the senior vice dean;
 - vii. conducting and preparing the agenda, with input from the division's faculty, for at least two division meetings a year;
 - viii. allocating the division's annual budget, with input from the faculty, and providing an annual report on how the funds have been used.
- d. Division chairs receive a one-course reduction in their teaching load.

7. Amendment of the School's Governance Rules

- a. The School's governance rules are reviewed every five years by a faculty committee appointed by the dean.
- b. Proposals to change these governing procedures, after review and comment by the Executive Committee, are approved by a two-thirds majority of the votes cast in a full faculty meeting.

8. Existing Policies

- a. Since 1994, a number of School policies on specific topics have been adopted by the faculty, including policies on promotion and tenure, cross-disciplinary areas, and faculty hiring, among others. Existing policies that do not conflict with these governance rules continue in force.

- b. Policies on specific topics can be adopted, amended, or repealed by a majority of votes cast at a full faculty meeting, except that policies having the effect of changing any of the governance rules in this document are subject to the requirements of Section 7.

9. If adopted, these proposals will become effective July 1, 2013.

The Faculty Governance Committee

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