

REPORT
of the
TENURE PROCESS REVIEW COMMITTEE

prepared for Provost Alan Brinkley

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TABLE OF CONTENTS

	<u>Page</u>
1. Executive Summary	4
2. Preamble	10
3. Tenure at Columbia University	11
3.a Rationale and Criteria	11
3.b. Summary Profile and Statistics on Tenure at Columbia	13
4. Overview of the <i>Ad Hoc</i> System and its Alternatives	17
5. Perceptions of Current Problems	19
6. Improving the <i>Ad Hoc</i> System: Elements and Procedures	20
6.a The Role of the Provost	20
6.b. The Role of TRAC and the Constitution of the <i>Ad Hoc</i>	20
6.c. Enhancing Peer Review	22
6.d. The Dossier	23
6.e. The <i>Ad Hoc</i> Meeting: Procedures and Protocols	29
6.f. Scheduling of <i>Ad Hoc</i> Meetings	31
7. Equity Issues	34
7.a. Gender	35
7.b. Minority Status	39
8. SPECIAL ISSUES: Health Sciences	41
9. SPECIAL ISSUES: Barnard College	43
10. SPECIAL ISSUES: Joint Appointments	50
11. Grievance Procedures	51
12. Communication and Information Dissemination	52
13. Institutional Issues and Ongoing Review	54
APPENDICES	56

LIST OF TABLES AND APPENDICES

<u>Tables</u>	<u>Page</u>
1. <i>Ad Hoc</i> Tenure Reviews	14
2. <i>Ad Hoc</i> Review Success Rates, 1994-5 – 2003-4	15
3. Faculty Retention, 1991-92 to 1995-96 Cohorts	16
4. Average Weeks from Dossier Receipt to <i>Ad Hoc</i>	32
5. Distribution of <i>Ad Hoc</i> Committee Meetings by Internal/External Candidacy, Academic Years 1994-95 to 2003-04	33
6. Proposed Timetable of <i>Ad Hoc</i> Process, Arts and Sciences	34
7. <i>Ad Hoc</i> Tenure Review Success Rates by Internal/External Candidacy and Gender	36
8. Summary Version of Path to Tenure by Gender, 1991-92 to 1995-96 Cohorts	38
9. Summary Version of Path to Tenure by Minority Status, 1991-92 to 1995-96 Cohorts	40
10. Comparative <i>Ad Hoc</i> Success Rates, Barnard College and Columbia A&S	47

APPENDICES

1. Tenure Process Survey, Summary Analysis	56
2. <i>Ad Hoc</i> Tenure Review Caseload, 1971-72 to 2003-04	70

1. EXECUTIVE SUMMARY

After careful deliberations, and after seriously considering alternative structures of tenure review, the Tenure Process Review Committee affirms that the combined values of peer review, objectivity and rigor are best served at Columbia University by the *Ad Hoc* system, and recommends the continuation of this system. It nonetheless recognizes several problems with the system at present, and recommends that changes be implemented to remedy them. These changes are itemized below, following a summary description of the functions of tenure.

The Committee affirms that the tenure review process permits the University to adjudicate the standard of its faculty and to ensure the excellence of its permanent community, while also providing a structure within which intellectual work can be freely and independently pursued. The process must function to verify for the entire university community, and the scholarly community at more general national and international levels, not only the excellence of a recruit's (or internal candidate's) scholarship but also that the qualities embodied by such an individual will maintain or elevate the standards of the hiring Department, and hence the University in general.

There has been a steady growth in the numbers of both cases nominated and cases reviewed each academic year, with more than 50 *Ad Hoc* committees convened per annum in recent times. Nearly half of these cases come from the Arts and Sciences. The overall success rate has often exceeded 90%. However, approximately 70% of faculty members hired at the junior level depart Columbia without tenure or move into non-tenure eligible positions, indicating that pre-*Ad Hoc* attrition accounts for the majority of cases not receiving tenure. Except at Barnard College, *Ad Hoc* success rates are generally higher for externally recruited faculty than internally promoted individuals.

There is no evidence of statistically significant differences in *Ad Hoc* success rates on the basis of racial or gender status, although there is reason to demand further data gathering and analysis of internal promotions in these terms. The Committee notes that data on minority faculty is inconsistent and inadequate as a means of assessing the state of diversity and the particular status of minority faculty at Columbia. However it is clear that Columbia continues to recruit men at a much higher rate than it recruits women, and that minority faculty have neither been recruited in significant numbers nor retained at comparable rates to non-minority faculty.

In most respects, the Committee shares the sentiment of Survey respondents who identified several major weaknesses in the current system, including:

- i. Excessive length and cumbersomeness of the process;
- ii. Lack of standardization across disciplines and Departments;
- iii. Differences of standards for internal versus externally recruited candidates;
- iv. Lack of transparency and inadequate information dissemination;
- v. Possible bias in the tenure review system.

In addition, it has noted some weaknesses in the preparation of dossiers and in the operation of TRAC, and it is concerned that a lack of adequately understood procedures for joint-appointments and for grievance may inhibit the tenure system in general.

In response to these determinations, the Committee recommends that several steps be taken to improve the tenure system at Columbia University. We believe that the Provost

should strike a small committee (the majority of whom should be faculty members) to oversee the implementation of those remedial steps which can be effectuated now, and that it be assigned the responsibility of ensuring that the longer-term changes be commenced via the appropriate institutional mechanisms. The full text of this report explains these recommendations in particular and provides some suggestions for how they might be achieved.

RECOMMENDATIONS:

General Recommendations

- 1) Exclusive Provostial oversight of the *Ad Hoc* process should be maintained; related to this we advocate against the inclusion of anyone other than the Provost, the *Ad Hoc* committee members and the witnesses at *Ad Hoc* meetings, save the Barnard Provost where appropriate.
- 2) A culture of free and robust intellectual debate and open but civil dissent should be cultivated in and through *Ad Hoc* processes.
- 3) All Departments and Schools should develop comprehensive policies and protocols that state the criterion for tenure, and describe both the mechanisms for adjudicating faculty accomplishments and the procedures by which pre-*Ad Hoc* reviews will be undertaken.
- 4) Knowledge of the procedures and policies governing tenure at Columbia should be better disseminated, and should be made more readily available at a single informational site and through regular briefings of different constituencies.
- 5) Wider faculty participation in the *Ad Hoc* process should be sought.

Scheduling

- 6) Tenure review processes must be expedited, and *Ad Hoc* reviews should all be accomplished within 6-8 weeks of receipt of the dossier, and if possible, within 4-6 weeks for senior, externally recruited faculty.
- 7) Departments should complete preparation of the dossier in a maximum of six weeks following Departmental Votes.
- 8) Solicitation of letters should be undertaken in 1 step only. We advocate the elimination of semi-blind processes.
- 9) A revised schedule, as proposed here, should be adopted to guide the expedited process, and wherever possible Departments and Schools should move off cycle and submit materials at earlier stages.
- 10) Service on *Ad Hoc* committees must be considered one of the most important tasks that a faculty member performs; to facilitate expeditious convening of the *Ad Hoc*, faculty members must be willing to adjust their schedules and should be given only a 30 day window in which to do so.

Making the Case: Revisions in Dossier Preparation

- 11) Departmental Statements should be standardized and should better explicate decision-making processes, accounting for voting, personnel committee

structures, and, in the Arts and Sciences, relationships with cognate Departments at Barnard.

- 12) The requirement that statements of dissent be included in dossiers should be enforced, with modifications to the mechanism as described in the full text of this report.
- 13) The total number of letters solicited should be reduced from 20-25 to between 12 and 15 letters, except in interdisciplinary cases where additional letters from a range of experts may be necessary to make the case.
- 14) As a matter of course, letter writers should be provided with 4-6 published works, selected by the candidate as being representative of his or her best work, in addition to a CV and a letter from the University.
- 15) Lists of comparisons for internal promotions to tenure should be limited, and while they should include at least 1 they should not normally exceed 2 senior scholars, and comparisons across different cohorts should be explained fully.
- 16) Representations of pedagogy should be standardized and better explicated in the dossier.
- 17) Guidelines for Candidate Statements should be developed and issued to all junior faculty.

Tenure Review Advisory Committee

- 18) The Tenure Review Advisory Committee (TRAC), which has responsibility for constituting *Ad Hoc* committees, should be expanded so that the two subcommittees, one of which is devoted to the Sciences and the other devoted to Social Sciences and Humanities, have a membership of approximately 9 people each.
- 19) TRAC should meet more often and in person to permit adequate discussion of *Ad Hoc* membership, and a principle of 75% quorum should be instituted to ensure that *Ad Hoc* committees are the considered judgment of all TRAC members.
- 20) Substitutions for *Ad Hoc* committees should be vetted by TRAC.
- 21) TRAC membership should be strictly limited to one 3 year-term.
- 22) A review of the confidentiality policy concerning TRAC membership and more consistent implementation of that policy should be instituted.

Enhancing the Office of the Vice Provost for Academic Administration

- 23) We recommend additional resources be devoted to data-gathering and information management (in a manner that permits collaboration between the various offices and monitoring bodies of the Office of the Provost), so as to permit:
 - monitoring of gender and minority issues, including those which identify overlap categories of disadvantage, such as “women of color” and “minority women”;

- completion of faculty data bases to facilitate the better constitution of *Ad Hoc* committees, and the broadened participation of the faculty in the tenure process;
- expedited scheduling, to reduce time delays;
- enhanced information dissemination.

Peer Review

- 24) *Ad Hoc* committees considering the cases of scholars who work in languages other than English should have at least two *Ad Hoc* members who are competent in those languages.
- 25) *Ad Hoc* committees considering interdisciplinary scholarship should have representation from most of the major fields to which the nominee's work addresses itself.

Equity Issues

- 26) We recommend that the Office of the Vice Provost for Diversity Initiatives be supported in the ongoing review of tenure, and that better and more centralized data gathering be undertaken to permit a more robust analysis of possible differences in tenure success by gender and race, on a divisional and Departmental basis.
- 27) With regard to minority issues, we advocate clarification of the criteria for inclusion in this category, and more systematic mechanisms for identifying minority faculty.
- 28) Annual general reporting of data on these issues should comprise part of a fuller and more transparent reportage of tenure-related issues each year.
- 29) On-going efforts to understand and remedy possible bias at Columbia University should be undertaken in a systematic fashion, addressing not only the *Ad Hoc* process but hiring, promotion, and retention efforts as well.

Health Sciences

A separate subcommittee on Health Sciences issues met to consider the long-standing debate about the tenure clock, and the relationship between clinical and research appointments, considering Columbia and its peer institutions on several issues. On the basis of these deliberations, we recommend the following changes to ensure that Columbia University's Health Sciences are not disadvantaged relative to their peers, and that they be able to maintain a competitive edge in recruiting the best faculty to this campus:

- 30) The tenure clock of those with substantial clinical responsibilities should be extended from 8 to 10 years, with tenure review taking place in the 9th year.
- 31) COAP or some other specifically designated body of the Health Sciences should be charged with establishing a formula to determine the precise criteria by which "substantial clinical responsibilities" be measured (i.e., as a percentage of time).

- 32) Movement out of tenure-eligible appointments into tenure-ineligible or limited term appointments on a temporary basis, if and where it exists, should be eliminated entirely.
- 33) The practice of soliciting letters of recommendation for internal promotions from faculty at Columbia University should be terminated.
- 34) All faculty members should be informed of their status and eligibility for tenure from the moment that they receive an appointment.

Barnard College

To enhance working relations between Columbia and Barnard College, and to ensure that tenure works to maintain and elevate the standards of scholarship and pedagogy at both institutions, we recommend better mechanisms to facilitate the tenure review of Barnard Faculty.

- 35) To permit a more exact understanding of the relationship between scholarship and pedagogy, we recommend fuller descriptions of teaching labor required of Barnard Faculty in the preparation of the Departmental statement, and standardization of requirements in this respect. Descriptions of pedagogy should be supplemented with reports on curricular design, undergraduate and graduate advising, as well as course syllabi, teaching prizes, and other relevant material.
- 36) We advocate the mandatory inclusion of specific information concerning inter-Departmental relations between Barnard College and Columbia University, to help the *Ad Hoc* committee in its decision making. Such a statement should include:
 - a description of the curricular relation, including the relative contributions of Barnard and Columbia faculty to undergraduate teaching and the involvement of Barnard faculty in graduate advising within each Department;
 - a description of the administrative structure obtaining at and between the Departments, referring to whether or not members of the Barnard and Columbia Departments are on each other's executive and/or personnel committees, and stating whether such persons are entitled to vote on personnel or other matters; and
 - a description of the procedures by which the vote was produced in both the Columbia and the Barnard Departments.
- 37) To ensure that Barnard Departments are given adequate opportunity to respond to Columbia votes, we recommend that cognate Departments which are asked to vote on their counterpart Departments' nominations for tenure (whether as part of an internal promotion or an external recruitment) be provided with the same materials as the nominating Department used in its own assessment, and that letters from cognate Departments expressing the vote of Columbia University faculty on a Barnard candidate's case must be received by the Barnard Department at least 15 days prior to the convening of the ATP on this case.

Joint Appointments

- 38) We recommend better and more systematic guidelines and procedures for the tenure review of jointly appointed faculty, and the creation of joint review committees across Departments and Schools.

Grievance Procedures

- 39) We recommend a fuller review of grievance procedures and the institution of a mechanism that would allow faculty members on *Ad Hoc* committees, and Department Chairs to report concerns about possible procedural irregularity without risking a breach of the confidentiality rules governing the *Ad Hoc* process.

Transparency and Information Management

- 40) To facilitate a better understanding of the tenure process among all members of the faculty community, we recommend that the website of the Vice Provost for Academic Administration be expanded to include not only the policies and procedures that are already documented there, but, in addition:
- guidelines for witnesses, including information about what kinds of questions may be asked of them, what materials they are expected to demonstrate familiarity with, and what they can expect in the *Ad Hoc* meeting itself;
 - advice to candidates on how to prepare materials for their own cases;
 - information about forms of grievance, and the procedures pertaining to such appeal;
 - statistical information on tenure at Columbia, including relevant studies on success rates within schools, and on the basis of race and gender, internal and external recruitment; Departmental breakdowns of such data should also be provided to Departments on an annual basis.

Annual Reporting and Ongoing Institutional Review

- 41) To ensure that the tenure system be equipped with a principle of self-correction, and to help enhance the legitimacy of the system among faculty members, we recommend that the Office of the Provost generate an annual report on the State of Tenure at Columbia University. The primary purpose of this report will be to enable the Provost and the faculty to keep track of developments in total caseload, success rates, time taken by the process at all levels, equity issues, and differential *Ad Hoc* success rates between internal and external candidates.

2. PREAMBLE

The Tenure Review Process Committee (hereafter referred to as ‘the Committee’) was struck by Provost Alan Brinkley in the Spring of 2004. Committee members were appointed by the Provost, in consultation with the committee chair, Rosalind Morris, with the express aim of constituting a committee whose membership reflected the diversity of experiences and interests across Departments and Schools at Columbia University. The committee included both recently tenured and long-term tenured members of the faculty, but no untenured members.

Provost Brinkley instructed the committee to undertake a comprehensive review of the present tenure system, to identify its weaknesses and strengths, and to make recommendations for changes if and where these presented the opportunity to enhance or improve the University’s tenure adjudication system and the quality of faculty at Columbia University. It did not, however, revisit the autonomous status of either Teacher’s College or the Law School, the only two units within the Columbia Corporation to have tenure processes that do not culminate in the University-wide *Ad Hoc* review.

Excepting these units, the committee’s mandate included recommendations for reform of the existing tenure system at Columbia as well as consideration of alternative tenure systems--from standing committees to composite forms--based on reviews of both *Ad Hoc* and pre-*Ad Hoc* processes across all of the Schools that comprise Columbia University, as well as Barnard College. It was empowered to undertake interviews with relevant administrative personnel and faculty, to request and obtain data kept by the Office of the Provost on all matters relating to tenure at Columbia, and to undertake research as appropriate to facilitate the thorough analysis of the state of tenure at Columbia. In this latter dimension, it was assisted by the Office of Institutional Research. In addition, the Committee was given access to the full results of a survey on the tenure process, undertaken by the Office of Institutional Research under the aegis of the Provost during the Autumn of 2003 (see Appendix I for ‘Tenure Process Survey, Summary Analysis’).

In all respects, the Committee was guided by a single set of goals and principles, which can be summarized as follows: To ensure that 1) Columbia University has a tenure system that is appropriate to its institutional culture and that serves the institution’s needs both now and into the future; 2) this system be as fair, as equitable, and as rigorous as possible in order to ensure that Columbia University maintain the highest possible standards of scholarship, research, and teaching; 3) any sources of potential unfairness, inequity or weakness be the subject of recommendations to eliminate them; 4) the system be made as expeditious and as rational as possible; and 5) the rules, procedures, goals, and outcomes of the tenure system be communicated to all members of the Columbia faculty community in a clear, transparent, and timely fashion.

With research and review being undertaken over the Summer of 2004, the committee met regularly, often on a weekly basis, throughout the Fall 2004 semester. During these meetings, the committee reviewed data prepared by the Office of the Provost and the Office of Institutional Research in response to questions put by the Committee, interviewed relevant administrative personnel, and considered comparative data from other institutions especially peer institutions. Finally, the Chair met with Deans and other administrative personnel from the Professional Schools, as well as the Provost of Barnard College, and with members of the Faculty Affairs Committee of the University Senate, reporting the content of meetings to the Tenure Process Review Committee for further consideration and

discussion, prior to the formulation of recommendations. Separate subcommittees on issues pertaining to Barnard College and the Health Sciences met independently, also under the Chairship of Rosalind Morris, and submitted their recommendations to the Committee of the Whole, for further discussion and ratification, or emendation where necessary. A draft set of recommendations was prepared by the Committee Chair in early 2005, discussed and voted on by all members of the committee, and submitted to Provost Alan Brinkley.

This Report is the considered result of those deliberations. It contains a candid summary of the analyses, conclusions and concerns of Committee members, and recommendations for changes where these are thought necessary to maintain or improve the values represented by Columbia University's tenure process. Wherever possible, the Report endeavors to explain current process, policy and procedure, to enumerate the possible causes of problems therein (as these have emerged either in the Survey or in analyses of current practice), and to address the source of problems with specific policy recommendations. Statistical data generated or consulted by the Committee is summarized in the report. Reports of the subcommittees on Barnard College and the Health Sciences are embedded in the body of this text, and their recommendations are reiterated in the Executive Summary which precedes this document.

3. TENURE AT COLUMBIA UNIVERSITY

3.a. Rationale and Criteria

The Committee affirms what has been a guiding principle of tenure review at Columbia University for decades, namely that ***tenure review is an institution which permits the University to adjudicate the standard of its faculty and to ensure the excellence of its permanent community, while also providing a structure within which intellectual work can be freely and independently pursued.*** Columbia University will succeed in maintaining and improving its stature as a superior research and teaching university only to the extent that it can ensure both intellectual excellence and intellectual freedom, and tenure remains the primary means by which to secure these core values. To the extent that the system fails, the university is at risk and its capacity to foster original scholarship at the highest levels is undermined. Hence, the Committee believes that, wherever possible and whenever necessary, ***the institution of tenure review must be maintained in its strengths and improved in its weaknesses. This implies transparency of administration, clarity of procedure, and ongoing, periodic review.***

The ***fundamental requirement for the granting of tenure to any individual is and must be excellence of scholarship, demonstrated by achievement.*** As is clearly stated in the "Principles and Customs Governing the Procedures of Ad Hoc Committees and University-Wide Tenure Review," there can be no substitute for excellent scholarship in the determination of a candidate's appropriateness for tenure, although other factors, including pedagogy, grant writing and administrative service are also crucially important elements in the overall profile and case of any given individual. Nonetheless, the methods by which one assesses whether this criterion has been met by individuals must vary among Departments and Schools. Forms of research and publication, as well as levels of productivity differ by discipline and by field, and in relation to the other kinds of burdens under which individuals work and conduct their research. Moreover, there are different requirements among and within disciplines and Departments in terms of teaching, grant writing, and other non-research related tasks.

We hasten to assert, in this context, that ***excellence in scholarship, as in pedagogy, cannot be measured solely in terms of the quantity of output.*** Neither should official policy imply (it does not) nor should popular understanding infer (as it sometimes does) that the sheer quantity of an individual's output determines the likelihood of being granted tenure. Rather, disciplinary and Departmental standards should continue to emphasize the quality of scholarly work within the standards of productivity that are appropriate to the discipline, and that are in keeping with those maintained by a particular Department or School. In it is especially important, in this context, that all Departments and Schools have formalized policies and procedures to guide the review process. The current diversity in the formats and detail of such guidelines across Departments and Schools, and absolute lack of such guidelines in some Departments, does not serve the purpose of fairness and equitability of standards. Nor does it serve the goal of transparency. ***We therefore strongly recommend that all Departments and Schools be required, as quickly as possible, to develop and to implement formal guidelines which state the criterion of tenure and describe the mechanisms by which faculty accomplishments are to be judged, while providing schedules of requirements for all levels of review.*** Only under these circumstances can the tenure review system at Columbia work to secure for the university the high standards of which it is capable and to which it must continue to aspire.

Although tenure review is often conceived by people within and without the university community to be a singular achievement, marked by a single event, the Committee believes that the achievement of tenure is best conceived as a process of which the *Ad Hoc* is the ultimate stage. Moreover, the granting of tenure serves one of two purposes according to whether it is the first recognition of an internally promoted candidate or the affirmation of scholarly excellence in the work of one who is recruited from without. In both cases, it entails long-term commitments—on the part of the institution toward the individual, and on the part of the individual toward the scholarly community.

With regard to internal candidates who have served as untenured faculty members at Columbia, the granting of tenure should constitute the culminating moment in a process that ought to have facilitated the finest intellectual work of which a scholar is capable. Tenure is thus simultaneously a validation of an individual's scholarly accomplishment and of the University's capacity to make appropriate recruitment decisions and, subsequently, to cultivate the talents and abilities of those so recruited. While it is not within the purview of the Committee to address more general issues--whether of hiring practices, mentoring resources, or workload of junior faculty--it is our conviction that no remedy of deficits in the tenure system can ultimately be undertaken without a simultaneous consideration and amelioration of deficits (such as these may exist) at other points in the university's and the faculty's lives, including those of hiring. The Committee therefore urges the Provost to undertake and to support substantive reviews of hiring processes and junior faculty development throughout the university.

In all cases, the tenure system and the recruitment process are intimately and mutually entailed, but this is most clearly the case with the recruitment of senior faculty from other institutions. Under these circumstances, ***tenure must function to verify for the entire university community, and the scholarly community at more general national and international levels, not only the excellence of a recruit's (or internal candidate's) scholarship but also that the qualities embodied by such an individual will maintain or elevate the standards of the hiring Department, and hence, the University in general.***

3.b Summary Profile and Statistics on Tenure at Columbia

Perhaps the most important factor in ensuring that any tenure system functions well, and that faculty trust in its rigor and fairness, is accurate information about it. Few faculty members possess full and accurate statistical data on tenure success rates in their own Departments or Schools, and rumors about differential success rates between men and women, majority and minority faculty, internal and external candidates, are not uncommon—a fact that has a deleterious effect on the morale and general environment in which all scholars work. The problem is complicated by the fact that “success rates” are variously understood to encompass both *Ad Hoc* success rates, and/or overall success rates, including all reviews prior to the *Ad Hoc*. At Columbia, *Ad Hoc* success rates generally exceed 90%, but nearly two thirds of all incoming junior faculty leave the University or move into non-tenure eligible positions prior to the *Ad Hoc* process. In ‘Section 10’ of this report, we address the question of information dissemination. Here, we mean to provide a synoptic sketch of the situation of Columbia, particularly with regard to *Ad Hoc* success rates and *Ad Hoc* Activity.

In any given year, the Departments and Schools nominate more than 50 individuals for tenure. Arts and Sciences nominate the most such cases. While not all cases nominated are reviewed, we can discern a continued growth in the numbers both of those nominated and those reviewed. In 1994-95, for example, only 42 cases were reviewed. In 2000-01, 53 cases were reviewed. In 2002-03, the number was 63. Since 1999 (with the exception of 2001), the Provost’s office has overseen more than 50 *Ad Hoc* meetings each year. Each year, more than 20 additional cases are nominated but not reviewed. Some of these cases are not reviewed because of scheduling or other issues that lead to deferral over the summer months (See Table 1, ‘*Ad Hoc* Tenure Reviews, 1994-95 to 2003-04’ and Appendix 2 for full statistical profile of the years 1971 to 2004). Others, which have been anticipated by the Office of the Vice Provost for Academic Administration, do not eventuate in *Ad Hocs* because the tentative nomination of a candidate is withdrawn—either because letters turned out not to be supportive, or because the individual in question was an external recruit who withdrew from the process. The Office of the Vice Provost for Academic Administration must process all nominations, regardless of whether they result in *Ad Hoc* cases, and considerations of the increasing institutional labor entailed by the tenure process must bear in mind the numbers of both cases reviewed and those merely nominated.

Table 1
Ad Hoc Tenure Reviews
 1994-95 to 2003-04

Academic Year	Reviewed	Passed	% Passed	Not Reviewed		Total <i>Ad Hoc</i> Activity
				Deferred	Not Nominated	
2003-04	54	52	96%	10	14	78
2002-03	61	55	90%	13	12	86
2001-02	36	31	86%	5	17	58
2000-01	53	48	91%	9	15	77
1999-00	51	42	82%	16	12	79
1998-99	37	34	92%	9	11	57
1997-98	57	52	91%	4	9	70
1996-97	39	32	82%	7	n/a	46
1995-96	50	44	88%	6	n/a	56
1994-95	42	34	81%	3	n/a	45

Source: Office of the Vice Provost for Academic Administration

Note: The appearance in 1997-1998 of cases “not nominated” arose because of a change in policy. Previously, outsiders were sought and *Ad Hoc* meetings scheduled only after the candidate’s dossier was received in the Provost’s office. However, to expedite the scheduling process, the VPAA began in this year to have TRAC set up tentative committees in anticipation of nominations that had yet to materialize, and thus to solicit an outsider even before the arrival of the dossier. In some such cases, the anticipation was not followed by a departmental nomination, and it is this category of anticipated but not actually nominated cases that is represented in the column “Not Nominated.”

It is remarkable that, since the particular form of the *Ad Hoc* process now in effect was instituted in 1971-72, the success rates at the *Ad Hoc* have rarely fallen below 80% (indeed they dropped below 80% only twice, in 1980-81 and 1981-82). In short, ***the great majority of all candidates nominated for tenure at Columbia succeed in achieving it.*** We can break down this overall success rate along several variables, including those of School and status as internal or external nominee, and on gender and minority bases. Those calculated on the basis of gender and minority status are contained in Section 7, on Equity Issues in the Tenure System. In this section, we focus on general features of the system, seen in terms of the academic units in which these ratios apply.

Accordingly we observe success rates as presented in the following table:

Table 2

Ad Hoc Review Success Rates
By Internal/External Candidacy
1994-95 to 2003-04

	Internal			External			Total		
	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed
Arts & Sciences									
Humanities	34	25	74%	31	27	87%	65	52	80%
Social Sciences	32	26	81%	39	38	97%	71	64	90%
Natural Sciences	36	33	92%	29	28	97%	65	61	94%
Arts	8	7	88%	1	0	0%	9	7	78%
Arts & Sciences Total	110	91	83%	99	93	94%	209	184	88%
Barnard College Total	38	33	87%	13	11	85%	51	44	86%
Morningside Professional Schools Total	67	58	87%	38	36	95%	105	94	90%
Health Sciences Total	84	76	90%	26	25	96%	110	101	92%
UNIVERSITY TOTAL	299	258	86%	176	165	94%	475	423	89%

Source: Office of the Vice Provost for Academic Administration

In all instances, except Barnard College, success rates were higher for external nominees than for internal nominees, though internal nominees constituted the majority of cases. Internal success rates were highest for the Health Sciences (at 90%¹), and lowest for the Arts and Sciences, at 83% (with the Professional Schools in between at 87%). The success rates for external candidates were also highest for Health Sciences, at 96%, with the Arts and Sciences following closely, at 94%; in the most recent academic year, the overall University *Ad Hoc* success rate was 96%. We can therefore conclude that the differential between success rates for internal and external candidates was highest in the Arts and Sciences (for details about Barnard, see Section 9, ‘SPECIAL ISSUES: Barnard College’). Reasons for this differential success rate are difficult to adduce, and may be the result of one or more factors, or even several factors in combination, including: the relatively evident status of externally recruited candidates’ work; the relatively large body of work on which to base judgment in the case of senior candidates; higher recruitment standards for senior faculty than for junior faculty; more lax standards for assessing the tenurability of senior faculty, in whose recruitment significant resources have usually been expended prior to the *Ad Hoc*; and so forth.

The Committee feels some concern about a nearly perfect *Ad Hoc* success rate if it is read as evidence of a failure to exercise intellectual judgment at Columbia University. We do not believe that tenure should be, in actuality or in appearance, a merely *pro forma* matter. Insofar as the high success rates are indicative of attenuating *Ad Hoc* standards, we wish to encourage a more robust review process. But insofar as the perception of deteriorating standards is merely the result of a failure to recognize that the *Ad Hoc* review is but the culmination of a longer sequence of periodic reviews, we wish to make the process more widely understood. It is the combination of reviews which, though they differ from School to School, ensure that only the very finest scholars are retained and provided with the exceptional recognition and protections that come with tenure at Columbia. At the same

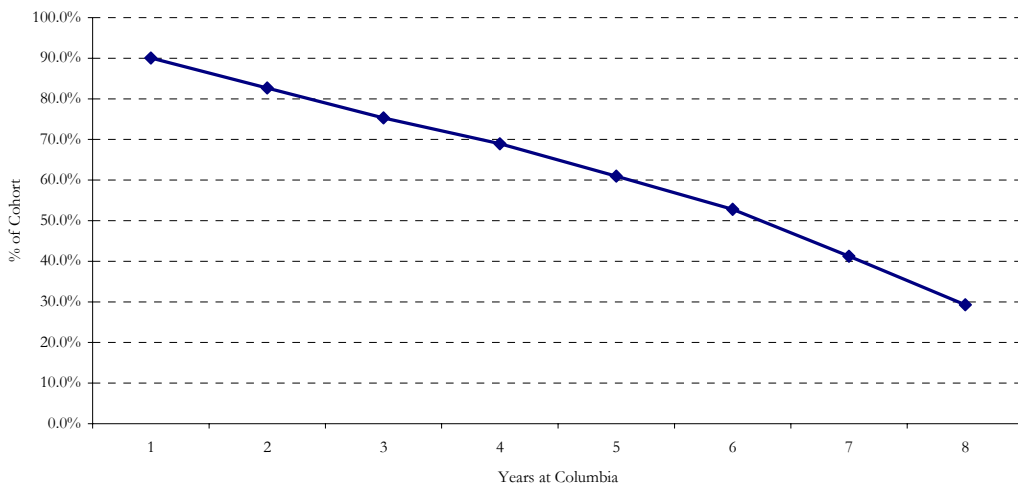
¹ All percentages are rounded off.

time, however, the implication of this extended review process is that there are many points of attrition in the system.

We note that, while an extremely high percentage of nominees for tenure are validated by the *Ad Hoc*, a significant percentage of faculty leave Columbia University prior to this stage. In a survey of those recruited between 1991 and 1995, we found that slightly less than 30% of all those hired into tenure-eligible positions remained at Columbia in the capacity of tenure-eligible or tenured faculty at the end of year eight.² In other words, ***we observed an overall attrition rate of approximately 70%***. Interestingly, the point of attrition was not correlated with review year, and there is no dramatic increase in departures from the University around first, third or fifth year reviews. An equal number of faculty members seem to depart the University or move into non-tenure eligible positions each year.

Table 3

Faculty Retention, 1991-1995 Cohorts
(N=502)



Source: Office of Planning and Institutional Research.

Notes: Data include all Assistant Professors and Associate Professors without Tenure hired as of the Fall Terms in the years 1991-92 through 1995-96. These cohorts are the ones to have had the most recent opportunity to have gone through the entire review process. Retention percentages include those faculty still at Columbia who have received tenure or who are still on track to receive tenure. In this chart, both faculty who have left Columbia and those who are at Columbia in non tenure-eligible positions are considered to have attrited. The chart reflects years since hire, not years of counted service. In other words, parental leave would extend the number of years since hire without implying that the tenure clock had been extended.

Unlike the rates of *Ad Hoc* success, which did not show differences in success rates on gender or minority bases, the rates of attrition varied according to the gender and minority status of the faculty, with a higher percentage of minority faculty leaving the University prior to receiving tenure. This issue is addressed in ‘Section 7’ on Equity issues. It should be recognized that, in this and in all other cases, there are a variety of causal factors that may explain attrition on both absolute and relative bases. Failure to be promoted at one or another review stage; competing offers from other institutions (and Columbia’s possible failure to match them); life-style and familial decisions affecting professional and/or residential choice; contentment or lack thereof with Departmental and/or University resources; lack of mentoring; and many other issues can be responsible, alone or in

² This number represents years since hire, and not merely those of counted service. Family leave would extend the number of years since hire without implying that the tenure clock had been extended.

combination, for faculty departures. Insofar as the question of attrition and related matters of faculty development and retention lay beyond the scope of our committee, we did not investigate these issues in any depth. Nonetheless, having identified some statistically detectable differences in attrition rates, ***we wish to recommend that the Provost support the Vice Provost for Diversity Initiatives in undertaking research and analysis of the patterns of attrition at Columbia.***

4. OVERVIEW OF THE *AD HOC* SYSTEM AND ITS ALTERNATIVES

The statistical facts of the matter of tenure do not, of course, reveal anything about the particular forms through which tenure is granted, nor about the procedures and policies that govern the reviews preceding the nomination of any individual for tenure. This section of the Report addresses the particular tradition of the *Ad Hoc* system, and considers recent debates about its possible modification and/or substitution by other systems.

Over the past several years, there have been numerous inquiries and surveys of faculty on matters relating to tenure, as well as both formal and informal discussions on the topic among faculty and in the Faculty Senate. In some of these contexts, it has been suggested that Columbia University consider abandoning its tradition of the *Ad Hoc* process in favor of a process based on one or more standing committees. We note, however, that ***fewer than 10% of all Survey respondents advocated the implementation of a Standing Committee*** system in lieu of the present *Ad Hoc* system at Columbia. It is, nonetheless, a widespread perception of Standing Committee systems that they facilitate a relatively expeditious tenure review and that they tend toward transparency of membership (and are often comprised of elected faculty representatives). Some of Columbia University's peers, such as Princeton, have Standing Committee systems, as do larger, public universities, like the University of Michigan. Others, like Harvard, have *Ad Hoc* systems. Within these categories, there is also significant variation in form, and in the units that undertake tenure review.

To the extent possible, we surveyed these other institutions to determine the degree to which they suffered problems akin to those currently experienced at Columbia University and to discover possible remedies already embraced elsewhere. We note that several of our peers, including institutions with differing kinds of tenure systems, are currently experiencing crises of legitimacy and/or are attempting to review and improve their tenure systems in response to expressions of discontent by faculty. Harvard and Princeton, for example, are both reviewing or have recently reviewed their systems. We note also that estimates of time to tenure vary across systems and that there is no absolute correlation between the form of the tenure system and success rates, duration of the review process, or overall quality of an institution's faculty. Rather, internal elements within each system, such as scheduling, review procedures, pre-tenure faculty development programs, the fiscal autonomy of the School or Department, seem to play a significant role in the overall success and efficiency of the tenure process at a given institution.

We gave serious consideration to the merits of alternative mechanisms, including Standing Committees. In the course of these deliberations, however, we came to the consensus that, unless compelling and unequivocal evidence demonstrated that the problems with the current tenure system at Columbia *could not* be remedied in any other fashion than by getting rid of the *Ad Hoc* system, we should not advocate such change, but should rather imagine strategies to address those problems which do exist within the structural parameters

already in place. It is, moreover, the belief of the Committee that any tenure system can function well only if it is deemed to be legitimate in the eyes of the faculty. Accordingly, it seems important to maintain the primary element of the current system: peer review. In coming to this decision, we are motivated not only by the comparative considerations enumerated above, but also by what we interpreted to be the express desire of faculty, namely that peer review constitute the pivot of our tenure review system. The results of the Faculty Survey (to which 60% of surveyed individuals, 906 of 1,491, responded), as well as anecdotal evidence in the form of solicited and unsolicited letters to the Committee and its Chair, affirm, to a very high degree, that Columbia faculty members deem the most important element in the granting of tenure to be peer review (see also Appendix 1, "Tenure Process Survey, Summary Analysis"). ***To the extent that peer review is highly identified with the Ad Hoc process, which works by creating committees with relevant expertise on which basis to judge any given candidate, the Committee felt that the survey constituted a virtual affirmation and vote for the continuation of an Ad Hoc structure.***

It may be argued that Standing Committees, which rely heavily upon the letters of reference provided by specialists in the candidate's field, also incorporate an element of peer review. However, they do not seem to the Committee to possess a sufficiently vigorous mechanism by which to adjudicate the adequacy, representativeness, or objectivity of letters of reference. Particularly in small fields, where collegial considerations and pressures may over-determine the nature and content of letters, and/or in those cases where negative scholarly assessments manifest themselves only in non-response or the refusal to provide a recommendation, we believe it is necessary for the scholarship of a tenure candidate to be fully assessed by the deliberating committee. A related issue of concern for a globalizing University, such as Columbia, is the question of language. Even in those systems that work through a series of Standing Committees (most typically constituted as Committees of the Humanities, Social Sciences, and Natural Sciences), the work of those scholars that addresses or is conducted in languages other than English is particularly vulnerable to misrepresentation or misunderstanding, and unless a Standing Committee is comprised of individuals with proficiency in all languages (an impossibility), it is extremely limited in its capacity to judge either the scholarship itself or the reference letters addressed to that scholarship. The same can be said for work in fields with highly specialized quantitative methodologies.

Peer review should not, however, be construed as discipline-specific review, and there is need to prevent peer review from becoming merely a matter of disciplinary or Departmental self-validation. The form of peer review at the heart of Columbia University's *Ad Hoc* system, if it functions effectively, entails judgment both by members of the field (in the person or persons of the outsider, and the letter writers) and those who, although they are not *in* the field nonetheless possess sufficient knowledge to read and judge the candidate's work. In other words, it combines both the virtues of deep, field-specific knowledge and the moderating influence of those whose disciplinary distance *and* analytic skills permit more objective judgment. Whether a case has gone through a preliminary Standing Committee (as, for example in the Health Sciences or Barnard College), or whether preliminary reviews have been conducted earlier by a Faculty Development Committee and/or Department, the *Ad Hoc* is intended to provide a second, independent assessment. To lose this stage of the process would be to lose a crucial source of intellectual oversight.

There are, finally, practical and logistical considerations mitigating against the embrace of standing committee systems. For, the amount of teaching time and hence fiscal

resources that would have to be relinquished in order to maintain one or more standing committees capable of reviewing more than 50 cases a year (as is the case under present circumstances) would have a deleterious effect on the quality of research and teaching performed at Columbia. At the same time, it would lead to less overall faculty involvement in the tenure adjudication process, effectively concentrating such decision-making authority in a relatively small group of people—which development, if it appears to enhance transparency, does not self-evidently contribute to a more democratic system.

The ***Committee therefore concludes that a modified version of the Ad Hoc system, as presently instituted at Columbia, should be maintained.*** In our opinion, the relative reliance of Standing Committees on external referee letters and their incapacity to ensure that decisions are informed by appropriate expertise means that the Standing Committee is an institution that transfers intellectual judgment to those outside of the University, reserving for itself the function of assessing the qualifications of those who judge scholarship. Such a structure does not seem congruent with the aspirations and traditions of Columbia University, and, as described below, ***we recommend changes that will enhance peer review rather than eliminate it.*** Before making further recommendations to ameliorate these problems within the parameters of the *Ad Hoc* system, however, it is necessary to describe those weaknesses perceived by current faculty.

5. PERCEPTIONS OF CURRENT PROBLEMS

If the most consistently remarked strengths of the present system are deemed by the faculty to be peer review and rigor, the problems with our system were also the subject of remarkably similar comments by faculty members—both in the Survey and in letters and petitions received by the Committee. It is possible to identify five main areas of concern, although we note that perception and reality are often at odds, and the following enumeration of perceived problems is precisely that—a representation of common perception. In subsequent sections of this report, we address each of these issues, and present our findings about the accuracy of perception, the degree to which these problems afflict our university, and the possible mechanisms for resolving them:

- i. Excessive length and cumbersomeness of the process;
- ii. Lack of standardization across disciplines and Departments;
- iii. Differences of standards for internal versus externally recruited candidates;
- iv. Lack of transparency and inadequate information dissemination
- v. Possible bias on grounds of gender and racial difference.

There are, in addition, School-specific concerns that demanded the attention of the Committee. In particular, we addressed the question of the tenure clock in the Health Sciences for those with substantial clinical responsibilities, an issue that has been repeatedly raised by faculty members within the Health Sciences. We also addressed matters affecting the relationship between Barnard College and Columbia's Faculty of Arts and Sciences, and in response to a substantial report already produced by Barnard Faculty.

Equally important, but more difficult to both address and redress, is the question of intellectual dissent and the degree to which Columbia University's tenure process admits and

encourages open, frank, and intellectually robust debate. As discussed below, we believe that failure to enforce the existing requirement for dissent to be formally registered within the tenure process, and the tendency to construe intellectual disagreement as personal or political hostility, particularly within the *Ad Hoc* process, is a source of concern (see also, Section 6.d.2).

In what follows we address each element in the Tenure System at Columbia University, including both *Ad Hoc* processes and pre-*Ad Hoc* processes. We begin with the Role of the Provost, and then address the *Ad Hoc* process itself, including its constituent stages and bureaucratic procedures, providing recommendations for change in several crucial areas. There follows a discussion of equity issues, and separate sections dealing with Barnard and Health Sciences, joint appointments, grievance issues and information dissemination.

6. IMPROVING THE AD HOC SYSTEM: ELEMENTS AND PROCEDURES

6.a. The Role of the Provost

As stated above, it is the general sense of this Committee that the *Ad Hoc* process has as its most laudable attribute the centrality of peer review. Yet, the virtue of peer review is hindered if the means for enacting it are not consistently and evenly applied, and if the University's criteria and standards are not implemented by each and every *Ad Hoc* committee. The *Ad Hoc* system is therefore dependent for its success, and for achieving its particular virtues, on other mechanisms which ensure continuity, consistency and sameness of standards. At Columbia, this function has typically resided in the Office of the Provost, as embodied in the person of the provost.

The Committee wishes to affirm and even underscore the profound importance of Provostial oversight and involvement in the Ad Hoc process, for only through his or her presence can the diversity of committees be balanced by institutional memory and the force of equity that ought to emanate from a continuity of presence. We are aware that some people believe the concentration of oversight powers in a single office and, moreover, a single person to be a source of structural vulnerability. Nonetheless, we believe this risk to be small relative to the advantages of such continuity. In the collective sentiment of the Committee, the Provost is and should be the guarantor of intellectual excellence at Columbia. He or she is not only its representative but also its advocate and its enforcer. She or he must insist on the fair and proper conduct of Ad Hoc committees, and must use his or her authority to ensure the confidentiality of proceedings, while remaining neutral with regard to the deliberations as these occur. Insofar as all Ad Hoc decisions are ultimately advisory to the Provost, who witnesses and receives Ad Hoc recommendations, and ultimately submits a final recommendation for tenure to the President and the Trustees, it is imperative that he or she be present at all deliberations, so as to assess the relationship between the discussion and the voting while also weighing the merits of all the evidence put forward on behalf of an individual candidate. Only in an emergency should the supervisory function of the Provost be delegated to another person.

6.b. The Role of TRAC and the Constitution of the Ad Hoc

According to the *Faculty Handbook*, "Each *ad hoc* committee consists of five members, one of whom serves as its chair. *Ad hoc* committees and their chairs are appointed by the Provost in consultation with the Tenure Review Advisory Committee (TRAC) consisting of

at least nine members of the tenured faculty selected for three year terms by the Provost, plus the Vice President for Arts and Sciences, the Executive Vice President for Health and Biomedical Sciences, and the Executive Vice President for Research, who serve *ex officio*.”

TRAC members meet periodically, usually once or twice each semester. Their collective function is to ensure that *Ad Hoc* committees have the requisite expertise and disciplinary knowledge to adjudicate the work of individual candidates, and further, to ensure that *Ad Hoc* committees are free of conflicts of interest. They do so by matching the research and teaching expertise of faculty members with that of candidates. ***In our estimation, the number of meetings scheduled each semester is inadequate to perform these tasks, and too much of TRAC’s business is conducted by e-mail, telephone, or other forms that mitigate against full discussion. We believe that the choice of Ad Hoc committee members is of vital importance to the success of the system, and it should therefore be accorded more time.***

In recent years, TRAC has been split into two subcommittees, one dedicated to and comprised of members from the Sciences, and one dedicated to and comprised of members from the Humanities and Social Sciences. The appointment of such individuals is intended to provide a committee that has a broad and deep knowledge of Columbia University faculty, their expertise and professional standards. Since 1995, three-year terms have not been extended or renewed, although previously there were cases in which individuals served more than one consecutive term. ***We believe that the term-limitation should indeed be operative and enforced, and that every effort should be made to avoid having the same individual serve more than once, even when there is a time lag between terms.***

There is, at present, some contradiction in the application of a policy of confidentiality, which is understood by TRAC members to constitute a condition of their service. Such confidentiality is generally understood as a means to protect TRAC members against efforts to influence the constitution of *Ad Hoc* committees. However, the web-based publication of TRAC members undermines this process. ***We therefore recommend that a review of the policy of confidentiality be undertaken, and that practice be made consistent with that policy.*** It is the sentiment of this Committee that confidentiality is a primary means of securing the integrity of the *Ad Hoc* process, and a force mitigating against possible abuses. We therefore encourage a more muscular set of practices associated with this value.

The presentation of likely *Ad Hoc* candidates to TRAC is made by the Vice Provost for Academic Administration, who also informs its members of conflicts of interest that may limit *Ad Hoc* membership, and who has responsibility for recruiting outside *Ad Hoc* members as well. Suggestions for *Ad Hoc* committee membership may be made by individual TRAC members, the Provost or Vice Provost, and the other designated administrators who serve TRAC *ex officio*, all of whom attend TRAC meetings. Recently, the office of the Vice Provost has commenced the development of a total data-base of Columbia University tenured faculty members, using a full text search engine to permit TRAC members to expand and deepen their knowledge of possible *Ad Hoc* members, and to help identify new faculty for possible *Ad Hoc* service. At present, however, knowledge of faculty research interests is dependent on the personal familiarity with faculty resources represented by TRAC members and those administrators attending the TRAC meetings.

We strongly encourage the Provost to support the Office of the Vice Provost and to provide additional dedicated resources to produce and maintain the data base of faculty scholarship on which to base Ad Hoc membership, and to do so as expeditiously as possible. We believe that such a data base would be enhanced if faculty

were surveyed annually, so that records of faculty research are up-to-date. Faculty should be asked, furthermore, to provide the terms by which they want their research and expertise to be represented on topical, theoretical, methodological and linguistic bases. Faculty entries should also include a record of previous *Ad Hoc* service, and a CV. We recommend that the data base be completed within the next 12 months. ***We recommend, further, that the database be used in the service of a general principle, namely broader participation by more faculty in the Ad Hoc process.*** This expansion will ensure that a shared culture be strengthened and extended, and thus, that the standards set by the faculty be maintained by them. It is, perhaps, the most implicit but also the most important dimension of faculty governance. We note, in this context, that, among respondents to the Faculty Survey of 2003, 78% of tenured faculty had served on an *Ad Hoc* committee, most of them since 2001. A recent trend can therefore be discerned of expanding faculty participation, and we hope that it will continue. At the same time, however, we believe that TRAC itself must be opened to broader participation, a goal that can be achieved in part through the ***enlargement of the TRAC itself.*** While TRAC currently consists of 11 members (not including *ex officio* members), and therefore represents an expansion on the minimum requirement of 9 persons, its bifurcation into two subcommittees means that the community of decision makers is smaller, and effectively TRAC now works as a set of 5 or 6 person committees. We believe the subcommittees would function better with a membership of 8-9 faculty members each.

In any selection process, there is a risk and even a probability that not all nominations made by TRAC will be able to serve on the *Ad Hoc* committee, due to scheduling conflicts or other problems. At present, the situation is one in which TRAC nominates individuals to fill all necessary positions on the *Ad Hoc*. Depending on the number of outsiders, this generally means identifying 3 – 4 individuals with relevant expertise. According to the Vice Provost for Academic Administration, approximately 80% of these individuals eventually serve on the *Ad Hoc*, but about 20% have to be replaced. Replacements are generated by the Office of the Vice Provost AA on the basis of names previously discussed and with new input from individual TRAC members, or, if they lack sufficient knowledge, other experts and, occasionally, Departmental chairs. Under present practice, in the interest of time and to prevent unnecessary delays of *Ad Hoc* convenings, the Vice Provost AA does not reconvene TRAC to validate these replacements. While scheduling meetings to review the substitutes identified by the Vice Provost is undoubtedly a difficult task, ***we recommend that TRAC be involved as a whole in this process, and that it validate all alternatives. We suggest, moreover, that a principle of a 75% quorum be established to ensure that Ad Hoc committees are the result of full deliberation.***

6.c. Enhancing Peer Review

To ensure that peer review is indeed the operative and exemplary value of the *Ad Hoc* process, we feel that some requirements and stipulations should govern the choice of *Ad Hoc* members and that TRAC should bear these requirements in mind when considering potential participation on *Ad Hoc* committees.

- i. ***Candidates whose work is interdisciplinary should have members whose expertise addresses the majority of fields to which the candidate addresses him or herself, as identified in the candidate's statement.*** If

such individuals are not available at Columbia, then additional outsiders should be substituted for insiders.

- ii. ***Candidates whose work is concerned with, or is written in a language or languages other than English should have at least two persons who are competent to assess work in that/those languages on their Ad Hoc committee.*** Again, if requisite expertise is absent at Columbia, additional outsiders should be recruited.

6.d. The Dossier

In addition to the personal testimony of witnesses, the written evidence considered by the *Ad Hoc* committee is generally referred to as the dossier, and includes both “supporting documents, including a representative sample of the candidate's work” and “letters of evaluation solicited from recognized scholars in the nominee's discipline.” We believe that current policies concerning the preparation and content of the dossier can be improved, but our recommendations are less for a substitution of new policies and procedures than the modification, enhancement and/or enforcement of those that exist. In what follows, we begin by delineating current policy, and follow by elaborating what we advocate as changes to that policy:

The *Faculty Handbook* describes the supporting documents to be comprised of the following three sub-groups:

- i. “An Analysis of the Department or School and Its Objectives” which “discusses the current state of the nominating Department or School, its future direction and plans, and describes the needs the proposed appointment is expected to fill. It is not used to discuss the nominee, but rather to establish the importance of the appointment, independent of an assessment of the nominee's qualifications”;
- ii. “The Report on the Search and Selection Process,” which “addresses the methods by which the nominee was chosen. It describes how possible candidates were identified, explains the reasons why the nominee was selected over the other individuals who were considered, and reports on the formal vote by which the nomination was made. Whenever members of a nominating Department or School oppose a nomination or abstain, it also includes an explanation of the reasons for their votes. A dissenting faculty member is also expected to prepare a written assessment of the candidate which may accompany this report or, at the individual's discretion, be submitted directly to the Provost. Copies of all evaluations obtained as part of the search and selection process are included with this report.”
- iii. “The Statement on the Nominee's Qualifications,” which “evaluates the nominee's scholarly achievements and potential for future growth, describes his or her teaching abilities, and compares the candidate with the leading scholars in the field. It also discusses how the nominee's qualifications as a scholar and teacher will fulfill [Departmental or School] needs”.

Finally, the dossier contains supporting documents in the form of:

- iv. a current *curriculum vitae* supplemented, if necessary, with sufficient information to provide a complete record of the nominee's academic and professional training, achievements, and previous employment;
- v. a representative set of the nominee's written work, published and unpublished;
- vi. evidence of the nominee's contribution to the educational programs of the Department or School, such as course syllabi;
- vii. evaluations of teaching performance such as student or Departmental reviews, and other evidence of the nominee's abilities as a teacher;
- viii. for nominations in the Arts and Sciences, the vote of the counterpart Department at Barnard College and a statement of its assessment of the candidate's qualifications;
- ix. a brief statement from the nominee that discusses his or her current research and teaching and plans for future projects. The Provost may waive this requirement in the case of external recruits to tenure; and
- x. any additional information the nominating Department or school wishes the *ad hoc* committee to consider, such as reviews of publications.

Despite these basic requirements, there is considerable variation in the nature and form of Departmental statements, and this variation may make it difficult for *Ad Hoc* committees to assess the standards of the scholar, rather than the representation of his or her work. In some cases, the poor preparation of a case may lead the Provost's office to request changes in the Statement, and in other cases, a request for more materials may be made in actual *Ad Hoc* meetings, causing additional delays. What may have been an attempt to accommodate the different practices and traditions of various Department and disciplines has, in fact, generated some confusion about appropriate formats and forms of evidence. The vagueness of these guidelines regarding, for example, what constitutes evidence of contributions to pedagogy, and how teaching is to be reviewed, is, in the estimation of the Committee, inadequate to the task of the *Ad Hoc* review. So too, the failure to provide parameters for the content of the candidate's own statement generates not only formal diversity among such statements, but great unevenness in the kind of evidence on which the *Ad Hoc* committees base their decisions. ***To ameliorate these differences, and to ensure that all candidates receive the best hearing possible, we propose that the dossiers submitted on behalf of candidates be more standardized, that evidence be better and more coherently adduced, and that greater clarity and specification of dossier requirements be incorporated into the guidelines.*** In particular, we recommend the following modifications.

- 1) Description of Process of Nomination. ***This description should include a full accounting of the procedures by which the candidate was reviewed and by which a nomination was generated,*** describing whether the review was conducted by committee, and whether approved by a Standing Committee such as COAP in Health Sciences, or the ATP at Barnard College. Where personnel or promotion committees are distinct from the full body of tenured faculty in a School or Department, the members of that committee should be described in general terms (ie, clarifying if membership is elected or appointed, whether, in the case of Arts and Sciences, it includes representation from Barnard or not, etc.). Where votes take place according to strict rules requiring more than one meeting, as is the case in some Departments, these should be specified. Where

they prohibit voting in absentia, this should also be reported; where absentee ballots are accepted, they should be identified as such.

In cases that involve cross-appointments—as is increasingly common with interdisciplinary research—the nature of the collaboration must be clear, and should indicate how the appointment is shared (budgetarily and substantively), how the review was undertaken so as to involve both or all of the nominating Departments, and at what stages which personnel were involved in the decision-making

- 2) Description of the Vote and Representation of Dissent. We affirm the requirement, adumbrated in the current *Faculty Handbook*, that the Departmental vote be enumerated in full, and that the Departmental statement include the representation of positive and negative votes, as well as abstentions. However, we note that the requirement for dissenting members to express their reasoning in written form has not been applied on a consistent basis. To the contrary, it has generally been undertaken only in response to solicitations for such expression by the Office of the Provost, following the Departmental registration of dissent in its formal report of the vote. We do not believe this inconsistency should be permitted to continue. Moreover, we believe that the policy which currently permits such individuals to submit their statements directly to the Provost (bypassing Departmental Chairs and colleagues) has dampened the culture of dissent and encouraged the exercise of personal influence beyond the bounds of Departmental accountability. We believe that the Departmental or School vote must be considered the paramount representation of that community's determination of a candidate's appropriateness for tenure. However, majoritarianism should not be misconstrued as unanimity or a lack of intellectual difference, and it is to both recognize that difference and to ensure that it does not take *ad hominem* forms, that we advise a modified policy on dissent.

In the interests of an accountable, but rigorous intellectual culture in which debate flourishes without taking the form of personalized hostility, then, ***we recommend that the requirement for written expressions of dissent be enforced. Recognizing that Departmental cultures vary, and that individual faculty members may not wish to expose themselves to hostility from Departmental Chairs, we suggest that two options be made available, and that every Departmental vote be preceded by a Chair's announcement and explanation of these options: a) either the Departmental chair may produce a statement describing the vote, making the majority case for nomination, and describing the nature of dissent, which would then be vetted by the dissenters, or b) dissenters may submit explanatory letters (sealed or unsealed) for inclusion in the dossier that is forwarded to the Vice President or Dean, and, subsequently, the Provost.*** It should be presumed that *Ad Hoc* meetings will include a frank discussion of dissent but that it will not, in and of itself, be taken as sufficient evidence of the candidate's ineligibility for tenure.

- 3) Candidate Statement. At present, internal candidates receive widely divergent instructions on how to prepare their own statements for consideration by their

Departments. Informal networks, whereby exemplary statements recently written by faculty whose tenure cases have been successful, have arisen at Columbia to help junior faculty overcome what is a perceived lack of uniform guidelines about appropriate formats for the candidate statement. ***We recommend that formal guidelines be generated which describe explicitly the information that must be included in such statements.*** These should specify the need for explicit and relatively jargon-free accounts of research expertise and experience, and narratives about pedagogy, grants and service. It should be clear to candidates that the statement should situate the publications provided as part of the dossier, but not merely summarize them. Moreover, the statement should relate past research and publications to ongoing or future projects, and to explain their relevance for a Department and a field. Mere lists of committee membership are not sufficient to permit review or *Ad Hoc* committees to assess the time and nature of contributions associated with such activity, and the statement should be descriptive--but succinct--wherever possible. As discussed in 'Section 10' of this Report, on 'Communication and Information Dissemination,' we believe it would be helpful for discipline-specific models of candidate statements to be made available to junior faculty from a central information site.

We do not believe that externally recruited candidates should be asked to prepare their own Statements of Research. Nor do we believe that this requirement should be exempted by a Provostial waiver. This function should be performed by the Department or School nominating the candidate.

- 4) Representation of Pedagogy. At present, there are numerous inconsistencies in the ways in which teaching is described by Departments. This fact is perhaps exemplified by the *Faculty Handbook's* vagueness on what should be included as evidence of contributions to education. Some Departments summarize standard university teaching evaluations, while others use Department-specific instruments to gauge student satisfaction with courses. Some Departments solicit direct input from students and former students in the form of letters or collectively authored statements. Others undertake Departmental inspections of classroom practice, and make reports on this basis. The resulting unevenness in the representation of teaching from dossier to dossier may mean that the significance of the pedagogical role, which varies from Department to Department and School to School, may not be entirely clear to the *Ad Hoc* members--who are ultimately charged with considering the relationship between scholarly output and teaching input. This issue has particular relevance for considering cases in which the teaching burden is above average.

While recognizing that the forms of pedagogy differ significantly across fields, we believe that a fuller accounting of pedagogy is both necessary and important for maintaining high teaching standards at Columbia University. Although it is widely agreed that being a good teacher is inadequate grounds for being granted tenure, it cannot be presumed that teaching is irrelevant and indeed we believe that pedagogical contributions deserve fuller recognition within the *Ad Hoc* process more generally. Accordingly, all reports on teaching should include: a statement of pedagogical

philosophy (which may be included in the candidate statement); descriptions of classes taught and enrollments; an accounting of how these courses fit within the Departmental curriculum and that of Columbia more generally; materials developed or generated by the candidate for use at Columbia University, including course syllabi and other aids; reports on teaching performance that include student response but that also explain the mechanisms by which this response was elicited and which permit the candidate or the Department to respond to negative allegations. Statistical representations of questions on teaching evaluations should represent not merely mean values but the ranges of values produced for any given question. In all cases, statistical analyses should describe the method used to generate the profile, and an accounting of sample sizes.

- 5) Publications. At present, candidates are asked to provide a “representative sample of publications.” We believe this requirement should be specified, and that publications and relevant materials should be selected by the candidate to reflect what he or she believes to be representative of his or her best work. The selection should not aspire to exhaustiveness but rather should permit the *Ad Hoc* to focus on the main contributions of the candidate. At the same time, *Ad Hoc* members should be able to consult any of the materials listed on the CV. They should also be informed as to which publications were supplied to referees.

- 6) Letters. The *Faculty Handbook* observes that there is no official minimum number of letters that may be required to make a case for a candidate, but a tradition has cohered in which more letters have been presumed to be better than less. Typically, and with some variation, Departments have come to observe an unofficial ideal which bids them solicit letters from 20 – 25 referees. ***The committee recommends that this number be significantly reduced. For each case, no more than 12 – 15 letters should be requested by Departments on behalf of the candidate.*** We believe that the additional letters provide little additional information and impose a substantial burden on colleagues at other institutions. Furthermore, letter writers who are aware of Columbia’s policy sometimes infer that each evaluation must thus be accorded only a small weight, and as a result some take umbrage at Columbia’s requests. An exception to this requirement should be made for those candidates whose work is identified, either by the candidate or the nominating Department, to be interdisciplinary in nature. In such a case, the Department should determine if references from more scholars in adjacent fields might help clarify the nature of the candidate’s accomplishments, in which case more letters should be sought (see also Section 5.c on interdisciplinarity and peer review).

We recommend eliminating altogether the preliminary or semi-blind stage of letter solicitation (which applies to internal candidates only, and is primarily of concern in the Arts and Sciences, and the School of Engineering and Applied Sciences), as this slows the adjudication process unnecessarily and does little to enhance the quality of deliberations undertaken by either the Department or the Ad Hoc committee. All letters should be solicited simultaneously at an early stage of the process (see suggested timeline in Section 6.f, ‘Scheduling of Ad Hocs’), and subsequently considered by the

nominating Department, before being included in the candidate's dossier for consideration by the *Ad Hoc*. ***However, we affirm the prerogative of the Vice President or Dean (whoever oversees the second stage of review) to request additional letters when those received need additional clarification or questions remain about a case.***

Except in disciplines where research tends to entail large collaborations, a maximum of 2-3 letters should be sought from collaborators of the candidate. ***The list of referees should be produced by the Department independently of the tenure candidate, but the candidate should be permitted to name 2-3 individuals who ought to be excluded from the list on the basis of previously demonstrated bias and/or illegitimate or excessive opposition to the candidate.*** Such oppositional individuals should be identified by the Department when submitting the list of referees to the Office of the Vice President, and/or the relevant Dean of the Professional School soliciting letters. Decisions by the Vice President, A&S and/or School Deans to augment the list and or make substitutions should bear in mind these requests for exclusion.

Where solicited referees choose not to respond to requests from Columbia University, the exchange should be kept on record, in the form of letters, saved and printed e-mails, and/or notes on telephone conversations. In this manner, it should be possible to know the difference between a non-response that is effectively a vote of no-confidence, and one which is merely the product of a reviewer's lack of familiarity with a case, or limitations of time due to schedule conflicts and/or leave of absence.

Following current practice, letters, requested under cover by the Departmental Chairman after approval of the referee list by the Office of the Vice President, A&S or the Deans of the Professional Schools, should be reviewed by the Department, and their contents summarized in the Departmental statement, but should also be included in the dossier in their entirety. In the event that these letters do not support the case for tenure, the Department could choose to terminate the case, but would have to do so with a written statement to the candidate, copied to the Provost and the appropriate Dean or Vice President.

Requests for letters should be standardized, as they are at present, according to template, and should seek: 1) a comprehensive analysis of the scholar's work to date, and of the candidate's potential for the future; 2) remarks on teaching ability, where these are feasible; 3) an assessment of the scholar's reputation, and of his or her performances in conference and other public venues; and 4) a comparison of the scholar with his or her peers (listed in the letter), as well as with those who are more senior.

With regard to the last item, namely comparisons, ***the request to referees should clarify that comparisons of junior candidates with more senior distinguished scholars are not intended to ignore differences in research and professional experience, but rather to permit the referee to imagine future trajectories for the candidate in question, partly by recalling the achievements of a senior scholar at an earlier stage of his or her development.*** At present, this explanation is lacking in the template provided by the Office of the Vice Provost for Academic Administration. For internal candidates, we believe, at least one but not more than 2 of the

comparisons should be with distinguished scholars, and the bulk of comparison should reflect on his or her relative status vis-à-vis members of the relevant and comparable professional cohort.

Some letters are modified by Departments, with permission from the Office of the Provost. In particular, names on the comparison list are dropped when the person to be compared is being solicited for a reference. Another item that also merits modification is the question asking whether an individual would likely receive tenure at the letter writer's institution. As more and more letters are sought from professionals outside of the United States, it needs to be recognized that tenure does not function identically in different countries, and that what would be required to grant tenure in, for example, Europe, may not be the same as what is required at Columbia and the US more generally. This problem also exists for letters solicited from individuals in industry or the professions. In both cases, alternative questions should be developed which ask the letter-writer to assess the degree to which the individual could be deemed to meet the standards of the writer's institution.

Referees themselves should be respectfully asked to return their letters within a period of 30 days, and to inform the Department if a delay is likely. This will permit better anticipation of scheduling and permit a more orderly progression to the *Ad Hoc*.

To facilitate an expeditious turn-around in response to requests for reference letters, the Committee recommends that ***referees be provided with the candidate's CV as well as 4-6 copies of written work, chosen by the candidate as representative of his or her best work***. Departing from current practice, we recommend that work be automatically supplied to all reviewers, and that referees not be asked to download or obtain (or even to request) written articles and books on their own initiative—a time-consuming and unnecessarily burdensome request, given the service being provided to Columbia University. Most importantly, we believe candidates should be judged on the basis of their best work, rather than a totality of everything ever published.

In any case, it seems to the Committee that the regularization of procedure across Departments and Schools will enhance the fairness of judgment if all referees, writing for all Departments and Schools, receive the same kinds of materials on which to base their judgments. It may well be the case that the provision of such materials is redundant, that referees will have some publications already to hand. Nonetheless, providing such materials will obviate delays when referees request materials. And, of course, the gesture communicates good will on the part of Columbia University, thereby eliminating any bias that might result from mere frustration at being asked to review a scholar whose work is not provided to the reviewer.

6.e. The *Ad Hoc* Meeting: Procedures and Protocols

The *Ad Hoc* meeting is the context in which the work of a nominated scholar is considered by those who are capable--by training, skills and experience--of judging it. Deliberations therein must be fair, free, open, and absolutely immune to any threat of recrimination. *Ad Hoc* committee members are expected to attend these meetings having read all of the materials provided to them, and having contemplated the merits of that material. They are expected to raise questions about the work, and to vigorously interrogate

the scholarship and record of pedagogical and other service provided to them. They are also expected to ask questions of the witnesses which will clarify all elements of a case, and either resolve or confirm any doubts they may have about it. As suggested earlier, probing questions should not be construed as evidence of hostility to a case, but rather as the demonstration of serious scholarly engagement, and as the responsible fulfillment of the mandate of *Ad Hoc* committee membership.

The *Ad Hoc* committee is chaired by a member of the tenured faculty, who is responsible for ensuring that all committee members have received the necessary documents, and for obtaining additional materials when these are requested. He or she chairs the meetings, informs outside members and witnesses of the requirements and protocols of the deliberations, and moderates discussion within the meeting. He or she calls for a vote when deliberations are concluded, and registers this vote for communication to the Provost, who attends the meeting in a supervisory but neutral capacity. The Chair also participates in these discussions and is a voting member of the *Ad Hoc* committee. Finally, he or she prepares a final statement in writing to describe both the content of discussion and the final vote on a given case. This is communicated in confidence to the Provost.

Ultimately, the *Ad Hoc* committee's conclusions function in an advisory capacity and the Provost may choose to confirm the vote of committee members, based on his or her presence at a meeting and his or her analysis of the discussions there, or to reject it. Our research indicates that the Provost has generally confirmed unanimous decisions and weighed in more frequently in cases where a split vote occurs. In less than 3% of the 479 cases reviewed over the last decade did the Provost reject the *Ad Hoc* committee's recommendations for tenure. We are not, therefore, moved to recommend any change in this practice, or to advocate the attenuation of Provostial decision-making on the matter of tenure.

While the Committee believes that the *Ad Hoc* deliberations should be undertaken by the committee struck for that purpose in the presence of the Provost, it sees no reason for any other individual, other than Departmental advocates and/or witnesses (who appear briefly before the *Ad Hoc* and respond to questions posed by its members) to be present. Moreover, we see the presence of such persons as a source of possible risk and/or the appearance of risk to the fairness of the proceedings. Insofar as Deans and Vice Presidents wield considerable power within their respective domains, and insofar as they have vested interests in the particular outcomes of cases for candidates from within their units, their presence can be construed by *Ad Hoc* committee members and witnesses in a manner that leads to the attenuation of frank and open discussion of the merits of any given case. ***To prevent even the suspicion that participants in the Ad Hoc may be influenced by the presence of Deans and/or Vice Presidents, we recommend the termination of that practice, unevenly applied under the current system in any case, in which administrators other than the Provost are present to Ad Hoc deliberations.*** The exception to this recommendation is the presence of the Barnard Provost, whose presence at the *Ad Hoc* permits a direct line of communication to the Barnard President, with whom Columbia University's President confers on cases.

Membership on an Ad Hoc committee is and should be absolutely confidential. Neither the names of committee members nor the content of the deliberations and subsequent votes may be revealed outside of the meeting. Under current guidelines, a breach of the fundamental requirement of confidentiality is grounds for discipline by the Provost, and may lead to an individual's exclusion from further *Ad Hoc* committees. The Tenure Process Review Committee affirms the need for a vigorous

protocol of confidentiality, but notes with some regret that this principle has not always been realized. We hope that breaches of the prohibition on discussion of *Ad Hoc*s can be reduced and we support the Provost in any effort to cultivate a stronger sense of the need for discretion about *Ad Hoc* meetings.

The Committee does not, however, feel that confidentiality should be pursued to the extent that it mitigates accountability within the *Ad Hoc* itself. Hence, ***it does not advocate the introduction of secret balloting***, nor any other such measure which would permit a disjuncture between the stated consideration of a scholar's work and the actual vote on that scholar's tenurability. At present, the voting process of the *Ad Hoc* committee is open, and follows in a sequence dictated by the Chair of the committee. It is clear that the first ballot in such a process has particularly persuasive force and that dissent becomes more and more difficult as more votes accumulate on one side or another of a case. The contingency of voting order can therefore have considerable consequence for the outcome of an *Ad Hoc* meeting. The Committee wishes to advocate a revision of current process to eliminate the influence of this contingency. It ***recommends that final voting be silent and simultaneous***, with each committee member writing his or her vote down at the same time and then revealing it to the committee and the Chair. The Chair and the Provost can then assess the degree to which the vote corresponds to the content of the meeting's deliberations, and can be confident that individuals voted their conscience rather than their deference to other votes.

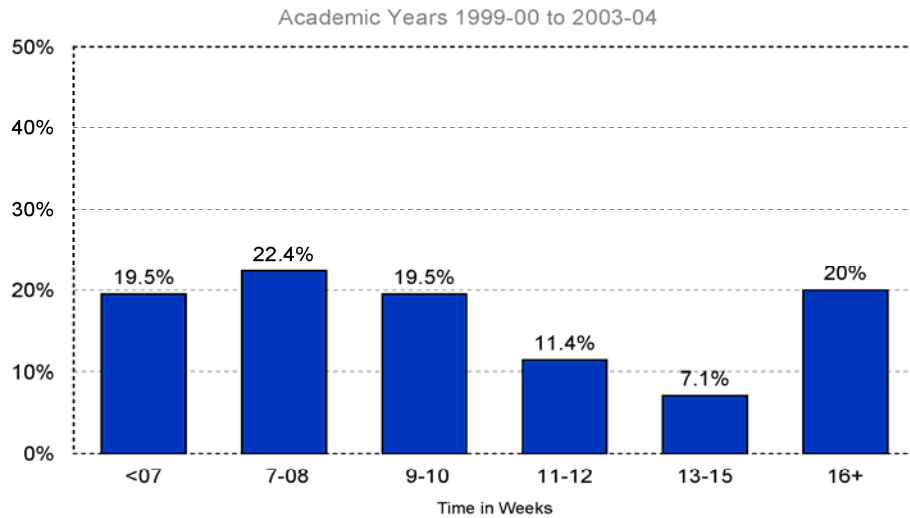
6.f. Scheduling of *Ad Hoc* Meetings

A crucial source of slowness and delay in the *Ad Hoc* process is the scheduling of the *Ad Hoc* meeting itself. This responsibility falls under the jurisdiction of the Office of the Vice Provost for Academic Administration and is dependent on several variables, including: 1) the timely receipt of materials from Departments; 2) the satisfactory recruitment of outsider members and the scheduling of their visit to campus; 3) the schedule of meetings with TRAC; 4) the availability of the Provost for the convening of the *Ad Hoc*; 5) the prompt response to scheduling surveys by faculty members being asked to serve on the *Ad Hoc*, and the ability and willingness of faculty members to meet at particular times.

At present, the situation is far from satisfactory and the slowness of the process is among the most significant sources of discontent among faculty members. Although times vary between schools and depending on whether candidates are being internally promoted or have been externally recruited, the current situation is one in which ***more than 38% of all cases take more than 10 weeks from the receipt of the dossier in the Office of the Provost until the Ad Hoc is convened***, although a considerable portion of these very long waits are due to the passage of summer months, when faculty are not on campus. Another ***20% of cases take more than 16 weeks***. On the other end, less than 20% of all cases are successfully concluded following receipt of dossier within a period of less than 7 weeks.

Table 4

Average Weeks from Dossier Received to *Ad Hoc* Meeting

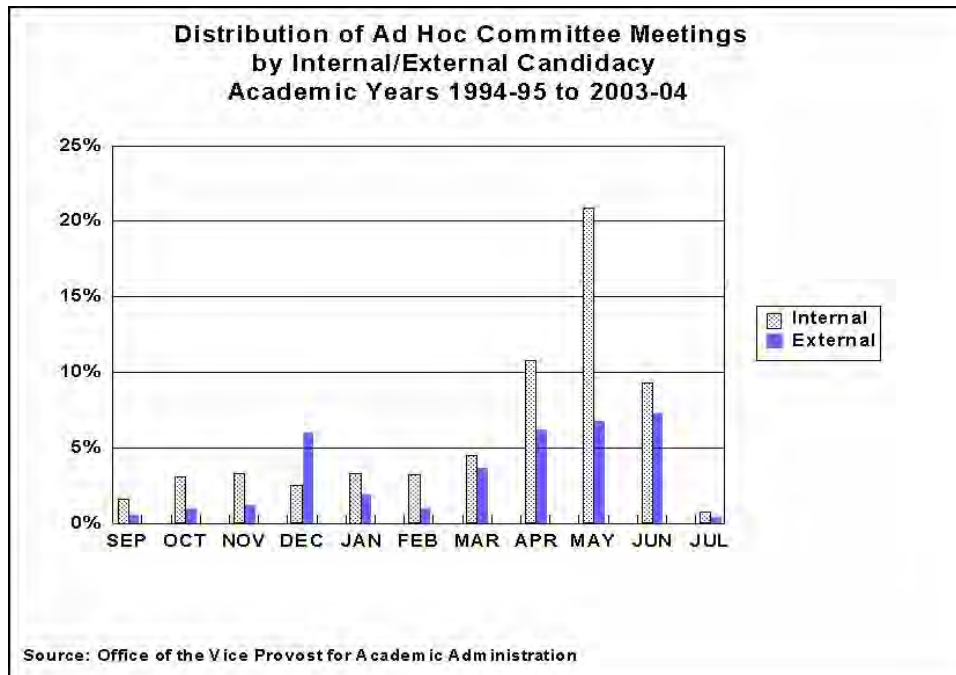


Office of the Vice Provost for Academic Administration

There are also significant additional delays between the time of Departmental nomination and the submission of the dossier, and there is some evidence that more than one quarter of all cases take more than 25 weeks between Departmental nominations and the *Ad Hoc*. This latter number is difficult to confirm because there are no shared markers to represent this date, and hence, the Office of the Vice Provost for Academic Administration does not maintain a standard set of statistics that would permit comparison of nomination dates across Schools. ***We recommend the systematic tracking of Departmental nomination and also dossier receipt dates across all Schools to better facilitate scheduling reform*** [See also Section 13]. Nonetheless, it is clear that slow preparation and tardy submission of materials from Departments exacerbates the situation enormously and puts additional pressure on the Office of the Vice Provost AA while also generating further bottlenecks in the scheduling process. Coming at the end of an already lengthy process of Departmental review, the addition of several months' wait is counterproductive for the faculty, and generates an environment which is alienating for insiders and an appearance which is unattractive to outsiders.

A number of factors affect scheduling. Among these, the bunching of *Ad Hocs* in the months between March and June has led to delays and, in some cases, deferrals into the next academic year. As demonstrated in Table 5, the vast majority of internal candidates are reviewed in April and May, creating an enormous scheduling crisis for the Office of the Vice Provost of Academic Administration, and the Provost.

Table 5



Clearly, the Provost's calendar can accommodate a limited number of meetings in a week, and anything that can spread the convening of such meetings over a more extended period of time will alleviate pressure and improve the situation. With the exception of the Business School, most Schools and Departments submit their dossiers in such a way as to presume a late Spring *Ad Hoc* meeting. **Wherever possible, early or off-schedule submission of materials should be sought.** However, in order to expedite the process more generally, ***we propose a revised timetable for the submission of materials and the solicitation of letters. The proposed timetable should be implemented first in the Arts and Sciences which, as stated earlier, has the largest single number of cases in any given year*** (see Table 6, Proposed Timetable of Ad Hoc Nomination Process), and subsequently in other Schools. We believe this revised timetable can be implemented through the elimination of the semi-blind letter-writing stage, and a modest set of changes in scheduling policy, as well as the enhancement of support services in the Office of the Vice Provost.

First, with regard to the scheduling of *Ad Hoc* members, we believe that current policy has encouraged tardy responses and a relative lack of concern for swiftly convened deliberations. At present, faculty members are asked to identify those days in a period covering several months in which they would be available for meeting. The importance of the *Ad Hoc* process cannot, in our estimation, be made secondary to mere preferences for meeting times and tenured faculty must be strongly encouraged to consider the attendance at *Ad Hoc* deliberations as an obligation, rather than a convenience. ***Faculty should be asked to identify only those times within a 30 day period in which they cannot meet, and should not be given the option of deferring such participation until a subsequent month.*** Fridays, which have often been considered days away from campus, should not be sequestered from the schedule for any reason other than teaching, or absence from campus for academic conferences and research. Given that faculty members are generally asked to serve on only one committee a year (although, in a small percentage--up 12%--faculty

servicing on *Ad Hoc* cases will do so more than once), we do not feel that such strictures can legitimately be considered onerous.

With regard to Departmental timetables, ***we propose a timeframe that includes earlier review of candidate materials, a more compressed letter solicitation period, and more expeditious submission of dossiers to the Provost's office.*** The timetable is contained in Table 6, but Departments should be encouraged to submit materials in advance of final deadlines.

Table 6

Proposed Schedule of Promotion and Tenure Process									
<i>Goal:</i> To minimize duration of process, streamline procedure and eliminate redundancies									
<i>Range for Time to Tenure,</i> assuming positive recommendations at all stages: 8 - 24 weeks									
<i>Presumptions:</i> No deferral of ad hoc meeting beyond 1 additional month, due to limitations on schedule choices; no use of 9 th year exceptions to permit deferral of case over summer.									
MENTORING		1 ST REVIEW TO PROMOTE/HIRE					FINAL REVIEW		
<u>Dept. Evaluation</u>	<u>Dept. or Divisional Decision to Review for Tenure</u>	<u>1st VP Review</u>	<u>Dept./ Divisional Review</u>	<u>VP or School Review</u>	<u>Ad Hoc Review</u>				
<u>Year of Dept/ Divisional Review</u>	<u>Begin Process in Dept.</u>	<u>Dossier Due From Candidate</u>	<u>Preliminary List of Referees to VP</u>	<u>Approval and/or Request for changes in referee list</u>	<u>Dept/ Division sends out for 15 letters</u>	<u>Dept/ Division votes on Candidates</u>	<u>Last vote Prior to Provost's Receipt of Dossier</u>	<u>Dossier Due to Provost</u>	<u>Ad Hoc Convened, Provostial Decision Made</u>
Depends on Dept. Reviews may occur in 1 st , 2 nd , 3 rd , and/or 5 th years, or on an annual basis.	May 1 (based on reading of candidate's work, review of teaching evaluations, and most recent review and promotional commitments) VP notifies dept of eligibility by April 1	July 1 Candidate submits research statement, teaching documents, and publications to Department Chair	Sept 15 - 20 For external recruitments, this would be the time for conveying departmental decisions to make a provisional offer (while not timed on the same calendar as internal cases, the process should run at a pace at least comparable to that envisioned for internal promotions)	Sept 20 - 25 VPAA (SR) begins search for outsider TRAC Begins discussion of Ad Hoc	Sept. 25 Request is accompanied by cv and 4-6 of candidate's publications; letters must provide time-line and request explanation of non-response; 30 day time limit is recommended for letter writers.	Nov 15 Internal processes, such as committee evaluations and review of Executive Committees must be completed within this time. Scheduling of Ad Hoc is commenced (1 month max time range)	Dec. 1 - 20 Arts and Sciences VP approves dossiers for forwarding to Provost; Professional Schools on this calendar convene Standing Committees and/or take faculty vote on case, then forward them to Provost	Dec 20 Dept. Statement due at this time, with accompanying materials, including pubs., cvs, statements, letters, and other relevant documents	Jan. 5 - May 31 No use of 9 th year extension to permit deferral of Ad Hoc. Max. time before scheduling outsiders = 6 weeks, insiders = 12 weeks after Jan. 5 or receipt of dossier

In all Schools, the goal for schedule reform should be a situation in which virtually all cases are reviewed within 6-8 weeks of Dossier receipt, with shorter periods of 4 – 6 weeks for high-level external. We recommend, further, that ***no extensions of the tenure clock be used to permit the deferral of Ad Hoc meetings into a subsequent academic year.*** Although recent years have seen a decline in the number of clock extensions, we believe that an absolute elimination of deferrals on this basis will help to ensure the reasonable conclusion of *Ad Hoc* proceedings.

7. EQUITY ISSUES

The justness of the Columbia University tenure system depends on whether all individuals are treated equally, regardless of their status as men or women, or as members of one racial group or another. It is therefore imperative to determine if and to what degree bias afflicts the *Ad Hoc* process and/or other stages in the life of Columbia University faculty. In order to do so, it is necessary (but not sufficient) to determine if there are statistical differences in success rates and/or pre-*Ad Hoc* attrition rates on the basis of gender and/or minority status. The committee felt compelled to investigate this issue, in part, because of the expressions of many Survey respondents and letter writers indicating a

sense that women and minority faculty at Columbia are discriminated against in the tenure system. As stated in the Summary Report of the Survey contained in the Appendix, women and minority faculty were more likely to report that they had experienced or believed the tenure system was subject to caprice, and that issues other than relevant scholarly output and pedagogical accomplishment were considered by Departmental and/or *Ad Hoc* members when deciding the case of such faculty members.

We analyzed success rates for both internal and external candidates in all Schools, on the basis of gender and minority status. Unfortunately, it is extremely difficult to make any definitive statements based on the available numbers when these are broken down on gender and minority bases, and percentages for women and minority faculty members have been derived from a very small number of cases. In some instances, it is impossible to deduce the presence or absence of differential success rates simply because there are too few cases on which to base the analysis. This is particularly true when considering the *Ad Hoc* success rates among minority candidates, of whom there have been very, very few. ***Two conclusions can be drawn from this: that there are too few cases on which basis to claim statistically significant evidence of difference and/or bias, and that the history of recruitment and attrition prior to the Ad Hoc is partly responsible for this incapacity. In other words, the lack of hiring and retention of women and minority faculty prior to the Ad Hoc stage is a source of inequity.*** An overall pattern can be discerned of relatively low absolute rates of hiring and retention of female faculty in some areas and relatively low absolute rates of hiring and retention of minority faculty in all areas. While these low rates must be interpreted relative to the available pool of such scholars, there can be no doubt that the consequences can be seen in the paucity of candidates being put forward for *Ad Hoc* consideration.

Although considerable improvement has been made over the years, Columbia University's faculty, and especially its tenured faculty, has yet to achieve either parity or equity. ***Women and minority faculty are underrepresented in almost all fields, Departments and Schools.*** The question for our committee was, "To what extent is the tenure system responsible for this lack of parity?" We now address these issues discretely, beginning with gender issues and concluding with minority issues.

7.a. Gender

Table 7 provides overall data for *Ad Hoc* success rates, by internal and external candidacy for men and women. In brief, it can be seen that the success rates for internally promoted women from the Arts and Sciences at Columbia University are: Humanities 77% (N=13); Social Sciences 80% (N=10); Natural Sciences 75% (N=8) and Arts 100% (N=2). This compared to success rates for men as follows: Humanities: 71% (N=21); Social Sciences 82% (N=22); Natural Sciences 96% (N=28) and Arts 83% (N=6). The average success rate for women was thus 79%, whereas the average success rate for men was 84%. In the Professional Schools, the *Ad Hoc* success rates for internal candidates were also comparable: The aggregate success rate for internally promoted candidates in the Professional Schools was 85% (N=13) for women and 87% (N=54) for men. In the Health Sciences, the rates were 92% (N=25) for women and 90% (N=54) for men.

Although the overall numbers are small and the statistical significance is difficult to determine, ***it is notable that the highest gender-based differential in Ad Hoc success rates for internal promotion, as well as the lowest overall Ad Hoc success rates for internally promoted women occur in the Natural Sciences.*** We were unable to determine the causes of this differential, nor to assess it in terms of the available applicant

pools (information about which was not available to this Committee). We nonetheless believe the situation merits serious and systematic review at a divisional and Departmental level. In this respect, our still tentative analyses support those efforts, already underway, to address the unequal predicament of women in the Sciences, and we are hopeful that the NSF “Advance Award” grant recently obtained by Columbia University’s Earth Institute, and other initiatives being undertaken in the Sciences under the auspices of the Office of the Vice Provost for Diversity Initiatives will facilitate both analysis of the causes of the differences in tenure rates for internally promoted men and women in the Natural Sciences, and the possible solutions to this inequitable situation. At the same time, we recommend vigorous on-going monitoring of these statistics, and of all issues affecting the status of women in the Sciences at Columbia.

Table 7
Ad Hoc Tenure Review Success Rates
By Internal/External Candidacy and Gender
1994-95 to 2003-04

	Internal								
	Female			Male			Total		
	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed
Arts & Sciences									
Humanities	13	10	77%	21	15	71%	34	25	74%
Social Sciences	10	8	80%	22	18	82%	32	26	81%
Natural Sciences	8	6	75%	28	27	96%	36	33	92%
Arts	2	2	100%	6	5	83%	8	7	88%
Arts & Sciences Total	33	26	79%	77	65	84%	110	91	83%
Morningside Professional Schools Total	13	11	85%	54	47	87%	67	58	87%
Health Sciences Total	25	23	92%	59	53	90%	84	76	90%
UNIVERSITY TOTAL	90	75	83%	209	183	88%	299	258	86%
	External								
	Female			Male			Total		
	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed
Arts & Sciences									
Humanities	15	14	93%	16	13	81%	31	27	87%
Social Sciences	9	9	100%	30	29	97%	39	38	97%
Natural Sciences	3	3	100%	26	25	96%	29	28	97%
Arts	1	0	0%	0	0		1	0	0%
Arts & Sciences Total	27	26	96%	72	67	93%	99	93	94%
Morningside Professional Schools Total	5	5	100%	33	31	94%	38	36	95%
Health Sciences Total	7	6	86%	19	19	100%	26	25	96%
UNIVERSITY TOTAL	46	43	93%	130	122	94%	176	165	94%

Note: We used Fisher's exact test of the null that female and male pass rates are equal, vs. the alternative that female pass rates are lower, and did not find any statistical evidence that the rates differ.

Source: Office of Vice Provost for Academic Administration

Within smaller units, and when considering more specific faculty cohorts, it becomes even more difficult to discern “statistically significant” patterns of differential success at the *Ad Hoc* stage or any other stage of tenure review. However, it is important to understand that the numbers do not necessarily imply that there is no bias in the *Ad Hoc* process. To determine if there are gendered differences and, moreover, if these differences are a function of bias in particular Schools and Departments will require long-term and systematic tracking of success rates both before and at the *Ad Hoc* stage, and we urge that, in addition to such

tracking a careful analysis of the reasons for any difference be undertaken. At present, we can only observe with certainty that, at Columbia Arts and Sciences, men consistently outnumber women at all ranks and that their relative predominance by the time of the *Ad Hoc* results in a higher number of men being tenured relative to the number of women tenured. This is true in all divisions (ie., Arts and Sciences, Professional Schools, Health Sciences, but with internal variation) when we consider internal promotions. ***In the University as a whole, more than twice as many men are reviewed as internal candidates as are women (209:90). As discussed below, this difference is most directly linked to hiring ratios.***

When considering externally recruited candidates, the ratio of women to men changes within fields, even as the success rate remains comparable. And there is an even higher differential between the numbers of men and women reviewed. Thus, the success rates for externally recruited women for the same period were: Humanities 93% (N = 15); Social Sciences 100% (N = 9); and Natural Sciences 100% (N=3). For men, the success rates were: Humanities 81% (N=16); Social Sciences 97% (N=30); and Natural Sciences 96% (N=26). In Health Sciences, success rates for externally recruited candidates were 86% for women (N=7) and 100% for men (N=19). In the same period, the Professional Schools saw externally recruited women succeed in obtaining tenure at a rate of 100%, compared to 94% for men.

The relative parity in success rates is belied by the recruitment rates, however. External recruitment in the Humanities has been associated with a more equitable gender balance, while in the Natural Sciences, recruitment of women takes place at a far lower rate than that of men. In the Social Sciences, there is also an enormous imbalance in the numbers of women recruited relative to the numbers of men at this level. Both the Professional Schools and the Health Sciences recruited men at significantly higher rates than they recruited women, with ratios of 31:5 in the former, and 19:7 in the latter. We note that the Professional Schools had the worst gender balance among all the constituent elements at Columbia, with women comprising merely 14% of all senior hires. The situation is even worse if we take into consideration the degree to which many of these hires were made within historically female-dominated fields. Social Work, for example, accounted for 39% of the women hired into the Professional Schools between 1991 and 1995.

When considering external recruitment at the aggregate level, the overall picture is one of even greater differentials. Of the externally recruited faculty, 130 men were reviewed compared with only 46 women during the period, 1994-5 and 2003-4. ***In other words, women comprised only 26% of externally recruited faculty, compared to the 30% of internally promoted faculty.*** A fuller analysis of these ratios will require that Departmental rates and ratios be scrutinized. Such analysis clearly falls within the mandate of the Office of the Vice Provost for Diversity Initiatives, and should be undertaken there.

As part of our own analysis of pre-*Ad Hoc* processes, we also scrutinized attrition along the path to tenure. Reviewing the record of cohorts recruited between 1991 and 1995, we observed that, ***at the aggregate level, comparable numbers of men and women left Columbia University without tenure***, namely 59% and 61% respectively.³ More finely grained analysis of these figures was made difficult because, except at the aggregate levels,

³ These percentages appear lower than the overall attrition rate described in the opening section of this document only because the period covered has not seen all cases resolved. Leaves for family care and/or research may account for some of those who, having arrived in 1995, have not yet completed their 8 year clock, and hence these numbers are useful only for discerning differential departure rates, not overall attrition.

the numbers under discussion were too small to permit much generalization, and the situation is complicated by inadequate data gathering. Within the limited terms possible under these circumstances, and based on preliminary research, it is nonetheless possible to say that there appears to be some variation across Schools and Divisions, with higher rates of attrition for women in the Humanities, and some of the Professional Schools. Unfortunately, current statistical data do not permit us to adequately distinguish between those who left from positions which were not tenure-eligible (such as visiting professorships and term-limited appointments), and those who departed the ranks of tenure-eligibility. Accordingly, ***we recommend that the terms of appointment and the tenure-eligibility of those appointments be made clearer to all parties, and that these distinctions be incorporated into the statistical profiles of Departments. It is imperative that the tenure-eligibility of all appointments be known to the person hired, the Department, and the central administration from the moment that an offer is made.***

Table 8
Path to the Tenure Decision at Columbia
Assistant Professors and Associate Professor w/o Tenure, 1991-92 to 1995-96 Cohorts
Totals by Gender

School/Division	Gender	New Hires		Left w/o Tenure		Pending		"Off-Track"		Tenured	
		N	%	N	%	N	%	N	%	N	%
Arts & Sciences	Men	102		71	70%	8	8%	4	4%	19	19%
	Women	62		44	71%	1	2%	6	10%	11	18%
Morningside Professional	Men	74		25	34%	7	9%	3	4%	23	31%
	Women	36		14	39%	4	11%	2	6%	7	19%
Health Sciences	Men	156		83	53%	4	3%	44	28%	25	16%
	Women	72		36	50%	2	3%	26	36%	8	11%
Grand Totals	Men	332		195	59%	19	6%	51	15%	67	20%
	Women	170		103	61%	7	4%	34	20%	26	15%
	Total	502		298	59%	26	5%	85	17%	93	19%

Notes: We used Fisher's exact test of the null that female and male departure rates are equal, vs. the alternative that female departure rates are lower, and did not find any statistical evidence that the rates differ. Faculty who are "Pending" are still at Columbia and tenure-eligible.

Source: Office of Planning and Institutional Research

Schools and Departments with high pre-tenure attrition rates have a much less stable junior faculty population, and it is this instability born of transience that is felt, by many survey respondents, to make life at Columbia feel so precarious. It is the belief of this committee that the only way to reduce this experience, and to improve retention rates while maintaining high standards of scholarship and pedagogy is to ensure better hiring at an early stage. Such issues lay beyond the mandate of our committee, but we encourage their consideration by Departments and the University more generally.

Overall, ***Columbia University continues to hire men at a much higher rate than it hires women.*** Between 1991 and 1995, it hired 332 men and 170 women. The only exceptions to this rule can be found in the Humanities, where a marginally higher number of women were hired between 1991 and 1995 (21:19), and in the historically female-dominated Professional Schools of Social Work, Nursing and Public Health, where women far outnumber men. The mandate of this committee does not extend to hiring practices, but ***we strongly encourage the Provost to undertake additional research on this issue, and to implement remedial policies where necessary, through the Office of the Vice Provost for Diversity Initiatives and other appropriate entities.*** Many of our peer

institutions are similarly engaged in efforts to address gender equity, and Columbia University ought not lag behind in this regard.

7.b. Minority Status

The analysis of minority issues in the tenure system is made difficult for two significant reasons. First, the category of minority status is not adequately or systematically registered in Columbia data bases. Faculty are asked to self-identify their ethnicity when being recruited, but there is little follow up to ensure that records are accurate and consistent. More important, perhaps, is the nature of the category itself. For the purposes of affirmative action and other such legal reforms, minority status applies to historically disadvantaged groups in the United States, and covers only those with citizenship status. It does not, for example, include the socially minoritized individuals who would otherwise be identified as ‘Black’ or ‘Hispanic’ or ‘Asian’ if these individuals are not US citizens. Yet, in everyday discourse within the University, ‘minority’ is a term generally applied to all ‘persons of color.’ Thus, those who are considered by their peers and by themselves to be minority faculty, may not be legally eligible for these terms insofar as affirmative action initiatives and protections go.

Because the Columbia categories do not reveal national identity, they do not reveal the “minority” status of such persons. However, they do reveal something about the general state of diversity and the representation of different racial and/or ethnic groups among the faculty. In general, the data suggest that Columbia has enhanced diversity among the faculty over the past decade. However, to the extent that the University aims to ameliorate the historical disadvantage experienced by minorities within the United States, this data is only partially useful. Indeed, in some regards, the data indicating successful diversification overall hides the failure to recruit and retain African American, Latino and Native American scholars by not distinguishing them from other groups.

It is important to recognize and to underline the fact that the failure to recruit African American, Latino and Native American faculty is not caused by, and does not reflect a problem with the recruitment from other groups. To the contrary, the relative inclusion of Asian and other foreign-born faculty at Barnard and Columbia should be seen as a successful outcome in the pursuit of diversity—one that has been inextricable from these institutions’ achievement of internationally recognized excellence. It is a success whose replication should be the object of continued diversity initiatives, such that better rates of recruitment and retention among African American, Latino and Native American faculty also be effected. To facilitate this goal, ***we recommend the establishment of better data gathering and analysis based on more systematic identifications of faculty, with particular recognition of African American, Latino and Native American faculty. Only then will it be possible to discern patterns in hiring, retaining, and tenuring minority faculty, and only then will appropriate remedial strategies be devisable.***

The statistics that we do possess, limited as they are, suggest that *Ad Hoc* success rates for racially minoritized faculty are comparable or higher than those of non-minority faculty in the Arts and Sciences. The same can be said of the Health Sciences. The apparently low success rates for internally promoted faculty of color in the Business School, when compared to non-minority faculty there, and when compared to faculty of color in the other Professional Schools⁴ (excepting Social Work where an apparent inequity may or may

⁴ Social Work also appears to have a low success rate for minority faculty and/or faculty of color. However, the percentages available to us are based on a total of 2 individuals, and do not, as a result, permit any conclusions

not exist, the sample being too small to permit conclusion) may be a random event, but in order to determine if this is the case, *Ad Hoc* success rates and race issues in general should be given further attention and analysis. We emphasize here that these statistics apply to persons of color, rather than the more narrowly defined category, “minority faculty,” and we note here that the latter group may be even more underrepresented. Once again, the need for better data is apparent. Finally, statistics should permit us to differentiate success and attrition rates on gender and minority bases, but they should also permit a more specific analysis of the position of women of color, which category is generally recognized in the literature on minorities as being especially vulnerable to exclusion and/or discriminatory practice.

Our analysis of attrition generated a less salutary picture, and when coupled with low recruitment rates, gives us reason to advocate intervention. There appears to be a statistically significant relative departure rate of racially minoritized faculty from Columbia University overall prior to tenure. Again, relying on an analysis of the cohorts recruited between 1991 and 1995, we found rates of departure of 69% for minorities compared with 57% for non-minorities.⁵ The situation is significantly worse if we use the more legally restricted category of minorities described above, and exclude from this category non-citizens.

Table 9
Path to the Tenure Decision at Columbia
Assistant Professors and Associate Professor w/o Tenure, 1991-92 to 1995-96 Cohorts
Totals by Minority Status

School/Division	Minority Status	New Hires			Left w/o Tenure (Total)			Pending		"Off-Track"		Tenured	
		N	N	%	N	%	N	%	N	%	N	%	
Arts & Sciences	Non-Minority	139	94	68%	8	6%	9	6%	28	20%			
	Minority	25	21	84%	1	4%	1	4%	2	8%			
Morningside Professional	Non-Minority	79	25	32%	9	11%	4	5%	21	27%			
	Minority	31	14	45%	2	6%	1	3%	9	29%			
Health Sciences	Non-Minority	190	94	49%	4	2%	62	33%	30	16%			
	Minority	38	25	66%	2	5%	8	21%	3	8%			
Grand Totals	Non-Minority	408	233	57%	21	5%	75	18%	79	19%			
	Minority	94	65	69%	5	5%	10	11%	14	15%			
	Total	502	298	59%	26	5%	85	17%	93	19%			

Notes: We used Fisher's exact test of the null that minority and non-minority departure rates are equal, vs. the alternative that minority departure rates are lower, and did not find any statistical evidence that the rates differ. Faculty who are "Pending" are still at Columbia and tenure-eligible.

Source: Office of Planning and Institutional Research

Here, as in the case of gender, the Committee also observes extremely low rates of minority recruitment. Even with the expanded category of “minority” that has been used in data-gathering to date, minority faculty comprised only 19% of all new hires at Columbia between 1991 and 1995. African Americans, Latinos and Native Americans constituted a miniscule proportion of this already small percentage. In response to this fact, the Committee defers to the Office of the Vice Provost for Diversity Initiatives, and again *calls*

about *Ad Hoc* success rates to be derived. Here, as elsewhere, we can only conclude the Social Work has not recruited minority faculty to any significant degree.

⁵ The same proviso applies here, namely that the overall rates are higher than these, which cover a cohort not all of whose members have completed their 8-year tenure clock. The statistics derived from these cohorts reveal differential rates of attrition but not overall rates.

upon the Provost to support efforts to assess and ameliorate problems in the recruitment, retention and tenuring of minority faculty at Columbia. In the City of New York, where Columbia represents the urban face of the Ivy League, this need seems particularly acute.

8. SPECIAL ISSUES: HEALTH SCIENCES

The history of discussions about how tenure at the Health Sciences should be integrated with that in other parts of the university is long and complex. Moreover, the volume of survey data and voluntarily contributed letters received by the Committee on matters pertaining exclusively to the Health Sciences led to the establishment of a specially designated sub-committee, also chaired by Rosalind Morris. This committee included among its members: Robert Kass (Pharmacology), Timothy Pedley (Neurology), Carol Prives (Biological Sciences); Marian Carlson (Genetics); Ged Parkin (Chemistry) and David Brenner (Medicine). The Subcommittee's recommendations, all unanimous, were brought to the Committee of the whole, discussed and ratified there.

Over the last decade, there has emerged a growing sense that the tenure clock of those involved in clinical practice has become disjunctive from that at peer institutions, and that Columbia's capacity to retain faculty or compete with such institutions may be impaired as a result. Equally important, the internal difference experienced by junior faculty in the basic sciences and the clinical sciences, both of whom are considered for tenure at the same time (i.e., before the 8th year) is felt as a source of inequity. Indeed, such candidates are judged on the basis of extremely different circumstances, often with those in the clinical health sciences having had far less time available for research than those in the basic sciences. After a consideration of peer institutions, and a comprehensive review of survey material from Health Science faculty in both the Basic and the Clinical Sciences, the Committee has therefore resolved to recommend that:

- i. the tenure clock of those with substantial clinical responsibilities be extended from 8 to 10 years, with the tenure review taking place in the 9th year; and*
- ii. that the COAP or some other specifically designated body of the Health Sciences be charged with establishing a formula to determine the precise criteria by which "substantial clinical responsibilities" be measured (ie., as a percentage of time);*
- iii. that movement out of tenure-eligible appointments into tenure-ineligible or limited term appointments on a temporary basis, if and where it exists, be eliminated entirely, such that once an individual has departed from the tenure-eligible path he or she not be able to return to it without having the time served elsewhere be counted on the tenure clock (with the usual exemptions being provided on the basis of family or care-giving leave);*
- iv. that all faculty be informed of their status and eligibility for tenure from the moment that they receive an appointment of a tenure-eligible sort, but that non-tenure-eligible appointments*

other than postdoctoral fellowships not be used to extend the clock on the front end.

The Committee's recommendations for the extension of the tenure clock for those with substantial clinical responsibilities should be considered in light of a general set of developments over recent years, and most especially the gradual elimination of mobility between tenure-eligible and tenure-ineligible appointments (by which mechanism, Health Science faculty had previously been able to extend the clock on an *ad hoc* but *de facto* basis). The committee believes that the regularization and circumscription of the categories of appointment should be continued and enhanced where necessary.

The Committee also feels moved to recommend that the Health Sciences undertake a systematic appraisal of the processes of review associated with fully clinical appointments so as to bring the clinical appointments in line with the practice appointments at the Morningside campus, most of which are now subject to standard and periodic review and longer terms of appointment. The Committee believes that all long-term or recurrently renewed appointments, whether tenured or not, should be subject to some form of review, and sees such review as an important mechanism for the maintenance of standards of excellence in all aspects of the University's undertakings.

Finally, when considering the review mechanisms that precede nomination to tenure within the Health Sciences, the Committee observed a potential source of serious conflict of interest, and also a major obstacle to the formation of *Ad Hoc* committees, namely the practice of soliciting letters of reference from members of Columbia University's own community for internal promotions of faculty in professorial positions in clinical fields (especially in positions of "unmodified and unmodified suffix" sorts). This practice is absent in all other Schools at the University, precisely because it undermines the objectivity that is supposed to inform the review process. We recognize the need to document the clinical performance of such individuals, where this is involved, but just as teaching evaluations are performed by colleagues without such colleagues providing letters of reference, we believe a mechanism must be developed in the Health Sciences to ensure both that clinical performance is documented and that letters of reference are sought from those who can provide an objective assessment of scholarship. ***We therefore recommend the elimination of letters of reference from all individuals whose primary appointment is at Columbia University. At the same time, we recommend that an additional set of clinical evaluations (not to exceed 5 or 6) be included in the dossier, solicited either in the form of letters of review from supervisors, or some other appropriate form. Given the reduction in the total number of letters, we are confident that this requirement will not hinder the fair and informed assessment of an individual's work.***

It should be stated in this context that ***we do not advocate the substitution of periodic review for tenure, and while the University has established Professorships of Practice and analogous positions for long-term renewable appointments in language instruction and the Core, we remain committed to the maintenance of tenure for all research appointments—whether in the Health Sciences or elsewhere.***

9. SPECIAL ISSUES: BARNARD COLLEGE

9.a. Relations Between Barnard College and Columbia Arts and Sciences

A good working relationship between Barnard and Columbia is central to the teaching and research mission of both institutions. It is nonetheless also the case that the particular form of relationship between Barnard and Columbia is Departmentally specific, and a great deal of variability characterizes the partnership at the Departmental level. Some Departments function as relatively integrated entities, sharing curricular responsibilities and including each other's faculty members on executive and personnel committees. Others are relatively autonomous entities, with little interaction.

Such differences exist within an overall structure that is marked by inequality of size and resources. Few Departments at Barnard College exceed their counterpart Departments at Columbia in faculty size and/or resource base. The differences are most acute in the sciences, where the presence or absence, and size of available laboratory resources mark a differential of enormous magnitude. Such inequality is inevitably reflected in hiring practices, and in the conceptualization of the role that faculty will play within Departments at both Barnard and Columbia, and must be borne in mind while considering any aspect of the tenure system that binds both institutions.

Bearing this structural inequality and internal diversity in mind, the Committee nonetheless wishes to recognize that insofar as Barnard faculty are part of the Columbia University community, insofar as the scholarly work of Barnard faculty contributes to the intellectual life of Columbia, and insofar as teaching by Barnard faculty constitutes a considerable portion and impacts upon the quality of education available at Columbia (and vice versa), we believe that Barnard faculty should be subject to Columbia *Ad Hoc* procedures.

We do not foreclose the possibility that discussions about alternative relationships between Barnard and Columbia may arise at some future point in time, and even that the termination of this relationship may be fathomed, but based on our own considerations, we feel that, while some elements of the current system are unsatisfactory, the principle of tenuring at Columbia University presently works in the best interests of both institutions; it has contributed to high standards of scholarship at Barnard, while also facilitating the recruitment of excellent faculty members. Accordingly, Columbia University faculty and students also benefit. Our aim has therefore been to conceive of ways to eliminate the sources of dissatisfaction in the current arrangement, to mitigate the real or apparent inequity in standards and burdens applied to faculty members at each institution, and to find mechanisms that permit the respective needs of both institutions to be satisfied in and through the *Ad Hoc* process.

In conducting our review of the Barnard/Columbia tenure relationship, we benefited enormously from a substantial self-study and report generated by Barnard College, the latter entitled "The State of the Tenure Process at Barnard College."⁶ At Columbia, a subcommittee was devoted exclusively to reviewing the issues raised in that study, to an assessment of data generated by the Columbia Office for Institutional Research and the Office of the Provost, and to making recommendations which were then brought to the Committee of the Whole and ratified for inclusion in this report. The members of the Barnard/Columbia subcommittee included: Elizabeth Castelli (Religion, Barnard), Farah

⁶ The report was generated on the basis of a substantial self-study, and was authored by an elected committee and subsequently ratified by the entire Barnard faculty.

Jasmine Griffin (English and African American Studies, Columbia), Laura Kay (Physics/Astronomy, Barnard), Rosalind Morris (Anthropology, Columbia, Tenure Process Review Committee Chair), Keith Moxey (Art History, Barnard), Philip Kitcher (Philosophy, Columbia), Erick Weinberg (Physics, Columbia).

9.b. Standards and Criteria: Pedagogy and Scholarship

For some time, it has been recognized that the differences between teaching burdens at Barnard College and Columbia Arts and Sciences⁷ have consequences for the rates of scholarly production at either location. We are mindful that these differences are not absolute, that many young faculty in the Columbia Arts and Sciences undertake enormous amounts of teaching and advising, and that there are also differences internal to Columbia between the Humanities, the Social Sciences and the Natural Sciences. We are especially mindful that advising and extra-curricular labors tend to be distributed unequally according to gender and race, with junior women of color often bearing a disproportionate burden of advising labor. The Committee hopes that Barnard College and Columbia University will undertake to remedy this inequity, and that they will strongly discourage the disproportionate assignment of time-consuming labor to junior faculty. Nonetheless, the Committee's concern lies with the ways in which such differences are accounted for in the *Ad Hoc* process, such that contributions to the pedagogical life of our respective institutions do not become the grounds for apparent penalization.

The Committee maintains that, in the case of Barnard, as with other parts of Columbia University, tenure is to be granted, above all, in recognition of demonstrated excellence of scholarship. Beyond this primary assertion, however, *Ad Hoc* committees must judge a candidate in terms of the quality of scholarship that could reasonably be expected under the circumstances in which an individual works, and bearing in mind the constraints placed on him or her by teaching and other service obligations. They must do so while maintaining that there can be no substitute for excellent scholarship.

One of the central concerns of Barnard faculty pertains to the degree to which *Ad Hoc* committees are able to weigh the relative teaching burden experienced by Barnard faculty when assessing the scholarly achievements of those individuals. A higher relative teaching load at Barnard (as in some Professional Schools at Columbia, such as Social Work) is thought to adversely affect faculty members' capacities to undertake scholarly research. It is, in this context, especially important to recall that the operative criterion for granting tenure is quality rather than quantity of scholarly contribution. Even so, we recognize here, as elsewhere, that pedagogy is both a distinct form of faculty labor and a mode of disseminating scholarship. Its representation in Departmental statements about a candidate is therefore of signal importance, and this is perhaps especially true in the case of Barnard College. In order for claims about relative work burdens to be appropriately weighed by the *Ad Hoc* committee, they must fully and explicitly be documented. As stated in 'Section 6.d.4,' there is currently a great deal of variation in the ways that teaching is accounted for in Departmental statements. A heavy reliance on summary reports of student evaluations and lists of courses taught has been typical. These forms of documentation can and should continue to be part of the case statement, but ***we recommend that they be supplemented with reports on curricular design, undergraduate and graduate advising, as well as***

⁷ References to Columbia Arts and Sciences in this section of the report (on Barnard/Columbia relations) exclude the "School of the Arts," normally encompassed by Arts and Sciences, because it lacks a counterparty at Barnard.

course syllabi, teaching prizes, and other relevant material. In Departments where collegial review of teaching occurs, such reviews should be explained in the statement.

9.c. Departmental Statements

In keeping with our advocacy of a relative standardization of Departmental statements, ***we recommend the mandatory inclusion of specific information concerning inter-Departmental relations between Barnard College and Columbia University in the dossier.***

In particular, ***each Departmental statement should contain an explicit account of the relationship between Barnard and Columbia Departments. Such a statement should include:***

- i.** a description of the curricular relation, including the relative contributions of Barnard and Columbia faculty to undergraduate teaching and the involvement of Barnard faculty in graduate advising within each Department;
- ii.** a description of the administrative structure obtaining at and between the Departments, referring to whether or not members of the Barnard and Columbia Departments are on each other's executive and/or personnel committees, and stating whether such persons are entitled to vote on personnel or other matters; and
- iii.** a description of the procedures by which the vote was produced in both the Columbia and the Barnard Departments.

A full accounting of Departmental relations and of pedagogical as well as scholarly activities, as envisioned above, would permit *Ad Hoc* committee members to judge the nature and weight of letters coming from either Department, and would provide a better context in which to assess any possible differences in the evaluation of candidates. We believe that the more explicit content about Departmental relations will mitigate the effect of ongoing historical disputes between Barnard and Columbia Departments, helping to ensure that individual candidates are not made to suffer the consequences of institutional problems to which they are not party and for which they are not responsible. The Departmental statement describing such a relationship would, of course, be subject to question by members of the *Ad Hoc*.

9.d. Letters from Cognate Departments

Part of the review process by which both Barnard and Columbia faculty are nominated for tenure entails a vote of approval and/or support from the cognate Department at the other institution. Columbia Departments vote on Barnard candidates and vice versa, although the Columbia vote on Barnard candidates often occurs at a relatively early stage of the review process. In either case, however, ***it is important that cognate Departments which are asked to vote on their counterpart Departments' nominations for tenure (whether as part of an internal promotion or an external recruitment) be provided with the same materials as the nominating Department used in its own assessment. This means that such materials, including CVs, letters from referees,***

and publications (if these are not already available), must be distributed well in advance of the deadline for letters. The provision of such letters to cognate Departments at Barnard and/or Columbia should also be done in a timely manner.

The present tendency for last-minute submissions of materials by nominating Columbia Departments can and often does generate a sentiment among Barnard faculty that they are not being treated with adequate respect. The Barnard Department needs time to respond to the content of letters emanating from Columbia University Departments. To ensure that no case is disadvantaged by virtue of tardy letters, ***we recommend that letters from cognate Departments expressing the vote of Columbia University faculty on a Barnard candidate's case must be received by the Barnard Department at least 15 days prior to the convening of the ATP on this case.*** This should allow the Barnard Departmental chair to formally respond to any issues raised in letters emanating from Columbia.

9.e. Equity Issues

9.e.i. Ad Hoc Success Rates - Gender

The Tenure Review Process Committee and the Barnard/Columbia subcommittee undertook a statistical analysis of *Ad Hoc* success rates, and pre-*Ad Hoc* attrition rates based on data provided in the Barnard report, "The State of the Tenure Process at Barnard" and by the Office of the Provost at Columbia University. Data was analyzed to determine if the *Ad Hoc* success rates differed between the Arts and Sciences at Columbia and Barnard College at several levels: in aggregate, at divisional level, and on gender and minority status bases.

Some discrepancy appears between the statistics reported in the "The State of the Tenure Process at Barnard College" and those summarized herein. This is largely the result of the different time periods covered. The Barnard "pipeline data" reported in "Pipeline data for Junior Faculty" covers the period July 1, 1989- July 1, 2003 as opposed to the Columbia data contained in "Ad Hoc Tenure Review Success Rates," which covers the ten-year period between July 1, 1994 and July 1, 2004. Moreover, the Barnard data distinguishes between individuals on the basis of their status when hired (differentiating between those hired "at or near tenure" and those who were hired at the level of "beginning assistant professor"). Columbia University does not maintain data using these categories, but distinguishes between those who have come to the *Ad Hoc* via internal promotional processes, and those who have been brought to the *Ad Hoc* as a result of external recruitment. While these categories bear a strong affinity for those at Barnard, they are not identical.

Unlike at Columbia University, there is much greater parity in the numbers of male and female faculty members hired at Barnard College, but there are nonetheless some differences in the overall success rates of men and women at Barnard College, depending on whether they were internally promoted or externally recruited.

Ad Hoc success rates for internally promoted candidates at the aggregate level were marginally higher for Barnard faculty (87%) than for Columbia Arts and Sciences faculty (83%) (See Table 2, for aggregate figures), during the period 1994-95 to 2003-04.

Extreme caution must be used in analyzing these numbers, however. It is difficult to estimate the statistical significance of differential *Ad Hoc* success rates on gender or minority bases in particular divisions because of the very small numbers of cases. Moreover, percentages derived for either institution are based on different sample sizes. ***Within these limitations, however, we can conclude that Ad Hoc success rates are lower for internally recruited women at both institutions. The differential between success***

rates for women and men is, however, larger at Barnard (95% for men compared to 79% for women) than at Columbia (84% for men compared with 79% for women), as can be seen in Table 10.

On the basis of the data contained in Table 10, it would appear that, at both Barnard and Columbia University Arts and Sciences, the differential between success rates for internally promoted men and women were highest in the Humanities and the Natural Sciences, with men enjoying higher success rates in both cases. But insofar as these calculations apply to very small numbers, and insofar as the differential of several percentage points is really the representation of a single case, we need to be cautious about interpreting the apparent differences.

Table 10
Comparative *Ad Hoc* Review Success Rates
By Internal/External Candidacy and Gender
1994-95 to 2003-04

	Internal								
	Female			Male			Total		
	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed
Arts & Sciences									
Humanities	13	10	77%	21	15	71%	34	25	74%
Social Sciences	10	8	80%	22	18	82%	32	26	81%
Natural Sciences	8	6	75%	28	27	96%	36	33	92%
Arts	2	2	100%	6	5	83%	8	7	88%
Arts & Sciences Total	33	26	79%	77	65	84%	110	91	83%
Barnard College									
Humanities	7	5	71%	7	6	86%	14	11	79%
Social Sciences	5	5	100%	7	7	100%	12	12	100%
Natural Sciences	7	5	71%	5	5	100%	12	10	83%
Barnard College Total	19	15	79%	19	18	95%	38	33	87%
Hum + SS + Barnard	42	33	79%	62	51	82%	104	84	81%
	External								
	Female			Male			Total		
	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed	Reviewed	Passed	% Passed
Arts & Sciences									
Humanities	15	14	93%	16	13	81%	31	27	87%
Social Sciences	9	9	100%	30	29	97%	39	38	97%
Natural Sciences	3	3	100%	26	25	96%	29	28	97%
Arts	1	0	0%	0	0	0%	1	0	0%
Arts & Sciences Total	27	26	96%	72	67	93%	99	93	94%
Barnard College									
Humanities	4	3	75%	4	3	75%	8	6	75%
Social Sciences	3	3	100%	1	1	100%	4	4	100%
Natural Sciences	0	0	0%	1	1	100%	1	1	100%
Barnard College Total	7	6	86%	6	5	83%	13	11	85%
Hum + SS + Barnard	31	29	94%	52	47	90%	83	76	92%

Note: We used Fisher's exact test of the null that female and male pass rates are equal, vs. the alternative that female pass rates are lower, and did not find any statistical evidence that the rates differ.

Source: Office of Vice Provost for Academic Administration

The need for caution is even greater when considering the review of externally recruited faculty, given that, at Barnard College, only 7 women and 6 men were reviewed at this level in the ten year period under consideration. What appear, at first glance, to be substantial differences in overall success rates for externally recruited candidates (which, at Barnard, were 86% for women and 83% for men, while at Columbia they were 96% for women and 93% for men during this period) is, at least partly a function of the different pools within which that case occurs. It is possible that these rates would apply to larger samples, and longer-term tracking may reveal this fact. We cannot presume that this will or will not be the case based on the evidence available to us.

In the end, we are left with an ambiguous picture. At both institutions, both women and men were more likely to receive tenure if externally recruited and internally promoted Barnard men fare better than both Columbia and Barnard women in this category, having about the same likelihood of success at the *Ad Hoc* as externally recruited faculty in the Arts and Sciences at Columbia. Clearly, there is no single variable to explain these various patterns, and if gender is undoubtedly a factor in tenure as in all other parts of academic life, it does not appear to determine the likelihood of *Ad Hoc* success, nor does it appear to explain the differences (such as they exist) between Barnard and Columbia Arts and Sciences. Longer-term tracking and analysis might reveal other dimensions of these issues, confirming, disproving or simply changing the profile that has emerged in the most recent decade, and we encourage Barnard and Columbia Arts and Sciences to undertake joint monitoring of the *Ad Hoc* success rates on all levels.

9.e.ii. *Ad Hoc* Success Rates – Minority Status

The difficulty of generating statistically significant conclusions about the relative status of faculty at Barnard and Columbia in relation to the tenure process is even more acute when considering minority faculty. As stated above, neither Barnard nor Columbia University has hired enough minority faculty to permit generalizing analysis, and the extremely low rates of hiring are compounded by even lower rates of retention (See also ‘Section 7.b.’ above). *Ad Hoc* success rates are simply impossible to generalize, given the small numbers.

Compared with Columbia University, however, Barnard’s record shows a relatively high rate of recruitment of minority faculty at a senior level. This conclusion must be tempered by the realization that, as discussed above, the category of “minority faculty” encompasses two sets of distinctions which should perhaps be kept separate, namely racial category and membership in a historically underrepresented group within the United States. ***We encourage Barnard College to join Columbia University in seeking and maintaining more accurate data bases to permit the development of policies that will promote the hiring and tenuring of excellent minority faculty.***

9.f. Interdisciplinarity

At both Barnard and Columbia, overall tenure success rates are lowest for those in the Humanities. This may (though does not necessarily) reflect the perception documented in the Barnard report that there exists a “bias against interdisciplinary research,” which is most commonly carried out within the Humanities. The possible existence of such bias is difficult to assess, especially because Barnard and Columbia differ with regard to the possibility of cross-appointments, and hence, the status of recognition accorded to interdisciplinarity. At Columbia University, such cross-appointments are increasingly common, whereas at Barnard they are extremely rare. The Committee recognizes that

interdisciplinarity constitutes one of the most important trends in contemporary scholarship, that it is becoming more common, and that it is practiced best and most frequently by young scholars. Accordingly, it is important to address even the possibility that interdisciplinary scholars are being treated unfairly. In order to remain at the forefront of new knowledge production, we believe Columbia University must provide the best possible mechanisms with which to permit the fair assessment of interdisciplinary scholarship. To this end we have recommended particular changes to the dossier, letters and the constitution of the *Ad Hoc* committee, as discussed elsewhere in this report. For its part, Barnard College may wish to consider the degree to which cross-appointments may facilitate the interdisciplinary research so widely pursued by its faculty.

9.g. Pre-*Ad Hoc* Processes: Reviews and the ATP

Like all Schools whose members are eligible for tenure at Columbia University, Barnard College has an autonomous system of review, which is subject to rules, regulations and procedures that have been generated over time from within its institutional culture. Unlike the Columbia Arts and Sciences, Barnard has a standing committee, the ATP, which reviews cases and nominates them for consideration by Columbia University. It appears to be the sentiment at Barnard College that the ATP is unduly influenced by Columbia University votes and by the anticipation of a negative determination by the *Ad Hoc* committee. As a result, the apparently high rates of turn-downs at or immediately before the ATP are felt to be the result of an intrusion into the autonomous affairs of Barnard College, and the scene of a disproportionately negative experience for Barnard junior faculty. These perceptions make review by the ATP a source of anxiety and stress, and make the ATP itself appear to be the instrument by which Columbia effects its judgment without having to go to the *Ad Hoc* stage.

To better understand how Columbia University faculty's judgment affects the tenuring of Barnard College faculty members, it is also important to understand the differences between the pre-*Ad Hoc* review processes. At Barnard College, the ATP is the focal point for a review process that is spread over a much longer period and several discrete stages at Columbia. Junior faculty in the Arts and Sciences are reviewed after the 1st, 3rd and 5th years. In the 5th year review, they are either promoted to Associate Professor without tenure, or they are informed that they have not made sufficient progress to merit the continuation of their appointments. The Departmental review at the 5th year is followed by another review conducted by the Faculty Development Committee, a standing committee which examines dossiers to determine if Departmental assessments are congruent with university standards. The FDC also provides professional developmental advice to young faculty prior to their being considered for tenure. In cases where candidates are clearly not achieving in a manner that will enable them to obtain tenure at Columbia, the Faculty Development Committee can provide advance warning and hence an opportunity for individuals to pursue alternative career paths, or, in some instances, to work with extra vigilance in the pursuit of improved standing and possible tenure. As part of the 7th year review, which anticipates the *Ad Hoc*, Departmental votes on candidates are conveyed to the Vice President of Arts and Sciences, who then receives and reviews candidates' files to determine their final eligibility for the *Ad Hoc* process. The Vice Presidential review at Columbia thus functions like the ATP review at Barnard, but it follows upon a previous review at a later stage of career development than does the Barnard ATP assessment.

In their report on the "State of the Tenure Process at Barnard," the authors conclude that additional reviews of Barnard faculty would constitute an additional source of

surveillance and an undesired and burdensome set of pressures, extended throughout the entire life of junior faculty. They advocated against changing the structure and timing of reviews at Barnard. We respect that decision. However, we note that the appearance of the ATP's relative severity and its feared role as a winnowing point in the pipeline would be mitigated if it did not perform all the functions separated out at Columbia. We also feel that a more comparable review structure at Barnard as exists at Columbia might permit more comparable career advising and professional development. While recognizing that any review will take place at least one semester earlier at Barnard than at Columbia, we believe that such a structure might increase the likelihood that candidates whose cases appear before the *Ad Hoc* would have been prepared in like manner and hence that equity between Columbia and Barnard could also be enhanced. We do not presume to recommend major structural changes for Barnard faculty, but rather to suggest some possible consequences of a more analogous review process for junior faculty.

10. SPECIAL ISSUES: Joint Appointments

Joint appointments at Columbia are the expression of emergent forms of scholarship and the growth of interdisciplinarity in an institution that is still shaped by disciplinary and Departmental structures. In the past decade, such appointments have become increasingly common, at both senior and junior levels.

In the Arts and Sciences, they have increasingly been made between disciplinary Departments and non-Departmental entities, such as Centers and Institutes. Because University statutes permit tenure to be granted only to individuals appointed in Departments, appointments in Centers or Institutes must be made conjointly with Departments, which function as the tenure home of an individual. However, dual or joint appointments may also be made between tenure-granting disciplinary Departments, and between the Professional Schools. In the former case, faculty members jointly appointed between such entities have been considered to have their tenure home in a primary disciplinary Department, even when the budgetary allocations that fund these appointments are equally shared. In the latter cases, both entities are required to approve an individual's nomination for tenure using the mechanisms that operate within each unit, and through improvised collaborations, even when the budgetary allocations are unequally shared.

In all cases, reviews, up to and including the preparation of a case for review by an *Ad Hoc* committee, should entail participation by both entities. Typically, this means that both entities contribute to the candidate statement, provide lists of potential letter writers, read and assess the candidate's scholarship, and so forth. However, the degree of collaboration on such appointments and reviews has varied widely on a case by case basis. There is anecdotal evidence to suggest that reviews for internal promotion of faculty members who are jointly appointed in 2 or more units have led to lower success rates, particularly in the Humanities—though this has yet to be confirmed statistically. At the same time, it appears that the recognition and formalization of interdisciplinarity through cross-appointments has been associated with higher tenure success rates for those who practice interdisciplinary scholarship than has been the case for those whose interdisciplinary work has been undertaken within a single Department.

It is widely recognized at Columbia, and elsewhere, that interdisciplinary scholarship is increasingly significant in all fields of intellectual life. We can expect such appointments to become more rather than less frequent. It is therefore imperative that the tenure process be

able to accommodate such cases, and that this very important form of scholarship be made subject to a kind of judgment that cultivates the best work and knowingly distinguishes it.

To this end, ***we recommend the establishment of specific guidelines and procedures for the preparation of cases for jointly appointed faculty.*** Such guidelines should clarify the forms of possible appointments, the nature and degree of involvement of the nominating entities, the roles of the respective Departments in nominating letter writers, the weight of their respective votes, and the timing of each step in the review process. ***We also advise the constitution of joint nomination committees in such cases,*** with membership being proportionate to the nominated faculty member's labor in each Department. For those cases in which a faculty person is mainly appointed in one Department, but has a small budgetarily recognized appointment in another, we recommend that the primary Department Chair initiate communication with the secondary Department Chair as early as possible. Under no circumstances must this role fall to the nominated faculty person him or herself.

11. GRIEVANCE PROCEDURES

Once accepted by the President and the Board of Trustees, the Provost's decision based on *Ad Hoc* deliberations is considered final and binding on all parties. There is, however, a mechanism to appeal against the legitimacy of the *Ad Hoc* decision if there is evidence of discrimination or procedural irregularity in the case. This is different from the provision that permits a case to be reconsidered by the same *Ad Hoc* committee if there is evidence of substantial new scholarship undertaken within the time allotted under the tenure clock, and after the dossier was assembled for the *Ad Hoc*. In this latter case, a Department must petition for a second hearing, which will be granted only in truly exceptional circumstances.

With regard to the first instance, the *Faculty Handbook* refers to Section 73 of the University Statues, and provides for the University Senate's Faculty Affairs Committee to investigate grievances from faculty "who have been denied tenure or are not being reappointed in a nontenured rank when they allege that discrimination or violation of academic freedom significantly contributed to the decision....In addition, the Committee will investigate allegations that the procedures followed in reaching a decision not to reappoint in a nontenured rank or to deny tenure were defective or did not take into account student opinion of the faculty member's teaching abilities."

Faculty members are given 90 working days to submit their allegations to the Faculty Affairs Committee, which then investigates the case under procedures that are outlined in the *Handbook*. In order for complaints about procedural irregularity to be made, however, knowledge of the irregularity must be available to the faculty member. There is some question, in our mind, about how such knowledge should be, or indeed could be generated, given confidentiality requirements binding *Ad Hoc* participants. We believe a mechanism should be established that would permit members of an *Ad Hoc* committee and Departmental Chairs to register concern about procedural irregularity while protecting them from charges of breach of confidence and, at the same time, ensuring that such concerns are investigated.

In truth, such cases are extremely rare at Columbia, and we do not therefore advise the establishment of a Standing Committee. However, we do believe that lack of adequate and clearly described opportunities for faculty members, but especially *Ad Hoc* members and

Departmental chairs, to register concern about procedural impropriety may lead to more frequent breaches of confidentiality, and that these breaches coupled with a general lack of confidence in grievance procedures has a negative effect on the legitimacy of the system in the perception of the faculty. ***For this reason, and in order to ensure a back-up mechanism which secures the Ad Hoc process against abuse, we advise the reconsideration of Grievance and Appeals procedures.*** We also advise that mechanisms in place (and those to be developed) to facilitate the fair and full airing of complaints about negative tenure decisions be more effectively communicated to all faculty members, and that they be included among the other informational resources to be kept on the central informational website maintained by the Office of the Vice Provost for Academic Administration.

12. COMMUNICATION AND INFORMATION DISSEMINATION

In the course of its deliberations, and in reviewing letters and survey results, the Committee was repeatedly struck by the lack of uniform understanding about the procedures, processes and purposes of the tenure system at Columbia University. Such a lack of understanding is perhaps to be expected among junior faculty members who have not been subject to the tenure review process. However, it is both surprising and worrisome to find it so prevalent among members of the tenured community. Confusion about where to locate materials explaining procedures, time-tables, and Departmental protocols was common. In our review we found that there was also considerable misunderstanding about the mechanisms for deciding on *Ad Hoc* committee members, about the nature of deliberations in Departments, and about the responsibilities of Chairs and witnesses in *Ad Hoc* deliberations. Finally, there was evidence of widespread ignorance about the grounds and mechanisms for appeal.

Bearing in mind the importance of confidentiality in all proceedings surrounding the nomination and consideration of candidature, the Committee nonetheless feels that the ***tenure process depends on the effective communication of information about its policies and procedures, and on the uniform dissemination of information to all parties concerned.*** The fairness of the process is entirely dependent on all parties being equally informed. Moreover, candidates can only make the best case for themselves if they understand what is expected of them, and if they are able to discern what they can and should communicate about their own performance as scholars and educators.

Many, perhaps most of the policies and procedures concerning tenure at Columbia University are available in various handbooks and administrative websites. The most capacious set of documents is to be found on the website of the Vice Provost for Academic Administration, which can be accessed through the main page of the Office of the Provost on Columbia University's website. The address of that site is: <http://www.columbia.edu/cu/vpaa/>. While Departmental Administrators regularly consult this page, not all faculty are aware of it, and policy statements can be difficult to locate if one lacks the precise titles of the documents in which they are to be found, or is unaware of which office maintains which set of records. Moreover, School-specific procedures pertaining to the pre-*Ad Hoc* process take various forms and are differently disseminated, and managed by different offices.

To remedy the problems caused by this dispersal of information, and to enhance both the appearance and the actuality of transparency on matters related to

the tenure process, we recommend the enhancement of the information management function and the website maintained by the Office of the Vice Provost for Academic Administration. This site should have available, as it currently does:

- i. full details of the policies and procedures governing tenure, including the requirement of confidentiality and sanctions for its violation;
- ii. School-specific information on pre *Ad Hoc* processes (these should be significantly enhanced by virtue of the proposal to require Departments and Schools to formalize their internal procedures);
- iii. an explicit accounting of eligibility criteria for tenure in all locations of the University, one that makes clear and underlines the centrality of scholarship and the relative significance of quality, rather than quantity of scholarly production;
- iv. time-lines for pre-*Ad Hoc* processes;
- v. guidelines for Departmental Chairs, including templates for letters and Departmental statements;
- vi. information about the tenure clock, and about regulations covering the grounds for stoppage.

In addition, we recommend that it be augmented to include:

- vii. guidelines for witnesses, including information about what kinds of questions may be asked of them, what materials they are expected to demonstrate familiarity with, and what they can expect in the *Ad Hoc* meeting itself;
- viii. advice to candidates on how to prepare materials for their own cases;
- ix. information about forms of grievance, and the procedures pertaining to such appeal (see also above, Section 10);
- x. statistical information on tenure at Columbia, including relevant studies on success rates within divisions, Schools, and on the basis of race and gender, internal and external recruitment.

There are four distinct constituencies for this information, and the site could be organized to reflect that fact. These constituencies include:

- Departmental Chairs, Professional School Deans and others who are charged with the responsibility of making cases for individuals, and of chaperoning the processes of review and nomination within each Department or School;
- candidates for tenure, including both those without tenure who are already employed by Columbia and those who are tenured elsewhere and are being recruited to Columbia;
- tenured faculty members who may be asked to serve as members of *Ad Hoc* committees;
- tenured faculty members who may be asked to serve as witnesses for a case.

The roles played by members of each of these groups are vital for the success of Columbia University's tenure system. Individuals must therefore be informed of what is

expected of them, and be made cognizant of the roles that others may play in the process. No candidate should suffer adverse consequences because a case has been poorly made, a witness is poorly prepared, or *Ad Hoc* members are uncertain of their responsibility. Nor should Columbia University lose the services of a fine scholar for these reasons. Hence, it is imperative that all parties be aware of the internal operations of the tenure system, and that they be held accountable to high standards of performance in these terms.

Briefings at University-wide committee meetings, such as the training sessions for Arts and Sciences Chairs, already help to inform some Chairs about their responsibilities and obligations, but many people in the process who play vital roles are not so informed, and are dependent on the information transmitted to them by third parties, including Chairs—who differ in their capacities in this regard. Chairs in Departments outside of the Arts and Sciences should be included in discussions on tenure, to ensure uniformity of policy and practice. However, while personal briefings permit immediate response to questions, they rely too heavily on individual memory, and do not have sufficient redundancy to ensure the even and successful transmission of information. Many questions do not arise until a particular case generates specific needs, and could be more expeditiously resolved if a good and easily navigable information site was maintained.

Information kept at a central virtual site should be updated annually, and all faculty members should be regularly informed of the site's existence and of any changes in content there. Periodic announcements about the existence of such information would ensure that new faculty are made aware of it, and would give all faculty members an opportunity to refresh themselves on policy and procedure.

13. INSTITUTIONAL ISSUES AND ONGOING REVIEW

In considering the efficiency and effectiveness of the tenure system at Columbia University, and in recommending changes to administrative procedure as well as enhanced data maintenance and information dissemination, we are mindful that a considerable burden of labor will fall on the Office of the Vice Provost for Academic Administration. Some of this labor will be of a transitional sort, but other changes recommended here will require the enhancement of that office and the development of other capacities. ***We strongly encourage the University to provide the necessary additional human and material resources to facilitate the expedited review processes proposed here, including the development of faculty data bases and the information systems necessary to achieve this end.*** At all stages, from the constitution of *Ad Hoc*s, to the scheduling of meetings, to the timely transmission of information about the process to concerned parties, success depends on the availability of human and other resources.

Perhaps most importantly, the effective maintenance and continued improvement of *Ad Hoc* and related review systems requires that ongoing self-analysis be institutionalized, and that regular reviews of data on tenure at Columbia be conducted. ***We recommend that the Office of the Provost generate an annual report on the State of Tenure at Columbia University. The primary purpose of this report will be to enable the Provost to keep track of developments in total caseload, success rates, time taken by the process at all levels, equity issues, and differential Ad Hoc success rates between internal and external candidates.*** Additionally, it should provide the faculty with insight into the current state of the tenure system.

Questions raised by our own report, which were unanswerable because of inadequate data or overly small sample sizes, should be pursued over the long-run, and we especially advocate the ongoing review of differential *Ad Hoc* success rates by minority status and gender. Such data should permit not only an accurate assessment of the nature of the tenured faculty and the institution of tenure at Columbia University, it should also permit remedial intervention where this appears necessary.

Ultimately, self-review should be guided by the principle of transparency and by the objective of enhancing both the efficacy and the legitimacy of the tenure system in the eyes of the Columbia University faculty.

APPENDIX 1

Columbia University Tenure Process Survey Initial Analysis

Lucy Drotning, Office of Planning and Institutional Research

About the Survey

The Tenure Process Survey was emailed to all full-time tenured and non-tenured Columbia faculty in December 2003. A letter from Provost Alan Brinkley accompanied the survey. A follow-up email was sent in early January to those who had not completed the survey encouraging them to please consider doing so. The last day to fill out the survey was January 26, 2004.

The survey and correspondence are attached as Appendix A. In addition to a respondent's survey responses, data available for analysis include department, school, title, tenure status, ethnicity, gender, age, and length of time at Columbia.

Response Rate

- As shown in Table I, the overall response rate for the survey is 60%. Of the 1,491 instructional faculty who received the Tenure Process Survey, 906 completed it.
- The number of respondents as a percentage of the number of faculty who were sent surveys in each school is consistently close to 50% or above. The exception is Journalism where 8 of 18 faculty responded (44%).
- The number of surveys completed as a percentage of surveys sent out by faculty tenure status is also consistently close to 50% or above. The exceptions are Tenured faculty in Architecture (4 of 11 responded – 36%) and tenure-eligible faculty in Journalism (2 of 6 respondents – 33%).

Characteristics of Respondents compared to Recipient Population

- Table II shows that the characteristics of survey respondents are comparable to those of the faculty who were sent surveys. Of the 906 faculty who completed the survey, 17% are minority and 83% are non-minority; of the 1,491 faculty who were sent the survey, 19% are minority and 81% are non-minority.
 - The characteristics of the respondents to the survey mirror the gender and ethnic composition of the faculty population who received the survey. For example, 23% of the Tenured respondents are women, and women comprise 20% of the Tenured faculty population who received the survey.
 - The respondents are also distributed across the Arts & Sciences, Morningside Professional, and Health Sciences in proportions comparable to the faculty who

were sent the survey. The Health Sciences faculty comprise 44% of the tenure-eligible respondents and 48% of the tenure-eligible faculty.

Survey Findings

Part I

Part I asks the respondents questions related to their exposure to the *ad hoc* tenure committee process.

- 35% of tenured faculty reported serving as department chair or dean
- 64% of tenured faculty reported that they were promoted internally
- 78% of tenured faculty reported serving on an ad hoc committee
 - Of these, two-thirds have served on 5 or fewer committees.
 - Two-thirds have served since 2001. Ninety percent have served since 1995.
 - One-third have chaired an hoc committee.
- Half of the tenured faculty reported testifying before an ad hoc committee.

Part II

Tables III and IV provide the mean or average level of agreement with the twelve statements in Part II of the Tenure Process Survey. For each, the table also provides the standard deviation (a measure of the degree to which there is variation in the responses) and the number of faculty who responded to the particular question.

At this point, the findings focus on differences and similarities by school “group” - A&S, Morningside Professional, Health Sciences – and tenure status, tenured or “tenure-eligible,” as well as by tenure status and gender.

The scale is 4=Strongly Agree, 3=Agree, 2=Disagree, and 1=Strongly Disagree.

- According to the results of the survey, Columbia faculty agree across-the-board that:
 - evaluation by peers is crucial (overall mean is 3.6);
 - that it is important for any tenure committee at Columbia to include an outside scholar (an average of 3.2).
 - the ad hoc process should be the same for internal and external candidates for tenure (the mean is 3.2).
- Faculty disagreed with the statement that senior faculty being recruited from outside should have to accept Columbia’s offer prior to being granted tenure (mean equals 1.9).
- In addition, the faculty generally agree that the ad hoc process:
 - is rigorous, though tenured faculty were more inclined to agree with this statement than tenure-eligible faculty (a mean of 3.3 compared to 2.8);
 - takes too long, though the average level of agreement by the A&S faculty with this statement was higher than by faculty in the other schools (3.3 compared to 2.9 for both Morningside Professional & Health Sciences).
- Tenured faculty

- are more likely than tenure-eligible faculty to think that the process is fair (3.1 compared to 2.5);
 - agree with the statement that the criteria are clearly defined (2.8 versus 1.9 for tenure-eligible faculty);
 - feel less strongly than tenure-eligible faculty that the process impedes hiring and recruitment of assistant professors (2.3 compared to 3.0); and
 - tend to disagree that the system needs substantial reform compared to the sentiments of tenure-eligible faculty (2.4 versus 2.8);
- In the Health Sciences, faculty do not agree with the idea that all schools should adhere to the same schedule for tenure while faculty on the Morningside campus do tend to agree with this statement (2.3 for HS faculty compared to 2.8 and 2.9 for A&S and MS Prof, respectively).
 - Though the general sentiments expressed are similar, Table IV provides some initial evidence that women faculty do not agree as strongly as men faculty that Columbia's *ad hoc* system is fair (2.7 vs. 3.1) or rigorous (2.9 vs. 3.2), or that the criteria are clearly defined (2.2 vs. 2.6).
 - More specifically, the table illustrates that tenured women agree more than tenured men that the process impedes the recruitment and retention of assistant professors (2.8 compared to 2.4) and that the problems with the system justify reform (2.8 for tenured women and 2.4 for tenured men).

Part III

Part III of the survey provides respondents with an opportunity to share any further thoughts on the tenure process. These open-ended comments provide additional background and may even be considered a proxy for how intensely faculty feel about particular parts of the tenure process. The results of the systematic content analysis of these comments are incorporated into the text of the Final Tenure Review Report, dated April 2005.

Table I. Response Rates by School and Tenure Status

The number of surveys completed in a subgroup as a percentage of the total number of surveys sent to that subgroup.

School	Response Rates			Tenured Faculty		TE Faculty		Total	
	Tenured Faculty	TE Faculty	Total	Surveys Completed	Surveys Sent	Surveys Completed	Surveys Sent	Surveys Completed	Surveys Sent
Arts & Sciences									
Humanities	57%	62%	59%	68	119	41	66	109	185
Social Sciences	65%	68%	66%	67	103	46	68	113	171
Natural Sciences	61%	45%	56%	75	123	28	62	103	185
Total	61%	59%	60%	210	345	115	196	325	541
Morningside Professional									
Arts	75%	57%	67%	6	8	4	7	10	15
Architecture	36%	71%	50%	4	11	5	7	9	18
Business	65%	64%	65%	36	55	37	58	73	113
Engineering	61%	69%	64%	49	80	38	55	87	135
Journalism	50%	33%	44%	6	12	2	6	8	18
Law	47%	63%	49%	26	55	5	8	31	63
Social Work	65%	86%	76%	11	17	18	21	29	38
Total	58%	67%	62%	138	238	109	162	247	400
Health Sciences									
Basic Health Sciences	65%	45%	59%	50	77	14	31	64	108
Clinical Health Sciences	71%	53%	59%	79	111	131	246	210	357
Nursing	100%	100%	100%	4	4	2	2	6	6
Public Health	79%	60%	68%	22	28	26	43	48	71
Dentistry	100%	50%	75%	4	4	2	4	6	8
Total	71%	54%	61%	159	224	175	326	334	550
Grand Total	63%	58%	61%	507	807	399	684	906	1,491

Columbia University
Tenure Process Survey

Table II. Distribution of Surveys Completed compared to Distribution of Surveys Sent by Respondent Characteristics

	Tenured Faculty		TE Faculty		Total	
	Surveys Completed	Surveys Sent	Surveys Completed	Surveys Sent	Surveys Completed	Surveys Sent
Arts & Sciences	41%	44%	29%	30%	36%	37%
Morningside Professional	27%	29%	27%	23%	27%	26%
Health Sciences	31%	28%	44%	48%	37%	37%
Total	100%	100%	100%	100%	100%	100%
Women	23%	20%	35%	34%	28%	27%
Men	77%	80%	65%	66%	72%	73%
Total	100%	100%	100%	100%	100%	100%
Minority	10%	12%	26%	27%	17%	19%
Non-Minority	90%	88%	74%	73%	83%	81%
Total	100%	100%	100%	100%	100%	100%
Number	507	807	399	684	906	1,491

Columbia University
Tenure Process Survey

Table III. Results for Part II: School and Tenure Status

		<u>Overall</u>		
On a scale of 1-4, do you agree with the following:		OVERALL	Tenured	TE
1. Columbia's <i>ad hoc</i> system is basically fair.	Mean	3.0	3.1	2.5
	Std Dev	0.8	0.8	0.8
	N	649	451	198
2. Columbia's <i>ad hoc</i> system is appropriately rigorous.	Mean	3.1	3.3	2.8
	Std Dev	0.75	0.70	0.76
	N	645	455	190
3. The criteria for awarding tenure at Columbia are clearly defined.	Mean	2.5	2.8	1.9
	Std Dev	1.0	0.9	0.8
	N	730	463	267
4. The <i>ad hoc</i> process at Columbia takes too long.	Mean	3.1	3.1	3.0
	Std Dev	0.9	0.9	0.9
	N	660	461	199
5. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of assistant professors .	Mean	2.5	2.3	3.0
	Std Dev	1.0	1.0	0.9
	N	655	438	217
6. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of senior faculty .	Mean	2.5	2.5	2.7
	Std Dev	1.0	1.0	0.9
	N	615	438	177
7. The problems with Columbia's <i>ad hoc</i> system are serious enough to justify substantial reform or replacement.	Mean	2.5	2.4	2.8
	Std Dev	1.0	1.0	0.9
	N	648	445	203
8. It is important that candidates for tenure at Columbia be evaluated by committees of scholars in or close to their own fields.	Mean	3.6	3.5	3.7
	Std Dev	0.7	0.7	0.5
	N	764	471	293
9. It is important that any tenure review committee at Columbia include a scholar or scholars from outside the University.	Mean	3.1	3.1	3.2
	Std Dev	0.9	0.9	0.8
	N	751	474	277
10. It is reasonable to require faculty recruited from outside the University to accept Columbia's offer before the <i>ad hoc</i> process begins.	Mean	1.9	1.9	2.1
	Std Dev	0.9	0.9	1.0
	N	687	451	236
11. It is important that every school in Columbia University adhere to the same schedule for tenure, with a decision no later than the seventh counted year.	Mean	2.6	2.7	2.6
	Std Dev	1.1	1.1	1.0
	N	721	457	264
12. It is important that the same system at Columbia consider outside senior recruits and internal candidates for promotion.	Mean	3.2	3.2	3.1
	Std Dev	0.9	0.9	0.9
	N	716	464	252

Scale: 1=Strongly Disagree, 2=Disagree, 3=Agree, 4=Strongly Agree

Table III - page 2

Arts & Sciences

On a scale of 1-4, do you agree with the following:		OVERALL	Tenured	TE	Total
1. Columbia's <i>ad hoc</i> system is basically fair.	Mean	3.0	3.1	2.4	2.9
	Std Dev	0.8	0.8	0.7	0.8
	N	649	191	60	251
2. Columbia's <i>ad hoc</i> system is appropriately rigorous.	Mean	3.1	3.2	2.7	3.1
	Std Dev	0.7	0.7	0.7	0.7
	N	645	191	53	244
3. The criteria for awarding tenure at Columbia are clearly defined.	Mean	2.5	2.7	1.9	2.4
	Std Dev	1.0	0.9	0.9	0.9
	N	730	195	77	272
4. The <i>ad hoc</i> process at Columbia takes too long.	Mean	3.1	3.4	3.2	3.3
	Std Dev	0.9	0.8	0.9	0.8
	N	660	197	63	260
5. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of assistant professors .	Mean	2.5	2.3	3.2	2.5
	Std Dev	1.0	1.1	0.9	1.1
	N	655	186	65	251
6. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of senior faculty .	Mean	2.5	2.5	2.7	2.6
	Std Dev	1.0	1.0	0.9	1.0
	N	615	188	51	239
7. The problems with Columbia's <i>ad hoc</i> system are serious enough to justify substantial reform or replacement.	Mean	2.5	2.5	3.0	2.6
	Std Dev	1.0	1.1	0.9	1.0
	N	648	186	57	243
8. It is important that candidates for tenure at Columbia be evaluated by committees of scholars in or close to their own fields.	Mean	3.6	3.4	3.6	3.5
	Std Dev	0.7	0.8	0.6	0.7
	N	764	195	88	283
9. It is important that any tenure review committee at Columbia include a scholar or scholars from outside the University.	Mean	3.1	3.1	3.2	3.1
	Std Dev	0.9	0.9	0.8	0.9
	N	751	195	81	276
10. It is reasonable to require faculty recruited from outside the University to accept Columbia's offer before the <i>ad hoc</i> process begins.	Mean	1.9	1.9	2.0	1.9
	Std Dev	0.9	0.9	0.9	0.9
	N	687	190	71	261
11. It is important that every school in Columbia University adhere to the same schedule for tenure, with a decision no later than the seventh counted year.	Mean	2.6	2.8	2.8	2.8
	Std Dev	1.1	0.9	1.0	0.9
	N	721	186	74	260
12. It is important that the same system at Columbia consider outside senior recruits and internal candidates for promotion.	Mean	3.2	3.1	3.0	3.1
	Std Dev	0.9	0.9	0.9	0.9
	N	716	191	73	264

Scale: 1=Strongly Disagree, 2=Disagree, 3=Agree, 4=Strongly Agree

Columbia University
Tenure Process Survey

Table III - page 3

Morningside Professional Schools

On a scale of 1-4, do you agree with the following:		OVERALL	Tenured	TE	Total
1. Columbia's <i>ad hoc</i> system is basically fair.	Mean	3.0	3.2	2.5	3.0
	Std Dev	0.8	0.8	0.8	0.8
	N	649	117	53	170
2. Columbia's <i>ad hoc</i> system is appropriately rigorous.	Mean	3.1	3.2	2.8	3.1
	Std Dev	0.7	0.7	0.8	0.8
	N	645	117	55	172
3. The criteria for awarding tenure at Columbia are clearly defined.	Mean	2.5	2.8	2.1	2.5
	Std Dev	1.0	0.8	0.9	0.9
	N	730	118	78	196
4. The <i>ad hoc</i> process at Columbia takes too long.	Mean	3.1	3.0	2.7	2.9
	Std Dev	0.9	1.0	0.9	1.0
	N	660	117	55	172
5. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of assistant professors .	Mean	2.5	2.2	2.7	2.4
	Std Dev	1.0	1.0	1.0	1.0
	N	655	111	65	176
6. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of senior faculty .	Mean	2.5	2.5	2.5	2.5
	Std Dev	1.0	1.0	0.9	1.0
	N	615	110	50	160
7. The problems with Columbia's <i>ad hoc</i> system are serious enough to justify substantial reform or replacement.	Mean	2.5	2.3	2.7	2.4
	Std Dev	1.0	1.0	0.9	1.0
	N	648	116	61	177
8. It is important that candidates for tenure at Columbia be evaluated by committees of scholars in or close to their own fields.	Mean	3.6	3.4	3.8	3.6
	Std Dev	0.7	0.8	0.4	0.7
	N	764	128	85	213
9. It is important that any tenure review committee at Columbia include a scholar or scholars from outside the University.	Mean	3.1	3.0	3.0	3.0
	Std Dev	0.9	0.9	0.9	0.9
	N	751	129	84	213
10. It is reasonable to require faculty recruited from outside the University to accept Columbia's offer before the <i>ad hoc</i> process begins.	Mean	1.9	1.8	2.0	1.9
	Std Dev	0.9	0.9	1.0	1.0
	N	687	116	64	180
11. It is important that every school in Columbia University adhere to the same schedule for tenure, with a decision no later than the seventh counted year.	Mean	2.6	2.9	2.7	2.8
	Std Dev	1.1	1.1	1.0	1.0
	N	721	125	75	200
12. It is important that the same system at Columbia consider outside senior recruits and internal candidates for promotion.	Mean	3.2	3.2	3.1	3.1
	Std Dev	0.9	0.9	0.9	0.9
	N	716	124	67	191

Scale: 1=Strongly Disagree, 2=Disagree, 3=Agree, 4=Strongly Agree

Table III. - page 4

Health Sciences

On a scale of 1-4, do you agree with the following:		OVERALL	Tenured	TE	Total
1. Columbia's <i>ad hoc</i> system is basically fair.	Mean	3.0	3.3	2.6	3.0
	Std Dev	0.8	0.7	0.8	0.8
	N	649	143	85	228
2. Columbia's <i>ad hoc</i> system is appropriately rigorous.	Mean	3.1	3.4	2.8	3.2
	Std Dev	0.7	0.7	0.7	0.7
	N	645	147	82	229
3. The criteria for awarding tenure at Columbia are clearly defined.	Mean	2.5	2.9	1.9	2.5
	Std Dev	1.0	0.9	0.8	1.0
	N	730	150	112	262
4. The <i>ad hoc</i> process at Columbia takes too long.	Mean	3.1	2.9	3.0	2.9
	Std Dev	0.9	0.9	0.8	0.9
	N	660	147	81	228
5. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of assistant professors .	Mean	2.5	2.3	2.9	2.5
	Std Dev	1.0	1.0	0.8	1.0
	N	655	141	87	228
6. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of senior faculty .	Mean	2.5	2.5	2.7	2.6
	Std Dev	1.0	1.0	0.8	1.0
	N	615	140	76	216
7. The problems with Columbia's <i>ad hoc</i> system are serious enough to justify substantial reform or replacement.	Mean	2.5	2.3	2.8	2.5
	Std Dev	1.0	0.9	0.9	1.0
	N	648	143	85	228
8. It is important that candidates for tenure at Columbia be evaluated by committees of scholars in or close to their own fields.	Mean	3.6	3.6	3.6	3.6
	Std Dev	0.7	0.6	0.6	0.6
	N	764	148	120	268
9. It is important that any tenure review committee at Columbia include a scholar or scholars from outside the University.	Mean	3.1	3.3	3.3	3.3
	Std Dev	0.9	0.8	0.7	0.8
	N	751	150	112	262
10. It is reasonable to require faculty recruited from outside the University to accept Columbia's offer before the <i>ad hoc</i> process begins.	Mean	1.9	1.9	2.2	2.0
	Std Dev	0.9	0.9	0.9	0.9
	N	687	145	101	246
11. It is important that every school in Columbia University adhere to the same schedule for tenure, with a decision no later than the seventh counted year.	Mean	2.6	2.3	2.3	2.3
	Std Dev	1.05	1.13	1.06	1.10
	N	721	146	115	261
12. It is important that the same system at Columbia consider outside senior recruits and internal candidates for promotion.	Mean	3.2	3.3	3.2	3.3
	Std Dev	0.9	0.8	0.8	0.8
	N	716	149	112	261

Scale: 1=Strongly Disagree, 2=Disagree, 3=Agree, 4=Strongly Agree

Table IV. Results for Part II: Tenure Status and Gender

		<u>Overall</u>		
On a scale of 1-4, do you agree with the following:		OVERALL	Women	Men
1. Columbia's <i>ad hoc</i> system is basically fair.	Mean	3.0	2.7	3.1
	Std Dev	0.8	0.8	0.8
	N	649	171	478
2. Columbia's <i>ad hoc</i> system is appropriately rigorous.	Mean	3.1	2.9	3.2
	Std Dev	0.75	0.82	0.71
	N	645	159	486
3. The criteria for awarding tenure at Columbia are clearly defined.	Mean	2.5	2.2	2.6
	Std Dev	1.0	0.9	0.9
	N	730	195	535
4. The <i>ad hoc</i> process at Columbia takes too long.	Mean	3.1	3.3	3.0
	Std Dev	0.9	0.8	0.9
	N	660	171	489
5. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of assistant professors .	Mean	2.5	2.8	2.4
	Std Dev	1.0	1.0	1.1
	N	655	174	481
6. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of senior faculty .	Mean	2.5	2.8	2.5
	Std Dev	1.0	0.9	1.0
	N	615	156	459
7. The problems with Columbia's <i>ad hoc</i> system are serious enough to justify substantial reform or replacement.	Mean	2.5	2.8	2.4
	Std Dev	1.0	0.9	1.0
	N	648	170	478
8. It is important that candidates for tenure at Columbia be evaluated by committees of scholars in or close to their own fields.	Mean	3.6	3.7	3.5
	Std Dev	0.7	0.6	0.7
	N	764	212	552
9. It is important that any tenure review committee at Columbia include a scholar or scholars from outside the University.	Mean	3.1	3.2	3.1
	Std Dev	0.9	0.8	0.9
	N	751	203	548
10. It is reasonable to require faculty recruited from outside the University to accept Columbia's offer before the <i>ad hoc</i> process begins.	Mean	1.9	2.0	1.9
	Std Dev	0.9	0.9	1.0
	N	687	181	506
11. It is important that every school in Columbia University adhere to the same schedule for tenure, with a decision no later than the seventh counted year.	Mean	2.6	2.7	2.6
	Std Dev	1.1	1.0	1.1
	N	721	196	525
12. It is important that the same system at Columbia consider outside senior recruits and internal candidates for promotion.	Mean	3.2	3.2	3.2
	Std Dev	0.9	0.8	0.9
	N	716	197	519

Scale: 1=Strongly Disagree, 2=Disagree, 3=Agree, 4=Strongly Agree

Columbia University
Tenure Process Survey

Table IV - page 2

		<u>Tenured</u>			
On a scale of 1-4, do you agree with the following:		OVERALL	Women	Men	Total
1. Columbia's <i>ad hoc</i> system is basically fair.	Mean	3.0	2.9	3.2	3.1
	Std Dev	0.8	0.8	0.7	0.8
	N	649	101	350	451
2. Columbia's <i>ad hoc</i> system is appropriately rigorous.	Mean	3.1	3.1	3.3	3.3
	Std Dev	0.7	0.8	0.7	0.7
	N	645	99	356	455
3. The criteria for awarding tenure at Columbia are clearly defined.	Mean	2.5	2.6	2.8	2.8
	Std Dev	1.0	0.9	0.9	0.9
	N	730	100	363	463
4. The <i>ad hoc</i> process at Columbia takes too long.	Mean	3.1	3.4	3.0	3.1
	Std Dev	0.9	0.8	0.9	0.9
	N	660	103	358	461
5. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of assistant professors .	Mean	2.5	2.6	2.2	2.3
	Std Dev	1.0	1.0	1.0	1.0
	N	655	96	342	438
6. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of senior faculty .	Mean	2.5	2.8	2.4	2.5
	Std Dev	1.0	1.0	1.0	1.0
	N	615	95	343	438
7. The problems with Columbia's <i>ad hoc</i> system are serious enough to justify substantial reform or replacement.	Mean	2.5	2.8	2.3	2.4
	Std Dev	1.0	1.0	1.0	1.0
	N	648	98	347	445
8. It is important that candidates for tenure at Columbia be evaluated by committees of scholars in or close to their own fields.	Mean	3.6	3.6	3.4	3.5
	Std Dev	0.7	0.6	0.8	0.7
	N	764	110	361	471
9. It is important that any tenure review committee at Columbia include a scholar or scholars from outside the University.	Mean	3.1	3.1	3.1	3.1
	Std Dev	0.9	0.9	0.9	0.9
	N	751	108	366	474
10. It is reasonable to require faculty recruited from outside the University to accept Columbia's offer before the <i>ad hoc</i> process begins.	Mean	1.9	1.9	1.9	1.9
	Std Dev	0.9	0.9	0.9	0.9
	N	687	103	348	451
11. It is important that every school in Columbia University adhere to the same schedule for tenure, with a decision no later than the seventh counted year.	Mean	2.6	2.9	2.6	2.7
	Std Dev	1.1	1.0	1.1	1.1
	N	721	103	354	457
12. It is important that the same system at Columbia consider outside senior recruits and internal candidates for promotion.	Mean	3.2	3.2	3.2	3.2
	Std Dev	0.9	0.8	0.9	0.9
	N	716	105	359	464

Scale: 1=Strongly Disagree, 2=Disagree, 3=Agree, 4=Strongly Agree

Columbia University
Tenure Process Survey

Table IV - page 3

Tenure Eligible

On a scale of 1-4, do you agree with the following:		OVERALL	Women	Men	Total
1. Columbia's <i>ad hoc</i> system is basically fair.	Mean	3.0	2.4	2.6	2.5
	Std Dev	0.8	0.8	0.8	0.8
	N	649	70	128	198
2. Columbia's <i>ad hoc</i> system is appropriately rigorous.	Mean	3.1	2.6	2.9	2.8
	Std Dev	0.7	0.8	0.7	0.8
	N	645	60	130	190
3. The criteria for awarding tenure at Columbia are clearly defined.	Mean	2.5	1.8	2.0	1.9
	Std Dev	1.0	0.8	0.9	0.8
	N	730	95	172	267
4. The <i>ad hoc</i> process at Columbia takes too long.	Mean	3.1	3.2	2.9	3.0
	Std Dev	0.9	0.8	0.9	0.9
	N	660	68	131	199
5. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of assistant professors .	Mean	2.5	3.0	2.9	3.0
	Std Dev	1.0	0.8	1.0	0.9
	N	655	78	139	217
6. The <i>ad hoc</i> system at Columbia is sometimes an impediment to effective recruiting and retention of senior faculty .	Mean	2.5	2.8	2.6	2.7
	Std Dev	1.0	0.9	0.9	0.9
	N	615	61	116	177
7. The problems with Columbia's <i>ad hoc</i> system are serious enough to justify substantial reform or replacement.	Mean	2.5	2.9	2.8	2.8
	Std Dev	1.0	0.9	0.9	0.9
	N	648	72	131	203
8. It is important that candidates for tenure at Columbia be evaluated by committees of scholars in or close to their own fields.	Mean	3.6	3.7	3.7	3.7
	Std Dev	0.7	0.6	0.5	0.5
	N	764	102	191	293
9. It is important that any tenure review committee at Columbia include a scholar or scholars from outside the University.	Mean	3.1	3.3	3.1	3.2
	Std Dev	0.9	0.8	0.9	0.8
	N	751	95	182	277
10. It is reasonable to require faculty recruited from outside the University to accept Columbia's offer before the <i>ad hoc</i> process begins.	Mean	1.9	2.1	2.1	2.1
	Std Dev	0.9	0.9	1.0	1.0
	N	687	78	158	236
11. It is important that every school in Columbia University adhere to the same schedule for tenure, with a decision no later than the seventh counted year.	Mean	2.6	2.5	2.6	2.6
	Std Dev	1.1	1.0	1.0	1.0
	N	721	93	171	264
12. It is important that the same system at Columbia consider outside senior recruits and internal candidates for promotion.	Mean	3.2	3.2	3.1	3.1
	Std Dev	0.9	0.8	0.9	0.9
	N	716	92	160	252

Scale: 1=Strongly Disagree, 2=Disagree, 3=Agree, 4=Strongly Agree

Appendix A

Tenure Process Survey & Transmittal Email Letters

-----Original Message-----

From: Provost Alan Brinkley [mailto:ab65@columbia.edu]

Sent: Wednesday, December 03, 2003 4:19 PM

To:

Subject: Tenure Review Process

Dear Colleague,

For the last several decades, Columbia has made decisions on the tenuring of faculty in most parts of the University through a process that culminates in a review of each candidate by an ad hoc committee, which advises the Provost and the President. This system (unusual among universities although shared in most respects with Harvard) has served Columbia well as a generally reliable guarantor of academic quality in our senior appointments. We owe a tremendous debt of gratitude to the many people who have worked very hard over these years to sustain this system and to no people more than my predecessor, Jonathan Cole, and my colleague, Stephen Rittenberg.

As a newcomer to an office that has not changed hands in many years, it seems to me appropriate to look again at this system and ask whether any changes are necessary to serve our present and likely future needs.

I suspect that most members of the faculty have a reasonable level of confidence that the ad hoc system is mostly fair and appropriately rigorous. I suspect, too, that many members of the faculty who have had experience with the system are at least sometimes frustrated by its slowness and occasional cumbersomeness.

We should be willing to ask ourselves, therefore, whether the present system's many advantages outweigh its disadvantages; whether there are reforms of this system that would help it perform more simply and rapidly; and even whether another system entirely might serve us as well or better than the system we now know.

Early next year I will appoint a committee of faculty representing a range of departments and schools to help me consider this question. But first, I want to ask all members of the faculty to share their views with us on an issue that has important implications for the entire University. I welcome communications in any form, but it would

be particularly helpful if faculty members would take a moment to complete the brief questionnaire that follows this message, which we hope will give us a statistically reliable basis for measuring the sentiments of the community.

Let me emphasize that I have an entirely open mind on this question and am not in any way committed either to preserving or changing our present system. I do believe, however, that any important institution can benefit from periodic scrutiny and review and that the ad hoc process is no exception.

Yours truly,

Alan Brinkley
Provost

To enter the online survey, please visit

<https://websurvey.mit.edu/cgi-bin/col?uid=>

(This is a unique URL assigned directly to you; please do not share it with others or forward this email to others.)

APPENDIX 2
Columbia University
Ad Hoc Tenure Reviews
1971-2004

Academic Year	Reviewed	Passed	% Passed	Deferred	Not Nominated	Ad Hoc Activity
2003-04	54	52	96.3%	10	14	78
2002-03	61	55	90.2%	13	12	86
2001-02	36	31	86.1%	5	17	58
2000-01	53	48	90.6%	9	15	77
1999-00	51	42	82.4%	16	12	79
1998-99	37	34	91.9%	9	11	57
1997-98	57	52	91.2%	4	9	70
1996-97	39	32	82.1%	7		46
1995-96	50	44	88.0%	6		56
1994-95	42	34	81.0%	3		45
1993-94	33	30	90.9%	10		43
1992-93	43	38	88.4%	6		49
1991-92	38	33	86.8%	8		46
1990-91	46	41	89.1%	3		49
1989-90	42	37	88.1%	14		56
1988-89	35	32	91.4%	4		39
1987-88	50	45	90.0%	3		53
1986-87	38	36	94.7%	3		41
1985-86	46	41	89.1%	1		47
1984-85	39	37	94.9%	3		42
1983-84	35	30	85.7%	2		37
1982-83	32	23	71.9%			
1981-82	29	23	79.3%			
1980-81	42	33	78.6%			
1979-80	34	28	82.4%			
1978-79	26	23	88.5%			
1977-78	33	31	93.9%			
1976-77	33	29	87.9%			
1975-76	28	25	89.3%			
1974-75	41	32	78.0%			
1973-74	37	32	86.5%			
1972-73	35	34	97.1%			
1971-72	30	24	80.0%			
Total	1325	1161	87.6%			
<u>Averages</u>						
1994-95 to 2003-04	48.0	42.4	88.3%			
1984-85 to 1993-94	41.0	37.0	90.2%			
1971-72 to 1983-84	33.5	28.2	84.4%			

Source: Office of the Vice Provost for Academic Administration

Note: The appearance in 1997-1998 of cases “not nominated” arose because of a change in policy. Previously, outsiders were sought and Ad Hoc meetings scheduled only after the candidate’s dossier was received in the Provost’s office. However, to expedite the scheduling process, the VPAA began in this year to have TRAC set up tentative committees in anticipation of nominations that had yet to materialize, and thus to solicit an outsider even before the arrival of the dossier. In some such cases, the anticipation was not followed by a departmental nomination, and it is this category of anticipated but not actually nominated cases that is represented in the column “Not Nominated.”