



COLUMBIA UNIVERSITY
MEDICAL CENTER

Welcome to The Office of Faculty Affairs Forum

Discover. Educate. Care. Lead.



- Tenure Review Process Timeline
- Affiliate Physician Appointment Process
- Annual Letters of Reappointment
- Voluntary Self-identification of Race and Ethnicity
- OFA Service Level Agreements
- RAPS Upgrade Project
- Demonstration of the OFA Transactions Manual
- Important Notices/Reminders



Tenure Review Process Timeline

What is Tenure?

From the [CU Faculty Handbook](#):

“Officers with tenure hold appointments without a stated (renewable) term until they retire and it implies a financial obligation to the tenured officer.”

“Appointment to Tenure is made in the University only when an individual of **widely recognized excellence** is found to fill a scholarly need that is vital to a discipline central to the University’s purposes”



Two Different Types of Tenure Clocks

8 Year Clock

- Basic Scientists
- Tenure Review process starts during the 7th year of service
- Tenure decision made by May 31st of the 7th year

11 Year Clock

- Clinician Scientists
- Tenure track faculty on the 11 year clock need to maintain at least 20% clinical activity each year
- Tenure Review process starts during the 10th year of service
- Tenure decision made by May 31st of the 10th year



Tenure Review Process Timeline

March-April

Departments and Schools are asked to submit the following information for faculty who are scheduled to be reviewed for tenure during the next academic year:

- Name of Candidate
- Two-Three paragraph “Field Description”- in laymen’s terms

Information is forwarded to Provost office for preliminary review by TRAC committee

****TRAC is comprised of 13 members who represent faculty from different schools and departments. Field Description must be understood by faculty of all disciplines*

Tenure Review Process Timeline

May-June

Department Submits the following for each tenure candidate:

- CV (COAP Format)
- Statement of the Nominee (Research, Teaching, and Service activities)
- List of Referees and Comparison Scholars (12-15 referees)
- Five papers: most important work of the candidate's career
- Once submitted all documentation is reviewed by the SVP



Tenure Review Process Timeline

June: Solicitation of Referee Letters (Office of the SVP)

- Each School's Dean's office sends requests for referee letters for each candidate
- Each referee receives: candidate's CV, Statement, Articles
- Referee sends letter or declines request
- Once received, letters are forwarded to department



Tenure Review Process Timeline

June-October

Department Role in Tenure Review Process

During this time, departments should start preparing candidate's tenure dossier and prepares for Departmental / School COAP review

Department submits the following documents to OFA for CUMC-wide review:

- Case Statement
- Updated CV
- School/ Department COAP report
- Nominee's Statement (Research/Teaching/Service activities)
- Supplemental Materials Section (Articles, teaching materials: letters from learners, evaluations)
- Additional Referee Documentation: List of Top Institutions in Candidate's field/Annotated Referee/ Comparison Scholar List
- Witness Section (Name of individual who can testify to TRAC on candidate's behalf if there is a second review)

Tenure Review Process Timeline

CUMC COAP Review: Sept-Dec

- Tenure dossier is reviewed by the CUMC COAP
- If approved by the CUMC COAP, tenure dossier is forwarded to TRAC for further review
- If approved by TRAC during initial review- tenure nomination is forwarded by the Provost to President for final approval
- If not approved during initial review-witness (usually Chair) is invited to TRAC to speak on candidate's behalf
- If approved during second review-tenure nomination is forwarded by the Provost to President for final approval

Tenure Review Process Timeline

Following TRAC Review and Approval

- Once nomination to tenure is approved- Dean, SVP, Chair of Department and OFA are informed of candidate's tenure appointment
- OFA forwards documentation to Provost office for Trustees approval
- Trustees approve tenure appointment
- PAF is submitted to OFA for tenure appointment

Additional details and timelines can be found in [Section 1-4 of the OFA Transaction Manual](#): OOI Nominations to Tenure and the Tenure Review Process



Affiliate Physician Appointment Process

Requirements from Departments:

1. Nomination letter from the Department Chair and Division Chief stating that:
 - a. No hospital appointment is being requested, or
 - b. A hospital appointment is being requested. In this case then the letter needs to state the name of the NYP facility and be accompanied by a faculty practice agreement signed by the faculty member (affiliate physician) limiting practice to that facility.
2. Signed site-specific Faculty Practice Agreement (if applicable)
3. Candidate's CV

Workflow:

All paperwork should be routed as follows.

1. To the office of Dr. Steven Shea (Senior Vice Dean) for either:
 - a. Written approval of the letter without hospital appointment; or
 - b. Signature on the faculty practice agreement
2. The department will pick up the approval letter or faculty practice agreement signed by Dr. Shea
3. The documents (signed approval letter or FPA) will be included with the faculty appointment paperwork (or TBH) that is processed by the Office of Faculty Affairs.



Affiliate Physician Appointment Process

Important Notes:

- There will be no admitting privileges to “The Hospital” without a university faculty appointment, as per the Affiliation agreement
- In most cases, the appropriate university title is **Affiliate Physician**
- This applies as well to NYPMG physicians going forward
- ALL appointments with hospital appointments require a site/hospital specific faculty practice agreement.
- If the FPA is not followed, it will result in the termination of the faculty appointment and consequent termination of the hospital appointment.



Affiliate Physician Template Letter

AFFILIATE PHYSICIAN TEMPLATE LETTER

Lee Goldman, M.D.
Vice President of Health and Biomedical Sciences
Dean of the Faculties of Health Sciences and Medicine

Dear Dr. Goldman,

We are requesting approval for the appointment of _____ as an Affiliate Physician in the Department of _____, effective _____.

Dr. _____ will be part of the Columbia Affiliated Physicians under the IPA of the Faculty Practice Office. Dr. _____ is in good standing and will maintain an affiliation with Columbia University and the Department of _____ via the FPO*.

Sincerely,

Chair, Department of _____

***This request for a faculty appointment does not and will not include a request for hospital appointment or clinical privileges at the New York Presbyterian Hospital. Were a request to be made for hospital appointment or clinical privileges, a new nomination letter and completed Affiliate Physician Faculty Practice Agreement will be provided.**

APPROVED:

Steven Shea, M.D.
Senior Vice Dean
College of Physicians and Surgeons
Columbia University Medical Center

Date



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Affiliate Physician Appointment Process

Appointment letter:

1. Statement that no hospital privileges/appointment requested
2. Approval by Senior Vice Dean

Faculty practice agreement: No

	Yes	No
University appointment as Affiliate Physician (with location)	x	
Uni	x	
University ID card	x	
Access to University Library Services on line	x	
University e-mail account		x
Access to University clinical data systems		x
Access to CUMC Network as Guest (but not otherwise)	x	
Membership in the University IPA required for Affiliate Physician appointment		x
Dues paid by member to the IPA (FPO) if in IPA	x	
AIM Hi annual appointment charge – paid by IPA	x	
Appointment processed by Faculty Affairs	x	
University compliance training requirements		
COI	x	
Title IX Training	x	
HIPAA		x
Data security		x
Billing compliance		x
NYP appointment as Affiliate Physician		x
NYP ID card		x
Admitting or other clinical privileges at Milstein, CHONY, Allen, or Lawrence		x
Write progress notes or bill for visiting in Hospital or ED at Milstein, CHONY, Allen, or Lawrence		x
NYP email account		x
Access to NYP clinical data systems		x

Checklist: No Hospital Privileges or Hospital Appointment



Affiliate Physician Appointment Process

Appointment letter including statement of hospital privileges
Faculty Practice Agreement required stating which practice site(s) are approved and agreed to (Affiliate Physician in Lawrence, in Westchester, or in Northern Manhattan); approval Faculty Practice Agreement by Senior Vice Dean

	Yes	No
University appointment as Affiliate Physician (with location)	x	
Uni	x	
University ID card	x	
Access to University Library Services on line	x	
University e-mail account Notes. 1. Many currently have access 2. email is defined as a CUMC clinical system in our data security plan		x
Access to University clinical data systems		x
Access to CUMC Network as Guest (but not otherwise)	x	
Membership in the University IPA required for Affiliate Physician appointment		x
Dues paid by member to the IPA (FPO) if in IPA	x	
AIM Hi annual appointment charge – paid by IPA	x	
Appointment processed by Faculty Affairs	x	
University compliance training requirements		
COI	x	
Title IX Training	x	
HIPAA	x	
Data security	x	
Billing compliance		x
NYP appointment as Affiliate Physician*	x	
NYP ID card	x	
Admitting privileges to Milstein, CHONY, Allen, Lawrence, or Hudson Valley**	x	x
Write progress notes or bill for visiting in Hospital or ED at specified site	x	x
NYP email account	x	x
Access to NYP clinical data systems	x	x

**Checklist:
Affiliate Physicians
with Hospital
Appointment/
Privileges – not NYP
employed**



Affiliate Physician Appointment Process

Appointment letter including statement of hospital privileges
Faculty Practice Agreement required stating which practice site(s) are approved and agreed to (Affiliate Physician in Lawrence, in Westchester, or in Northern Manhattan); approval Faculty Practice Agreement by Senior Vice Dean

	Yes	No
University appointment as Affiliate Physician (with location)	X	
Uni	X	
University ID card	X	
Access to University Library Services on line	X	
University e-mail account		X
Notes.		
1. Many currently have access		
2. email is defined as a CUMC clinical system in our data security plan		
Access to University clinical data systems	X	
Access to CUMC Network as Guest (but not otherwise)	X	
Membership in the University IPA required for Affiliate Physician appointment		X
Dues paid by member to the IPA (FPO) if in IPA	X	
AIM Hi annual appointment charge – paid by IPA	X	
Appointment processed by Faculty Affairs	X	
University compliance training requirements		
COI	X	
Title IX Training	X	
HIPAA		X
Data security		X
Billing compliance		X
NYP appointment as Affiliate Physician*	X	
NYP ID card	X	
Admitting privileges to Milstein, CHONY, or Allen		X
Write progress notes or bill for visiting in Hospital or ED at Milstein, CHONY, or Allen		X
NYP email account	X	
Access to NYP clinical data systems	X	
Write progress notes or bill for visiting in Hospital or ED**	X	
Hospital admitting privileges to Lawrence or Hudson Valley**	X	
Write progress notes or bill for visiting in Hospital or ED at Lawrence of Hudson Valley**	X	

**Checklist:
Affiliate Physicians
with Hospital
Appointments and
Privileges – NYP
employed
(Westchester)**



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Annual Letters of Reappointment/Compensation

- CUMC departments are now required to issue annual letters of reappointment to academic personnel.
- This is a mandate of the Office of General Counsel, which is already in place on the Morningside campus.
- The letters can be very succinct and need to include only:
 - The officers' complete university title
 - Appointment Period
 - Annual Salary and pay frequency
- In the case of tenured faculty, the letter is a notification of annual salary and will include:
 - The officers' complete university title
 - Annual Salary, the period and pay frequency
- Templates are being provided for this purpose.
- P&S Departments may opt to merge this requirement with the annual statement of compensation.



Annual Letters of Reappointment/Compensation Templates

OTHER THAN TENURED FACULTY

{date}

PERSONAL AND CONFIDENTIAL

{full name}
{complete university title}
{department name}
{email/department address}

Dear {first}:

I am pleased to inform you of your {reappointment as/promotion to [Complete University Title]} for the period from July 1, 2018 to June 30, 2019. Your annual salary for this period will be \${salary} to be paid in semi-monthly installments.

We appreciate your continuing contributions to the department.

Sincerely,

{chair/dean}
{title}
{Chair/Dean}, Department of {department name}

cc: CUMC Faculty Affairs Office

TENURED FACULTY

{date}

PERSONAL AND CONFIDENTIAL

{full name}
{complete university title}
{department name}
{email/department address}

Dear {first}:

I am pleased to inform you of your annual salary of \${salary} from July 1, 2018 to June 30, 2019, to be paid in semi-monthly installments.

We appreciate your continuing contributions to the Department in your capacity of {Complete University Title}.

Sincerely,

{chair/dean}
{title}
{Chair/Dean}, Department of {department name}

cc: CUMC Faculty Affairs

[no need to get signature of faculty member]



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Voluntary Self-identification of Race and Ethnicity Requirement

- CUMC Departments are required to provide all new hires with a Voluntary Self-Identification of Race and Ethnicity form.
- The form is to be submitted to OFA as part of the new hire paperwork effective 7/1/18. Paperwork will be considered incomplete without this form.
- This is required in order to comply with certain federal recordkeeping and reporting requirements.
- Officers have the option to provide or decline to provide their race and ethnicity information.
- If the officer chooses to provide the information, they are asked to answer both questions on the form by checking the appropriate boxes.
- If they choose to decline, they should write “I decline” anywhere on the form.
- We have asked CUHR to amend the form to include a check box for those who **decline to self-identify**.



Voluntary Self-Identification of Race and Ethnicity

In order to comply with certain federal recordkeeping and reporting requirements, the University invites faculty and staff to identify their ethnicity and race. Please fill out this form and return it to your hiring manager if you do not have access to a computer; if you do have access to a computer, please visit <https://my.columbia.edu> and log in with your UNI and password to supply this information under Faculty & Staff Self-Service.

Name: _____ Date: _____ (EMPL ID, if not a new hire: _____)

Providing the information below is optional and based on your self-identification. If you choose to participate, please answer both questions by checking the appropriate box or boxes. Thank you for your cooperation.

Questions	Answer Choices
Are you Hispanic or Latino?	<input type="checkbox"/> Yes, Hispanic or Latino. <input type="checkbox"/> No, not Hispanic or Latino.
What is your race? (select one or more)	<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> Native Hawaiian or Other Pacific Islander <input type="checkbox"/> White

What do these categories mean?

These categories are determined by the federal government. Definitions, as provided by the U.S. Department of Education, are as follows:

- **Hispanic or Latino**
A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.
- **American Indian or Alaska Native**
A person having origins in any of the original peoples of North and South America (including Central America) who maintains cultural identification through tribal affiliation or community attachment.
- **Asian**
A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **Black or African American**
A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander**
A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **White**
A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

How does Columbia use this information?

The University uses race and ethnicity information for annual reports to the U.S. Department of Education, to apply for certain grants, and to meet its Affirmative Action goals. Columbia University does not share specific race and ethnicity or other personal information with outside agencies. The ethnicity and race data you choose to provide here will be used only in accordance with applicable laws, executive orders, and government regulations. As per Columbia's Nondiscrimination Policies, Columbia University does not discriminate or permit harassment on the basis of race, color, alienage and citizenship, gender, or any other legally protected status.

3/2010



OFA Service Level Agreements

Transactions	# business days for Provost approval (if applicable)	Total # business days for approval
New Hires	-	3
New Hires with NYP Appointment	-	6
LOA	10	12
LOA Extension	24	26
Postdoctoral Extension	10	13
Visitor Registration Form	-	10
Position Classification Form	-	5
Lateral Transfer (PAF)	-	2
Contract Renewal (PAF)	-	2
Rehire (PAF)	-	2
Termination (PAF)	-	2

Note: the above timeframes assume that transactions have been submitted with all required information and there is no need for corrections.

RAPS Upgrade Project

- The EOAA Office, under the leadership of Heather Parlier has launched a RAPS Upgrade project. Members of OFA are in the working group and they will solicit input from CUMC during the course of the project discussions.
- RAPS users should begin cleaning up the system by making sure that NO posting remains at the status of “SELECTEE CLEARED”.
- Postings need to be at the status of either:
 - FILLED (If a selectee was hired)
 - POSTING CLOSED
 - POSTING CANCELLED
 - OPEN (If the posting is less than a year old)

The OFA Transactions Manual Project

- It was developed in response to the need for a resource that provides guidance to HR and FA administrators on the preparation and submission of academic personnel transactions.
- In August of 2017, the 8 members of the OFA team began to develop the contents of the manual during our biweekly meetings.
- Each team member was responsible for developing checklists and workflows for several transactions. These were presented to the team for feedback.
- During this process we leveraged the knowledge of the more experienced OFA members and the resourcefulness of the newcomers.
- Once all transactions were developed, we engaged a consultant for language standardization, editing and to collaborate with web services to create a user-friendly online structure.
- The development of this tool was a true team effort as every OFA member played a key role.
- We hope that manual is found to be as useful as it was intended to be and we welcome your feedback.



Demonstration of The Office of Faculty Affairs Transactions Manual

<https://www.ps.columbia.edu/administration/academic-affairs/faculty-affairs>



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Important Notices & Reminders

- **Parental Leave – are not to be taken intermittently**
Exceptions are made in cases of documented critical operational needs of departments; however, splitting the leave into small intermittent segments will not be allowed.
- **Processing resignations of officers with multiple positions**
PAFs are required as e-Term cannot be used in these cases.
- **Timely requests for emeritus/emerita designation**
We ask that request for the emeritus/emerita designation for retired Professors be submitted along with the retirement paperwork or soon thereafter. See section 6-3 of the Transactions Manual for requirements and workflow.
- **Offer Letters require start dates**
Offer Letters for ALL officers must include a start date.
- **Short-Term Visitor Registration Forms**
Due to the high volume of visitors, we recommend submission of forms 30 days before the planned visit, but no later than 2 weeks before start date to ensure timely clearance.
- **Please monitor upcoming appointment end dates**
The Manager Reports in PAC provide the names of all officers whose appointment end dates are approaching. You are encouraged to run these reports monthly to avoid having your officers fall off the payroll.



HR Manager Reports

Upcoming and Past Appointment End Date Report

Columbia University in the City of New York

Help Email

MYCOLUMBIA

Log Out

Faculty and Staff | **HR Manager Resources** | ARC Portal | Enterprise Reporting | FinSys

HR Manager Resources

Text Size **a+** **a-**

Welcome to the HR Manager Resources Portal

This is your point of access to People at Columbia (PAC) as well as Labor Accounting and Payroll Reports. For Tools or Training, please navigate to the bottom of this page.

PAC Notices This Week

Questions? Contact the HR Service Center

Reminder: Multi-factor authentication is required for all employee self-service applications listed below for faculty and staff. More information, including how to use Multi-factor authentication, and links to training materials, is available on the CUIT website. If you have any questions regarding MFA please contact the CUIT Service Desk by sending an email to AskCUIT@columbia.edu or by calling (212) 854-1919.

People @ Columbia

(Note: you must use MFA to log into PAC)

- [Go to PAC](#)

Tools

Reports

- [People @ Columbia Manager Self-Service Reports](#)
(Generate Personnel Action Report; Department Earnings Register; Department Payroll Register; etc.)
- [Labor Accounting Reports](#)
(e.g. Payroll Suspense Report) Requires VPN if accessing reports via wireless or remote connection
- [HR Manager Reports](#)
(IDS refresh completed on 31-MAY-18 02:30 AM)
(PDS budget data updated on 31-MAY-18 04:29 PM)

News

[Payroll Assistance Available](#)

[Get Involved: 71st Annual Appeal Columbia Community Service](#)



HR Manager Reports

Upcoming and Past Appointment End Date Report

COLUMBIA UNIVERSITY
Information Technology

SAP BusinessObjects

Welcome: dxr2101 | Applications ▾

Home Documents

View ▾ New ▾ Organize ▾ More Actions ▾ Details

My Documents

Folders

Public Folders

- *FDS On Demand Reports
- APCAR
- ARC
- HR

Title ▲	Type	Last Run
*FDS On Demand Reports	Folder	
APCAR	Folder	
ARC	Folder	
HR	Folder	



HR Manager Reports

Upcoming and Past Appointment End Date Report

COLUMBIA UNIVERSITY
Information Technology

SAP BusinessObjects

Welcome: dxr2101 | Applications ▾ Preferences Help menu ▾

Home Documents

View ▾ New ▾ Organize ▾ More Actions ▾ Details

My Documents

Folders

- Public Folders
 - *FDS On Demand Reports
 - APCAR
 - ARC
 - HR

Title ▲	Type	Last Run
*JA_HR Manager Reports - Business Objects - December_2017_updated	Adobe Acrobat	
Active Positions and Incumbents Report	Web Intelligence	
Active Positions Report	Web Intelligence	Apr 1, 2016 9:53 AM
Employee Personal and Job Data Report - by Bargaining Unit	Web Intelligence	
Employee Personal and Job Data Report - by Job Function	Web Intelligence	May 25, 2018 9:54 AM
Employee Personal and Job Data Report - By Position Dept	Web Intelligence	
Employee Personal Data Report - by Bargaining Unit	Web Intelligence	
Employee Personal Data Report - by Job Function	Web Intelligence	
Employee Vacation Accrual	Web Intelligence	Jul 13, 2017 5:27 PM
Post-Docs Demographic Report	Web Intelligence	
Salary Planning Report	Web Intelligence	
Termination Report	Web Intelligence	
Upcoming/Past Appointment End Date Report ←	Web Intelligence	Jul 13, 2017 5:24 PM
Upcoming/Past Visa/Permit Expiration Date Report	Web Intelligence	Jul 13, 2017 5:25 PM



HR Manager Reports

Upcoming and Past Appointment End Date Report

The screenshot displays the SAP BusinessObjects report viewer interface. At the top, the browser address bar shows 'bi-prd.cdm.columbia.edu'. The page header includes 'Resources | MyColumbia' and 'BI launch pad'. The main header features the 'COLUMBIA UNIVERSITY Information Technology' logo and 'SAP BusinessObjects' logo, with a welcome message 'Welcome: dxr2101' on the right. The navigation bar shows 'Home', 'Documents', and 'Upcoming/Past App...'. Below this is a toolbar with icons for 'Web Intelligence', 'Track', 'Drill', 'Filter Bar', 'Freeze', and 'Outline'. On the left, a 'User Prompt Input' panel shows 'Advanced' and 'Run' buttons, with a message: 'There are no prompts defined on the queries in this document.' The main content area is titled 'Report Description' and contains the following information:

Report Name: Upcoming/Past Appointment End Date Report **Date:** 05/31/2018

Report Description:

Summary data for all employees whose appointment end date occurs within three months from and before the date of the extract's run.

User Selected Parameters

* NO USER SELECTED PARAMETERS IN THIS REPORT



HR Manager Reports

Upcoming and Past Appointment End Date Report

bi-prd.cuit.columbia.edu

er Resources | MyColumbia BI launch pad BI launch pad

COLUMBIA UNIVERSITY Information Technology SAP BusinessObjects

Welcome: dxr2101 | Applications Preferences Help menu

Home Documents Upcoming/Past App...

Web Intelligence Track Drill Filter Bar Freeze Outline

User Prompt Input

Advanced Run

There are no prompts defined on the queries in this document.

*** Report is looking 3 Months ahead and 3 Months prior 5/31/18**

Upcoming/Past Appointment End Date Report

NOTE: BY ACCESSING THIS DATA YOU AGREE TO ADHERE TO UNIVERSITY POLICY ON CONFIDENTIALITY OF SENSITIVE DATA

Position Dept	Position Dept Name	Admin Dept	Admin Dept Name	EmplID	Name	Position Title	Appt End Date
404110X	A&S Biological Sciences	753800X	PAT Pathology		Loike,John D.	Lecturer	
404810X	A&S Psychology	754420X	PSY Developmental Neurosci		Taylor,Kathleen M	Adjunct Assistant Professor	
521710X	ENG Earth & Environmental Engr	7920202	CDM Periodontics		Macdonald,Daniel Edwin	Adjct Assoc Research Scientist	
576000X	SSW Social Intervention Group	754440X	PSY Gend Sexuality Health		Davis,Alicia	Postdoc Research Scientist	
7505106	P&S EDU CERE	7505106	P&S EDU CERE		Moran,Katie	Visiting Student Intern	



QUESTIONS

