Welcome to
The Office of Faculty Affairs Forum

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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

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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

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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

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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

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   Date
College of Physicians and Surgeons
Columbia University Medical Center

Affiliate Physician Appointment Process

	Yes	No
Appointment letter: 1. Statement that no hospital privileges/appointment requested 2. Approval by Senior Vice Dean **Faculty practice agreement: 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

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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 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, 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)**

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.**

COLUMBIA UNIVERSITY HUMAN RESOURCES

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?	☐ Yes, Hispanic or Latino.
	☐ No, not Hispanic or Latino.
What is your race? (select one or more)	☐ American Indian or Alaska Native
	☐ Asian
	☐ Black or African American
	☐ Native Hawaiian or Other Pacific Islander
	☐ 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.

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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)

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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 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
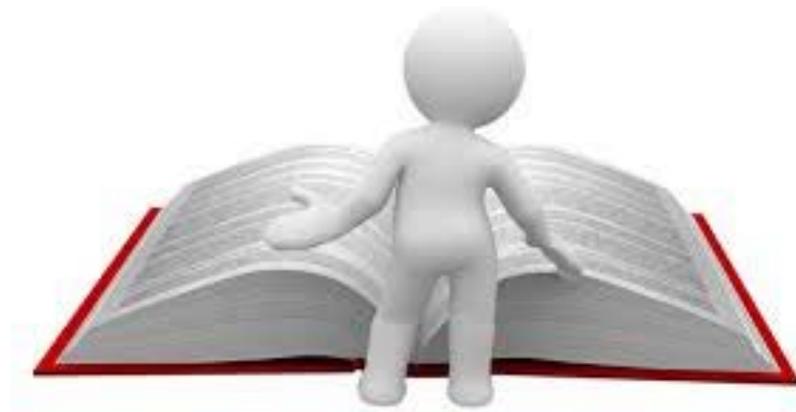
Important Notices & Reminders

- **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

HR Manager Reports
Upcoming and Past Appointment End Date Report

HR Manager Reports
Upcoming and Past Appointment End Date Report

HR Manager Reports

Upcoming and Past Appointment End Date Report

HR Manager Reports
Upcoming and Past Appointment End Date Report

QUESTIONS