

July 1, 2019

MEMORANDUM

TO: Jason Wingard, Dean

CC: Erik Nelson

FROM: Maya Tolstoy, Interim Executive Vice President for Arts & Sciences

RE: 2019-20 Review of Professional Practice Faculty in the School of the Arts

The Arts and Sciences has in place a comprehensive system for review of professional practice faculty. Reviews are conducted in the first, third, fifth and seventh years of service and every five years thereafter. Through constructive, informative and timely evaluations, senior faculty members advance the career development of their junior colleagues and, at the same time, ensure the presence of faculty of the highest quality and distinction. Each case is evaluated on its own merits, and the review process, and recommendations that emerge from the reviews, are intended to be treated with the utmost seriousness by departments.

Statutory Terms Appointment to Modified Practice Title

By University Statute, all initial appointments to a non-tenured rank are for one year only. Subsequent appointments may be for a term of one, two, or three years. Passage of the major review and subsequent continuing reviews carry the opportunity for reappointment for a term of up to five years. Under Arts and Sciences policy, associate professors who have not passed the major review may not hold appointment at that rank for more than five years of counted service.¹

The University may choose not to renew an appointment beyond its stated term because of budgetary considerations, changes in staffing needs, or less than optimal performance on the part of the officer. In such cases, the University must give written notice to the candidate according to the following schedule:

- 1) not later than **March 1** before the end of the first year of service (**March 1, 2020**);²

¹ Faculty whose initial appointment is at the rank of Associate Professor are reviewed on a different schedule. All receive a first-year Confirming Review. Those on fixed-term, non-renewable appointments may request a Developmental Review at the third year point to obtain feedback on their professional development. Those on appointments eligible for tenure consideration or the major professional practice review undergo this review in the third or fourth year of the appointment.

² For those faculty whose appointment began in January 2019, the confirming letter must be sent by October 1, 2019 for non-renewal effective December 31, 2019.

- 2) not later than **December 15** before the end of the second year of service (**December 15, 2019**);
- 3) at least twelve months before the end of all subsequent periods of service (**May 31, 2020**).

Procedures for Review

Confirming Reviews (First Year)

The first year of service at Columbia for all full-time non-tenured faculty, regardless of rank, serves as a probationary period and a decision must be made as to whether or not to extend the statutory initial appointment. Reviews of full-time, non-tenured faculty in their first year of service are essentially confirming reviews. Those who successfully complete the probationary period may be extended through the fourth year. Those who do not should be notified in writing by **March 1, 2020** that their appointment will not be renewed beyond **June 30, 2020**. The Dean of the Faculty of Professional Studies should notify the Executive Vice President for Arts and Sciences of the department's decision by copy of the letter to the candidate no later than **March 1, 2020**.²

Developmental Review (Third Year)

Those in their third year of counted service must be reviewed for a decision on renewal beyond **June 30, 2021**. The school should use this review to place a strong emphasis on the professional development of the faculty member, identifying areas of progress and noting especially those requiring attention. Developmental reviews follow established school procedures. These generally include evaluation of the candidate by a subcommittee of at least three tenured faculty and/or professional practice faculty who have passed the major review prior to school's deliberation. Following the school review, the Dean of the Faculty of Professional Studies should submit a letter by **April 15, 2020**, transmitting the school's recommendation to the Executive Vice President for Arts and Sciences. In instances where the school is requesting renewal of the appointment, the letter should address the individual's effectiveness as a teacher, accomplishments and potential as a practitioner, and service to the school. A copy of his/her curriculum vitae, a full statement of teaching and current professional plans and reports of any school committees must be included. The Executive Vice President will inform the Dean of the Faculty of Professional Studies as to whether this request has been approved and the school must then notify the faculty member in writing about the outcome of the review with a copy to the Executive Vice President.

Critical Review (Fifth Year)

Those in their fifth year of counted service must be reviewed for possible reappointment beyond **June 30, 2020**. Any assistant professor of professional practice who will have completed at least four years and no more than six years of counted service by the end of 2019-20 is eligible for a critical review, which includes consideration for promotion to associate professor of professional practice.

The fifth-year review for reappointment and promotion to associate professor of professional practice is considered a critical review. Promotion and renewal will be offered only to those who exhibit the exceptional qualities appropriate to a prospective candidate for major review and the demonstrable likelihood of achievement in their area of professional practice necessary for passage of major review at Columbia or an institution of comparable stature. This promotion and renewal is intended as recognition of exceptional gifts and prospective passage of major review, but is not in itself a guarantee of passage of major review. It is also not intended as a consolation prize, and departmental recommendations for promotion must be developed with the utmost conscientiousness.

The following materials must be included in the department's case for renewal and promotion to associate professor of professional practice. **Please see Appendix B for instructions on submitting the dossier in pdf format files.**

- 1) **Statement from the candidate:** The Dean of the Faculty of Professional Studies should ask the candidate to submit a complete, up-to-date curriculum vitae, as well as a full statement of teaching and current and planned scholarly activities. The curriculum vitae should indicate whether publications, listed as "forthcoming" have been accepted or contracted and when they are expected to be published. Entries for full-length books listed as "contracted" should also reveal whether readers' reports exist, what portion of the work has actually been submitted to the press contracting it, and what the timetable is for completion.
- 2) **A review committee report:** The review of candidates for promotion to non-tenured associate professor of professional practice should be conducted by a reading committee of at least three senior faculty appointed by the Dean of the Faculty of Professional Studies. The committee should submit a written report to the school, and the Dean of the Faculty of Professional Studies should include this report among the materials forwarded to the Executive Vice President with the departmental recommendation. The report should address the candidate's teaching and citizenship as well as her or his standing as a professional in the field. There should be a detailed analysis of teaching performance, including a discussion of courses taught, involvement in the school's central teaching requirements, enrollment history, student and peer evaluations (synthesized), advising, and thesis supervision. The report should contain a specific recommendation on promotion and reappointment. In instances where the Committee votes not to recommend reappointment and promotion, the Dean of the Faculty of Professional Studies first advises the Executive Vice President of the outcome and then informs the candidate of the negative decision.
- 3) **Letter of transmittal from the Dean of the Faculty of Professional Studies:** In instances where the school wishes to recommend reappointment and promotion, the Dean of the Faculty of Professional Studies must submit a letter stating the case for promotion in full terms, incorporating the substance of the discussion of the relevant faculty committee, the details of the vote, and an explanation of the grounds given for any negative votes. **NO REPORT ON THE STATUS OF THE REVIEW MAY BE GIVEN TO A CANDIDATE PRIOR TO THE EXECUTIVE VICE PRESIDENT'S HAVING MADE A DECISION.**

The promotion case must comment at length upon the candidate's likelihood of passing the major review, here or at an institution of comparable stature, based on a full and complete evaluation of his or her work as a scholar and teacher.

The Dean of the Faculty of Professional Studies also should provide guidance in the letter of transmittal regarding the normal standards for passage of a major review within the particular disciplines or fields. For example, are journal articles, exhibitions, etc., alone a sufficient basis for determining stature? Is the normal assumption the publication and acclaim of one or more book length projects, having one's work critically reviewed in prominent vehicles, etc.? Are there other kinds of work that constitute the basis for passage of a major review within a particular discipline?

The school's recommendation for promotion to the rank of associate professor of professional practice should not be made unless the school believes, and can demonstrate, that the candidate's teaching and scholarship or artistic contributions are likely to merit passage of major review at Columbia or an institution of comparable stature. Recommendation for promotion to associate professor of professional practice allows more scope for the recognition of promise and potential than an actual major review recommendation. **It is a statement of probable passage of the major practice review, not a promise of it, and this circumstance should be made clear to the candidate as well as to the school.**

A school vote not to recommend promotion and reappointment is a decision, which is conveyed to the Executive Vice President for Arts and Sciences by the Dean of the Faculty of Professional Studies.

Major Review (Seventh Year)

Those in their seventh year of counted service must be reviewed for possible reappointment beyond **June 30, 2021**.

The seventh-year review for reappointment is considered a major review.

The following materials must be included in the school's case for renewal and promotion to associate professor of professional practice. **Please see Appendix B for instructions on submitting the dossier in pdf format files.**

- 1) **Statement from the candidate:** The Dean of the Faculty of Professional Studies should ask the candidate to submit a full and current curriculum vitae and a full statement of teaching and current and future scholarly plans. The curriculum vitae should indicate whether publications, listed as "forthcoming" have been accepted or contracted and when they are expected to be published, produced or held. Entries for full-length books listed as "contracted" should also reveal whether readers' reports exist, what portion of the work has actually been submitted to the press contracting it, and what the timetable is for completion.

- 2) **A review committee report:** The review of candidates for major review should be conducted by a reading committee of at least three senior faculty appointed by the Dean of the Faculty of Professional Studies. Semi-blind letters of evaluation, which include a comparison list of appropriate benchmarked colleagues, are solicited by the school from recognized experts in the candidate's specialization. The referees are asked to assess the candidate's qualifications and compare her/him to other prominent figures in the field. Based on its assessment of the candidate's credentials and informed by the semi-blind letters, the committee should make a specific recommendation on suitability for passage of the major review. The committee's recommendation should be framed in a written report to the school, and the Dean of the Faculty of Professional Studies should include this report among the materials forwarded to the Executive Vice President with the school's recommendation. The report should provide a detailed analysis of the candidate's work and describe in a comprehensive manner her/his position in the field, including a discussion of evidence in support of this assessment. Where published reviews are available, an annotated summary of the reviews should be prepared, and the summary should indicate the importance of a particular reviewer or review venue, where relevant. The report should also contain systematic information on the candidate's teaching and citizenship. The detailed analysis of teaching performance should include a discussion of courses taught, involvement in the school's central teaching requirements, enrollment history, student and peer evaluations (synthesized), advising, and thesis supervision. In instances where the Committee votes not to recommend passage of the major practice review, the Dean of the Faculty of Professional Studies first advises the Executive Vice President of the outcome and then informs the candidate of the negative decision.

- 3) **Letter of transmittal from the Dean of the Faculty of Professional Studies:** In instances where the school wishes to recommend passage of the major practice review, the Dean of the Faculty of Professional Studies is required to submit a letter stating the case for the action. The letter should situate the candidate within the overall context of the school and describe why her/his area of work is important to the school. It should incorporate the substance of the discussion of the relevant faculty committees, give the details of the vote, and provide an explanation of the grounds given for any negative votes. No report on the status of the review may be given to a candidate prior to the Executive Vice President's having made a decision.

Those who will not be put up for major review, must receive written notification by **May 15, 2020**, indicating that their appointment will not be extended beyond **June 30, 2021**.

Continuing Reviews (Every Five Years)

After successfully passing the major review, a faculty member holding an appointment with a modified practice title will be eligible for renewable contracts of up to five years in length, subject to an appropriate review. The Dean of the Faculty of Professional Studies will appoint a three-person reading committee to consider and recommend on reappointment.

The candidate will be asked to submit a curriculum vitae, a pedagogical statement and a statement of professional activities, along with supporting materials documenting work during the previous five years (samples of creative work, reviews, articles, etc.). Evidence of teaching performance will also be provided.

The review committee will consider the candidate's on-going professional and creative work; teaching; and contributions to the division, the school and the University at large. While practice faculty are expected to demonstrate a continued commitment to their professional profile, distinction in teaching and mentoring and/or particular dedication to institutional service might weigh more heavily in the evaluation for renewal than in the major review. The review committee may request that the Dean's Office obtain outside letters of reference and/or make inquiries of experts in the field; however, external references are not required. Upon completion of its review, the committee will prepare a written assessment of the faculty member and make a recommendation on reappointment. The recommendation on reappointment is forwarded to the Dean of the Faculty of Professional Studies.

If the Committee is unanimously in favor of reappointment, the recommendation is submitted directly to the Dean of the Faculty of Professional Studies. In instances where the Committee votes not to recommend reappointment, the Dean of the Faculty of Professional Studies first advises the Executive Vice President of the outcome and then informs the candidate of the negative decision.

Reasons for non-renewal may be based upon, but not limited to, the following:

- 1) Evidence of continuous and on-going poor performance in the classroom
- 2) Failure to maintain an active professional involvement at a high level of excellence as evidenced by the review
- 3) A shift in the ongoing and future goals, needs, specializations, and practices of the school's curriculum that cannot be adequately met or fulfilled by the faculty member

Faculty who are not renewed shall be given an additional, terminal year of appointment.

In instances where the school wishes to recommend renewal, the Dean of the Faculty of Professional Studies is required to submit a letter stating the case for the action. The letter should describe the candidate within the context of the school, incorporate the substance of the discussion of the faculty, give the details of the vote, and provide an explanation of the grounds given for any negative votes. **NO REPORT ON THE STATUS OF THE REVIEW MAY BE GIVEN TO**

THE CANDIDATE PRIOR TO THE EXECUTIVE VICE PRESIDENT'S HAVING MADE A DECISION.

Arts and Sciences Review of Positive School Recommendations

School recommendations on fifth-year reviews, Major Reviews, and Continuing Reviews for professional practice appointments are reviewed by the Promotion and Tenure Committee. In considering fifth year reviews and continuing reviews, the Promotion and Tenure Committee does not replicate or preempt a major review panel's functions in any case brought before it and will not read a candidate's publications, interview witnesses and solicit evaluations from outside the University. The responsibility will rest with the school to present a convincing case to the Promotion and Tenure Committee on the content and merit of the candidate's work, on the effectiveness of the candidate's teaching, and on the value of the candidate's division, school, and university service.

The Promotion and Tenure Committee acts as an advisory committee to the Executive Vice President for Arts and Sciences, and after reviewing the school's case, makes its recommendation to the Executive Vice President.

The Office of the Executive Vice President for Arts and Sciences will notify the school of the outcome of the review process. The school is expected to inform its faculty in writing immediately about the outcome of the reviews and to forward a copy of this correspondence to the Office of the Executive Vice President for Arts and Sciences. In addition, the Dean of the Faculty of Professional Studies and his or her designee will meet with each candidate completing the critical review to summarize progress to date and offer guidance regarding areas for attention in the coming period.

Appendix A

Sample Review and Reappointment Schedule for Full-time, Practice Faculty in the School of Professional Studies

(Hired July 1, 2019 as Assistant Professor of Professional Practice)

Year of Appointment	Year in Service	Type of Review	Year through Which Appointment May Be Extended and Possible Outcome ³
2019-20	1	Confirming	Extension up to through 4th year <u>OR</u> Notified that will not be renewed
2020-21	2	---	
2021-22	3	Developmental	Extension through 5th or 6th year <u>OR</u> Decision not to renew and to discontinue at the end of the 4th year
2023-24	4	---	
2024-25	5	Critical	Promotion to Associate Professor of Professional Practice <u>OR</u> Decision not to promote and to discontinue at the end of the 6th year
2025-26	6	---	
2026-27	7	Major practice review	1) School review of candidate 2) Recommendation to Dean 3) Dean reviews and forwards materials to Arts and Sciences by February 15 4) Arts and Sciences conducts review 5) Awarded five-year renewable appointment Decision not to nominate at any point in process and letter of non-renewal sent to faculty member
2027-28	8	---	First year in a 5-year continuing practice appointment <u>OR</u> Final year at Columbia

³ Parental Workload Relief leaves or medical leave of two months or more may postpone a review or current appointment end date.

Appendix B

Submission of the Review Dossier

The dossier should be submitted to the **X:\Drive** in the “**Non-Tenure Reviews**” folder that can be found in the “**Academic Affairs**” folder. The materials submitted electronically should be put into a “.pdf” file with no protection or security restrictions. The nominating unit should follow the checklist below for the contents and name of each file and for the order in which they should be included. Avoid using scanned copies of the materials when possible because such materials are generally not searchable. Once the dossiers have been uploaded to the X:\Drive, please notify Jessie Tong at jt2622@columbia.edu.

Third Year Review Dossier

1. Dean’s Letter of Transmittal	Last name, First name Transmittal Letter.pdf
2. School Review Committee Report	Last name, First name Internal Report.pdf
3. Candidate’s Curriculum Vitae	Last name, First name CV.pdf
4. Candidate’s Teaching and Research Statement	Last name, First name Statement.pdf

Fifth Year Review Dossier

5. Dean’s Letter of Transmittal	Last name, First name Transmittal Letter.pdf
6. School Review Committee Report	Last name, First name Internal Report.pdf
7. Candidate’s Curriculum Vitae	Last name, First name CV.pdf
8. Candidate’s Teaching and Research Statement	Last name, First name Statement.pdf

Major Review Dossier

1. Dean’s Letter of Transmittal	Last name, First name Transmittal Letter.pdf
2. School Review Committee Report	Last name, First name Internal Report.pdf
3. Referee Letters	Last name, First name Letters.pdf
4. Candidate’s Curriculum Vitae	Last name, First name CV.pdf
5. Candidate’s Teaching and Research Statement	Last name, First name Statement.pdf