

# The Timely Replacement Policy

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## **Overview**

The Timely Replacement Policy (TRP) is the label currently applied to the policy that—with support from the President and Provost—there will now be budget authorization to fill vacancies associated either with faculty retirement, unsuccessful tenure cases or departures of another nature. Following its deliberations, the Policy and Planning Committee (PPC) provides here a set of guidelines and budgetary recommendations for implementing the policy in a manner that is coherent with other aspects of A&S administrative/academic planning and governance. The policy guidelines described below are designed to maintain stability in the A&S faculty size and hiring rate without resorting to notional faculty lines or departmental quotas. The budgetary recommendations promote A&S fiscal discipline through accurate budget forecasting and the budgeting of funds required to fill vacancies in a timely manner. It is the intention of this policy that the overall size of the A&S faculty should not decline from the levels authorized for the 2015-16 AY (including searches authorized this year), though it can increase from this baseline.

## Timely Replacement Policy Guidelines

1. All decisions regarding hiring new faculty should first and foremost be aimed at identifying exceptional junior and senior individuals who will promote excellence in research and teaching, as members of a department and as part of the Columbia community.
2. In keeping with a general principle that the size of the A&S faculty should not decline, the TRP provides the budgetary resources to fill faculty vacancies with such exceptional individuals. Vacancies may result from faculty retirement or departures of another nature. For the purposes of this policy, we use the term “replacement” to describe the filling of such faculty vacancies.
3. The process of replacing faculty may be initiated at the time of need, and will typically require submission of an Instructional Budget Statement (IBS), followed by the annual IBS<sup>1</sup> review and, if authorized, an associated faculty search and appointment.
4. This policy is not meant to supplant routine administrative and academic governance associated with the allocation of faculty positions and budget resources. Those decisions are made based on input from the IBS and ARC processes. The relationship of a proposed hire to retirements and other anticipated turnover should remain as only one of several criteria used to grant IBS authorization.

- The TRP does not guarantee that a department will be given a line to replace a vacancy in that department. As before, departments must make a compelling intellectual case to fill a vacancy as part of the IBS process. However, the fact that a department has recently lost a faculty member will be taken into strong consideration in the IBS process.

- More specifically (and despite its name), this policy does NOT create the existence of fixed lines at the department level. However there is some presumption, subject to departments making compelling cases in the IBS process, and absent a larger strategic decision to change the size of departments, that replacement positions will generally be forthcoming. The lack of funding in the budget will not, on its own, constitute a sufficient reason to deny a request for a position to replace a departing faculty member.

- Timely replacement is not necessarily a "use it or lose it" within one year proposition. There may also be valid reasons why a department would defer a request for replacement, though for budgetary reasons this information should be provided to the EVP. A department whose IBS request for replacement is denied is not prohibited from making the request in future years.

- As a matter of practice, the IBS will routinely approve replacements for departments that have had a departure due to an unsuccessful promotion case.

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<sup>1</sup> The IBS is the name for the process by which FAS governs the number, disciplinary foci, and distribution of faculty among its departments. It is based on an annual meeting of the Executive VP (EVP), Executive Committee (EC, Dean of the College and Dean of the Graduate School), and PPC, who consider each department’s annual Instructional Budget Statement (IBS, which serves as the primary mechanism for requesting faculty replacements or incremental hires) and each department’s most recent Academic Review (ARC) report.

## Budgetary Recommendations

1. The nominal budgetary allocation for each year's IBS process should include sufficient funds to support all anticipated replacements forecast for that year, modified as appropriate by input from the ARC process.

- The availability of this budget allocation does not guarantee its use in filling specific faculty vacancies.

- Variance in replacement rate or IBS authorization may create a short-term debt or surplus condition relative to the forecast budget.

2. A balanced A&S budget should include all expenses associated with maintaining timely replacement at forecast rates.

- A debt/surplus pool should be created to allow for variance.

- Initial stages of implementation of this policy may include budgetary resources from the Office of the Provost. Management of those resources is not addressed by the guidelines and recommendations stated here.

3. A successful implementation of this policy requires accurate budget forecasts based on estimated faculty size and hiring needs. As part of this exercise, anticipated faculty replacement rates and an associated replacement budget should be forecast for 1-year, 5-year and 10-year periods.

- Departments are not bound by a prescribed interval or budget for timely replacement. Departments and EVP should jointly establish replacement projections for faculty at all career stages, and determine corresponding timelines, phasing, and budgetary impacts. Projections vs. actuals should be re-assessed annually. Significant deviations from projected rates may require additional review.