Office of the Provost

GUIDE TO BEST PRACTICES IN FACULTY RETENTION

CONTENTS

ACKNOWLEDGMENTS

INTRODUCTION

Columbia University is committed to hiring and retaining diverse and talented faculty. Columbia is dedicated to removing any barriers that may limit the opportunities for faculty advancement of qualified members of underrepresented groups. This guide is intended to help deans and department chairs fulfill the University's commitment to diversity and inclusion through best practices found to help retain faculty. Diversity includes but is not limited to dimensions of disability, gender, gender identity and expression, national origin, race/ethnicity, religion, sexual orientation, socioeconomic status, and veteran status.

The practices and strategies outlined in this document are informed by case study reviews of best practices proven effective at several peer institutions; a literature review of studies regarding barriers to the retention of faculty, particularly faculty of color and other underrepresented groups; faculty experiences at Columbia; and an examination of best practices across Columbia.

Regarding barriers to retention, Gasman, Kim, and Nguyen (2011) found the following to be leading causes for dissatisfaction and requests for leave among faculty: racial and social isolation, lack of mentoring, occupational stress, devaluation of "minority" research, the "token" hire misconception of underrepresented faculty, and biases in tenure and promotion evaluations. The practices included in this guide are intended to specifically target these barriers to retention.

This guide begins with a **Checklist,** a summary of best practices to improve and sustain retention of faculty. Best practices are organized into categories; the first category is **Data on Health and Welfare of Schools/Departments,** which outlines strategies department chairs can use to monitor the health and welfare of their department. Next is the section on **Culture and Climate,** which describes elements of an inclusive climate and how department chairs can ensure they promote an inclusive culture within their departments. This guide uses the term "inclusive environment" to mean a climate that welcomes and values difference of background, race, expertise, gender, sexuality, and religion among faculty. The sections following Culture and Climate are **Professional Development** and **Leadership Development.** These two sections describe opportunities department chairs can help create for faculty to develop leadership skills and further their careers. *Each section highlights some of the best practices currently used across schools at Columbia.* This guide also presents **Scenarios** in which the strategies developed in earlier sections can be used to guide department chairs in their conversations with faculty members as they deal with leaves of absence, counteroffers or tenure promotions. Lastly, the guide offers department chairs a table of **Indicators of Success** of best practices they can refer to as they work to support faculty, a **Barriers to Retention** table that organizes best practices by the retention barrier it is structured to address, and a **Retention Practices by Faculty Career Stage** table, which outlines the most appropriate strategies a department chair could use to support faculty members at each stage of their career.

This guide is written as a living document; in that spirit, we invite feedback on what works, what doesn't, and what should be added.

LETTER FROM THE PROVOST

Dear Colleague:

Columbia University aspires to be the go-to institution for the world's greatest scholars. We cannot achieve this without realizing our core values of both inclusion and excellence. This requires sustained focus on equity in all our efforts to recruit, hire, promote, and retain an exceptionally well-qualified faculty. We have developed a number of resources to assist schools and departments in this endeavor, including this guide. The University's *Guide to Best Practices in Faculty Retention* serves as a companion resource to our *Guide to Best Practices in Faculty Search and Hiring* (2014) and our *Guide to Best Practices in Faculty Mentoring* (2016).

This guide is intended to assist schools, departments, and faculty in their retention efforts. It does not replace existing University, school, or department procedures or practices, but rather serves as a framework and supplemental resource.

We developed this manual because we believe that adherence to its guidelines will have a positive impact on faculty success and will enhance the climate of inclusiveness University-wide, thus building a stronger University community. A thriving, diverse faculty is essential to creating a dynamic learning and working environment that will prepare all our students to lead in our global society.

Whether you are a new department chair or an experienced leader in your unit, we hope you will find this resource valuable. Thank you for all that you do to strengthen our community and ensure the future excellence of Columbia University.

Sincerely,

John H. Coatsworth
Provost

CHECKLIST

Monitor School/Departmental Health

☐ Meet with faculty regularly to provide and receive feedback

☐ Conduct surveys to measure job satisfaction

☐ Monitor course and service commitments to ensure faculty have feasible workloads

☐ Examine data for faculty appointments, promotions, and resignations for any disparities

☐ Review decision-making processes, checking for any biases

Establish Supportive and Welcoming Climate

☐ Communicate school/department policies and expectations clearly and early

☐ Create opportunities for faculty to participate in department and school governance

☐ Establish and promote mentoring for faculty

☐ Connect faculty to campus resources both within and outside the department or school

☐ Facilitate networking opportunities for faculty

☐ Consider leaves and other policies on an individual basis to best meet faculty needs

Support Faculty Professional Development

☐ Celebrate and recognize diverse contributions and outstanding performance

☐ Encourage faculty to pursue research and intellectual interests

☐ Provide all faculty with training in cultural sensitivity and responsiveness

☐ Support faculty development for continued improvement in teaching practices

DATA ON HEALTH AND WELFARE OF SCHOOLS/DEPARTMENTS

Monitoring the health and welfare of schools and departments serves to check for systemic biases and inequities that can be proactively addressed to ensure equal treatment of all faculty. Collecting and analyzing school/department data regularly allows department chairs to learn about what is working well and what needs to improve. The following are some tools that can help deans/department chairs determine the health and welfare of their schools/departments:

1. State of the department reviews (biannual)

These reviews are systematic and carefully reviewed processes that allow deans/department chairs to identify and address any disparities in the allocation of resources and opportunities.

Among the resources department chairs should monitor, with respect to allocation and distribution, are the following:

a. Teaching assistants
b. Research assistants
c. Time for research
d. Adequate funding (e.g., travel funds, discretionary funds)
e. Clerical/administrative support
f. Lab space and equipment

During these reviews, deans/department chairs can evaluate faculty performance; recognize good work; and review salaries and benefits to ensure that salaries are equitably and adequately distributed, commensurate to faculty experience and achievement, and considerate of the cost of living in New York, which may be higher than in other places.

Practice Highlight:

For deans/department chairs interested in learning more about state of the school/department reviews, guidance and support is available through the Office of the Vice Provost for Faculty Diversity and Inclusion.

Other Institutions:

The University of Washington sees state of the department reviews as an opportunity for departments to take proactive steps instead of reactive steps to retain faculty. The reviews are a tool to regularly adjust salaries in cases of inequity and to reward and recognize excellent work.

2. Exit interviews of faculty leaving Columbia

Exit interviews provide insight into why faculty decide to leave and can help schools/departments revise their practices to improve retention. The goal, however, is to prevent these meetings by having structures in place that check for faculty satisfaction regularly, so that measures can be taken preemptively. As appropriate, the department chairs, or a senior member of the faculty or administration, should leave these conversations with an action plan to prevent future unexpected exits from the department.

Exit interview assistance is available through the Office of the Vice Provost for Faculty Diversity and Inclusion.

3. Biannual surveys measuring job satisfaction and expectations (e.g., COACHE)

Deans/department chairs should meet with faculty regularly to check in, and provide support as needed. These "check-ins" provide school/department leaders with insight into the health of the school/department, provide personal attention, and help faculty feel heard and supported.

Surveys can be issued electronically to faculty two to four times an academic year. They can go out at the end of each term, or at both the beginning and end of each term. The surveys will measure job satisfaction and can be tailored to the different stages in a faculty member's career. Surveys are low-entry tools that collect information, and make data analysis easier. The Stanford University Retention Guide suggests that departments collect data regularly through surveys and focus groups, and that this data be disaggregated to allow for departments to measure job satisfaction by race or ethnicity, gender, time at the university, or role at the institution.

The Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education has developed a survey to help institutions learn about faculty job satisfaction and take action to improve climate in order to support and retain faculty. The surveys are tailored to institutional needs and help institutions answer the following questions:

- How do faculty of different career stages experience academic work life at my institution?
- How do their experiences compare with those of faculty at peer institutions?
- Do their experiences differ by rank, tenure status, discipline, gender, or race/ethnicity?
- What policies or practices are associated with high levels of faculty satisfaction and vitality?

4. Monitor faculty workload

Manageable workloads are important to faculty at all stages of their career, and a burdensome workload can be particularly trying for new faculty who are still finding their footing in their new position. Demands on time can be particularly draining when faculty feel they spend more time doing "administrative tasks"—requesting reimbursements, securing adequate work space, or managing travel, among other logistical tasks. A Columbia junior faculty member described the drain on his time as follows:

> *"The things that are bogging me down are the administrative stuff. It took me a long time to get into my space."*

When faculty feel supported and welcomed, their transition into their jobs is more seamless. Another Columbia junior faculty member describes her experience as follows:

> *"My department was very good at communicating with me as far as the equipment that I wanted and the classes that I wanted to teach. I felt like I knew the people by name via email. My office was set up—no issues."*

Creating a supportive and welcoming environment benefits all faculty; however, department chairs should also consider the particular challenges that members of underrepresented groups face. Gasman, Kim, and Nguyen (2011) identified isolation and misconceptions of being the "token" figure in a department as barriers to retaining diverse faculty. Women and underrepresented minorities are often asked to take on a disproportionate share of committee and mentoring responsibilities. While these service commitments are important to both faculty and departments, Museus, Ledesma, and Parker (2015) suggest they are not considered as important when evaluating faculty for promotion or tenure. Too many service commitments can interfere with research and publications, which are more heavily weighted in the tenure and promotion process. They argue that this places underrepresented and women faculty at a disadvantage. Misra (2011) suggests that universities should not only monitor service commitments to ensure that faculty are all pulling their weight, but also value and recognize teaching, advising, and service responsibilities when evaluating a faculty member for promotion. Department chairs must ensure that underrepresented minorities are not overburdened with responsibilities of being the "token" member of an underrepresented group. The following excerpt reflects the experience of a Columbia faculty member who became a token figure for her department:

> *"I became the person who had a baby, and everyone wanted to know what it was like . . . a responsibility to be setting expectations for future women coming through the department. There is already a burden associated with women going through the tenure process—this makes it a double burden."*

5. Monitor decision-making processes

Deans/department chairs should also check for behaviors or norms in the school/department that may create a hostile or unwelcoming environment for new faculty members. It is important for deans/department chairs to reflect on their role as allies to underrepresented faculty. Rockquemore (2016) advises department chairs to ask themselves the following questions:

a.   Am I truly behaving as an ally?

b.   Am I prepared to deal with microaggressions and fully support underrepresented faculty?

c.   Are there structures in place to support newly recruited faculty? Underrepresented faculty?

This reflection should be accompanied by an action plan to ensure that both leaders and faculty are adequately prepared to work in a way that is inclusive and welcomes diversity. Reflective processes and structures that welcome feedback all work to help schools/departments create inclusive and warm climates that support faculty.

CULTURE AND CLIMATE

Inclusive, warm, and supportive environments improve faculty retention. Creating a welcoming school/department climate can prevent feelings of isolation among faculty, help faculty feel valued, lead to productive research collaboration, and foster willingness to believe in the school/department decision-making process. An inclusive culture is one in which individuals, their perspectives, and their experiences are respected and valued. Though schools/departments share the responsibility of creating inclusive cultures, deans/department chairs, as leaders, can establish policies and practices that facilitate and promote that kind of culture. What follows are some suggested strategies to ensure that the message faculty receive is one of inclusion.

1.   Deans/department chairs should ensure that there is **transparency** in the way decisions for tenure and promotions are made. Deans/department chairs should make tenure and promotion guidelines, HR policies, and administrative procedures available and accessible to everyone on staff early and often. Deans/department chairs should be knowledgeable about the University's policies concerning leaves and accommodations, and should connect faculty to the administrative offices with expertise and knowledge in those areas. Whenever possible, deans/department chairs should allow faculty to be involved in the decision-making process and governance.

Knowledge and awareness of University and department policies is particularly important for junior and new faculty as expressed by a Columbia junior faculty member:

> *"A bit of orientation would be good, especially to learn Columbia logistics and processes. Then you don't waste your time on things that are not going to work and avoid unnecessary missteps."*

Columbia offers a wide range of supports and resources for its faculty, and deans/department chairs should be ready to connect their faculty to the school or University-wide support networks available to them. Orientations for new faculty are a good starting point but risk being "too much too soon" and are not enough to help new faculty acclimate to their new community. Moreover, finding support networks can be particularly challenging for underrepresented groups, so extra effort to help them get what they need is recommended.

Transparency also entails **accountability**. In order to build a trusting climate within schools/departments, there must be follow-through on grievances and concerns.

Practice Highlight:

Columbia University Irving Medical Center's Office of Faculty Professional Development offers faculty a series of workshops and programs to guide them through the promotion and tenure process:

- The Faculty Career Paths and Promotion Series covers topics ranging from overall strategies for faculty success at CUIMC to a detailed outline of the promotion and tenure process at CUIMC.

- The Ask COAP Series provides faculty with the opportunity to ask the two chairs of the Committee of Appointments and Promotions (COAP) questions about the processes and timelines for promotions at CUIMC. Ask COAP also partners with departments to host a clinic that gives faculty the opportunity to work in small groups with senior faculty to review curricula vitae in the context of criteria for academic tracks.

2. Schools/departments should be intentional in establishing opportunities for faculty to meet and interact both formally and informally. Junior faculty have expressed an interest and need for opportunities to meet with other faculty and establish supportive networks:

> *"It might be nice to have a venue for faculty to meet each other because it can be isolating. That's something a lot of universities do. Is it important for my tenure? Probably not, but it would be nice for my mental health. If Columbia were to send out—even if it were just to Arts & Sciences—a cocktail hour invitation for faculty and families: Come meet your peers. That sends a huge message that the University administration sees us as a legitimate community that is worth fostering."*

Practice Highlights:

The Columbia Center for Teaching and Learning (CTL) offers a number of ways for faculty to stay connected and build community on campus. The CTL has department liaisons who help keep the CTL informed about faculty, postdocs and graduate students' needs for programming and support, and share announcements of CTL programs and activities with colleagues in their departments.

The Office of the Vice Provost for Faculty Diversity and Inclusion and the Office of the Executive Vice President for Research host a series of faculty development sessions and social events to help faculty connect with each other.

Columbia Engineering offers Junior Faculty Social Hours as an opportunity for faculty to meet and interact with each other.

3. Schools/departments should establish **mentoring structures**. Mentors or a mentoring panel are more than just people to talk to; they are people who actively advocate and create opportunities for their mentees. Mentoring helps connect faculty to the community and helps foster a warm and welcoming climate. Mentors are an invaluable resource to faculty who are learning to navigate the institution, need advice regarding their professional development, or simply need someone to go to for social and emotional support. Faculty at all stages of their careers can benefit from mentoring relationships. One

Columbia junior faculty member described her mentoring experience as follows:

> *"My chair tells me what grants I should start applying for and, in addition to that, I had my first year review. I don't feel like I'm just showing up and doing my thing and they are doing theirs. They have integrated me into ongoing projects. I feel good about the mentoring and about the places that I can go to ask questions."*

For more guidance in establishing a mentoring program, please refer to our *Guide to Best Practices in Faculty Mentoring.*

Practice Highlight:

Columbia University Irving Medical Center hosts a series of workshops structured to help faculty develop as mentors. A wide range of topics are covered including the following:

- Career Mentorship: Find and Work Effectively with Mentors
- CVs and Insights: What You Need to Tell Your Story
- Mentorship and Mentor Training Workshop: Effective Communication, Setting Expectations, Support for Professional Development, and Mentoring across Diversity

4. Valuing different paths to excellence and considering those to be as legitimate as traditional paths of scholarship is important for the retention and inclusion of underrepresented faculty. Museus, Ledesma, and Parker (2015) state that minority faculty research is often regarded as less legitimate, especially if it relates to race. It is important for departments to respect and recognize the contributions of each faculty member. Department leaders should reward and recognize faculty work through
   a. nominations for awards and recognitions; and
   b. open recognition of work during department meetings or personal check-ins.

Practice Highlights:

Columbia shows its commitment to diversity and

rewards faculty members who demonstrate that same commitment through their work and service.
Provost's Grant Program for Junior Faculty Who Contribute to the Diversity Goals of the University: This competitive program provides opportunities for junior faculty to thrive and ultimately achieve tenure. An average of 10 faculty members per semester are each awarded a grant of up to $25,000 to use for a project of their choosing.

Presidential Teaching Awards: Department chairs, faculty, and students can nominate faculty for this award in recognition of their outstanding performance and contributions to their field and department.

Other Institutions:

Stanford University suggests that departments should reward faculty members for their productivity and contributions regardless of their mobility or interest in pursuing outside offers. As stated earlier, the strategies suggested in this guide are preemptive practices to create an inclusive and supportive environment that encourages faculty to remain at Columbia.

5. Creating an inclusive and supportive culture within departments includes establishing ***accommodating policies*** that best meet the needs of faculty. These accommodations serve to allow faculty to have a healthy work-life balance and include the following policies and practices:
   a. Dual career accommodations
   b. Flexible leave policies that help faculty balance their professional and personal responsibilities without negatively impacting their careers

Policies regarding leaves are listed in the *Faculty Handbook* and, as stated before, should be made clear and available to all faculty.

Policies regarding leaves of absence should be reviewed on an individual basis within departments and should consider the different needs that faculty may have as they are dealing with life and career transitions. Ensuring that faculty know that a leave of absence will not negatively affect their career or ability to get tenure is important, especially for junior faculty and faculty from underrepresented groups.

Practice Highlights:

Columbia has developed a wide range of policies, programs, and services to assist faculty in meeting their family responsibilities while pursuing their careers. The *Faculty Handbook* outlines several of those resources. Department chairs can also refer faculty to the Associate Provost for Work/Life for more resources, some of which are listed below.

- Parental Workload Relief program
- Dual Career Services
- Childcare Services
- Financial assistance programs for faculty caring for and educating their children
- Relocation assistance programs
- Higher Education Recruitment Consortium (HERC)

Columbia Engineering offers faculty the following:

- Child Tuition Assistance Program for K–5 for children of faculty who reside in NYC
- Housing Assistance
- Parental Leave

Other Institutions:

In an effort to support and retain junior faculty members who face the challenge of working to establish academic careers while simultaneously managing significant caregiving responsibilities, the Office for Faculty Development at Duke University School of Medicine offers the Fund to Retain Clinical Scientists at Duke. Supported by an award from the Doris Duke Charitable Foundation and Dean Mary Klotman, the Fund provides supplements of $30,000–$50,000 per year to physician-scientists with significant caregiving responsibilities.

PROFESSIONAL DEVELOPMENT

Among the factors that contribute to the advancement and retention of faculty is a climate that supports the professional development of faculty. Schools/departments should provide faculty with opportunities for career development early and often, at every stage of their careers. Regular feedback is one way that department chairs can help support the professional development and advancement of faculty.

Deans/department chairs provide such feedback to faculty during Chair-Faculty meetings. Feedback meetings should include time to brainstorm actionable steps faculty can take to improve, grow, and develop. These meetings should also be reciprocal, where deans/chairs are open to learn from faculty in their school/department. Other strategies to promote faculty professional development at every stage of their careers are outlined below.

Recently recruited faculty (junior faculty):

Departments should make coordinated efforts to help orient new faculty to the department. Professional development provides a venue through which faculty can learn about the various resources and benefits available to them. Professional development can also be targeted to provide faculty with the tools and skills necessary to succeed at a new institution. At this junior stage faculty need guidance in establishing their research, hiring and managing research assistants, running research labs, mentoring students, and navigating the University. If relevant, additional effort should be made to help them situate their family members and integrate them into the University community. Columbia offers dual career services to assist the accompanying spouses/partners of newly recruited faculty with the challenges of conducting academic and nonacademic job searches in a new location.

Midcareer faculty (tenured and nontenured faculty):

The University of Washington Faculty Retention Toolkit lists practices structured to encourage midcareer professional development. They define midcareer faculty as faculty who have been promoted from assistant professor to associate professor with tenure. At this stage, departments should provide faculty with opportunities to be creative and support them in the form of seed funding for new research directions, protective time for research, and mentors. While faculty at this stage are seemingly more settled in their roles at the university, faculty at all stages benefit from professional development. Recent studies show that after tenure, faculty experience increased dissatisfaction and disillusionment with their jobs; "associate professors are less satisfied than full professors and even than assistant professors, over whom the tenure broadsword still hovers" (Monaghan, 2017). At top research institutions like Columbia this dissatisfaction can begin two years before tenure and extend to five years after. Monaghan goes on to explain: "Disillusionment can often begin when stapled to the back of the tenure notification

is a raft of service assignments, for instance. And studies have shown that women and minority faculty members are most overloaded with service chores, and often additional teaching duties, too, and that all new associates struggle to squeeze research into their schedules." In light of these findings, it is essential that departments establish structures to continue supporting faculty through this transition, encouraging them to pursue their intellectual interests, monitoring their service and teaching commitments, and allowing them to cut back on some duties. Professional development can be targeted to address a faculty member's particular areas of growth and provide them with the tools and skills they need to improve and succeed. These proactive programs can help connect faculty to their departmental community and invigorate faculty growth. Faculty development programs, benefits, and resources are a strategy to connect faculty to resources that would help further their career development. Such opportunities can include the following:

a. Midcareer innovation grants
b. Encouraging creativity in faculty research and work
c. Guiding faculty through their track to tenure (if applicable)

Senior faculty:

Senior faculty are established in their fields. Their scholarship, research, and expertise are invaluable to our institution and often sought after by other universities. Stanford University suggests that departments, schools, and the university should provide appropriate support and recognition of individual faculty members. Faculty members should be rewarded appropriately for their productivity and contributions regardless of their mobility or their interest in pursuing outside offers. Schools should strive to ensure that professors feel appropriately valued and to dispel perceptions that outside offers are the only way to gain rewards. Like faculty at other stages of their career, senior faculty can also benefit from continued professional development, leadership opportunities, research support, and opportunities to voice concerns and receive feedback.

Practice Highlights:

Schools across Columbia support faculty professional development through several programs, awards, workshops, and resource centers. The following table highlights some of those practices.

School or Department	Trainings and Workshops	Research and Other Resources	Awards and Recognitions
ARTS AND SCIENCES	Orientation for Faculty New to Arts and Sciences at Columbia University A&S Junior Faculty Career Development Conference (includes section on Faculty Review and Advancement to Tenure) New Department Chair Orientation Transition Meeting for Incoming and Outgoing Chairs Department Chair Workshop Series Faculty Search Committee Briefings (includes section on Implicit Bias in Hiring and Review) Department Chair Workshop Series	Chamberlain Fellowships Junior Faculty Development Leave Junior Faculty Summer Research Support Program for the Humanities and Social Sciences Lenfest Junior Faculty Development Grants Tenured Faculty Research Program (TFRP)	Mark Van Doren Award for Teaching Lenfest Distinguished Faculty Award Lionel Trilling Book Award Fellowships for full-time faculty to serve as visiting faculty in affiliated institutions around the world

School or Department	Trainings and Workshops	Research and Other Resources	Awards and Recognitions
MEDICAL CENTER	The career development programs offered through the Office of Faculty Professional Development, Diversity and Inclusion aim to provide CUIMC faculty with the tools and resources they need to further advance their careers at CUIMC. Workshops and lectures cover topics such as: ▪ New faculty orientation ▪ Leadership and management ▪ Strategies for success at CUIMC ▪ NIH workshops ▪ Mentoring ▪ Balancing work and life ▪ Educator development ▪ Research team management ▪ Negotiation and conflict management ▪ CV writing ▪ Diversity and inclusion workshops ▪ Special lectures	Funding and Grantsmanship Course Grant Writing Workshops K Award Workshop NIH Grants Workshops Research Team Management Course The Kenneth A. Forde Diversity Alliance brings together minority medical students, resident physicians, fellows, graduate students, faculty, research scientists and allies across CUIMC The Virginia Kneeland Frantz Society for Women Faculty sponsors a series of programs to support women faculty	Awards granted at Commencement Dean's Distinguished Lecture in Clinical Sciences The Louisa Gross Horwitz Prize is awarded by Columbia University for outstanding basic research in biology or biochemistry
PUBLIC HEALTH	New Faculty Orientation Teaching Workshops The Office of Research Resources offers monthly seminars on a range of topics Comprehensive junior faculty mentoring program	The Office of Research Resources provides weekly funding opportunities and related notifications; offers individual assistance in identifying funding opportunities, grant prep, and review services; and serves as liaison with SPA and IRB as needed	Calderone Junior Faculty Prize to support research efforts Dean's Pilot Awards to support grant development Tow Awards to support midcareer faculty development Year-end Awards for faculty in teaching, mentoring, and leadership

School or Department	Trainings and Workshops	Research and Other Resources	Awards and Recognitions
BUSINESS	New Faculty Orientation Junior Faculty Lunches regarding Promotion and Tenure Processes	The Office of External Relations and Development supports faculty in securing external funds The Business School also offers faculty seed funding for research initiatives Research Grid Research Staff Associate Pool Summer Research Intern Program COSTAR – Faculty Research Funding	Deans Award for teaching excellence (Core & Electives) Schoenberger Faculty Award Eccles Research Fund
ENGINEERING	New Faculty Orientation for on-boarding and orienting new faculty to Columbia Engineering and Columbia University	Provides faculty with information on external grants to fund research initiatives NYSTAR Faculty Development Program SEAS Interdisciplinary Research Seed (SIRS) Funding Program to fund new collaborative research SEAS Research Equipment Assistance Program (REAP) to encourage and support shared research equipment SEAS Translational Fellows Program—provides 20 percent of the salary of selected postdoctoral researchers or late-stage doctoral students for one year to pursue commercialization of a technology that originated in SEAS research Administrative and other support for outreach programs as needed for proposals and/or interests of the faculty Support of freelance staff for preparation of larger proposals (graphics, collecting and organizing inputs, budgets) Various research enhancement programs for junior faculty to focus on research	The Janette and Armen Avanessians Diversity Award recognizes outstanding performance of SEAS faculty in enhancing diversity in departmental, school, and University programs at Columbia The Kim Award for Faculty Involvement recognizes a faculty member who has been exceptionally involved in the academic and cocurricular life of students in SEAS Provides a list of national awards that department chairs can nominate faculty for in recognition of outstanding performance

School or Department	Trainings and Workshops	Research and Other Resources	Awards and Recognitions
LAW	Hosts a series of annual and semi-annual colloquia and workshops for faculty covering a range of topics and skills including how to create inclusive classrooms	Seed funding, distributed based on annual RFP processes, to support ambitious research projects and innovative teaching Summer research stipends to augment salary, contingent on continued productivity	Willis Reese Teaching Prize, awarded annually for teaching excellence Rotating summer and academic year temporary research chairs
INTERNATIONAL AND PUBLIC AFFAIRS	Annual conferences covering a wide range of topics related to global policy initiatives	Center on Global Energy Policy Faculty Grant Program Research Grants in Internet Policy and Cyber Security SIPA Faculty Grants Program	
HUMAN RESOURCES	Part of the Human Resources Department at Columbia, the Learning and Development Team provides in-person training workshops, customized programs, and online learning resources for faculty and staff to help strengthen core professional skills		
OFFICE OF EXECUTIVE VICE PRESIDENT FOR RESEARCH	Promoting Credibility, Reproducibility, and Integrity in Research Symposium	Sponsors the Research Initiatives in Science & Engineering (RISE) funding competition, which awards seed monies to initiate groundbreaking research; all full-time faculty-level researchers within the scientific and engineering disciplines are eligible to apply for this prestigious opportunity Provides faculty with the information necessary to pursue large center grants; the name of the organization, program, deadlines for applications, amount granted, time period for grant, frequency of award, and a brief description of the program are all included in this list	

School or Department	Trainings and Workshops	Research and Other Resources	Awards and Recognitions
UNIVERSITY-WIDE	The Office of the Provost organizes the Junior Faculty Career Development Series, the Provost Leadership Fellows Program, and the Provost's Academic Leadership Institute	The President's Global Innovation Fund awards faculty with a venture fund to enable the development of projects across disciplinary and geographical lines The Office of Research Compliance and Training provides faculty with resources and support that help faculty secure competitive grants Columbia Technology Ventures Research Administration Forums can help investigators learn about funding opportunities and apply for funding Data Science Institute ROADS Provost Ignition Grant National Center for Faculty Development and Diversity Columbia University Facilities and Operations works in partnership with deans and department Chairs to ensure proper support for faculty research and lab space	Great Teacher Award Junior Faculty Diversity Grants Mid-Career Faculty Diversity Grants
CENTER FOR TEACHING AND LEARNING	CTL offers the Hybrid Learning Course Redesign and Delivery grant program to support faculty who are developing innovative and technology-rich pedagogy and learning strategies in the classroom CTL offers a wide range of workshops to support faculty development and orientation for new faculty	CTL partners with faculty who have been awarded grants to innovate in their classroom or online environments to support faculty in bringing their projects to fruition	Provost's Hybrid Learning Course Redesign and Delivery Award

LEADERSHIP DEVELOPMENT

Leadership opportunities should be available to all faculty, particularly workshops and professional development around diversity, being an ally, and creating an inclusive environment. (UT Austin Toolkit). Opportunities for leadership and the pursuit of special interests can be a way to recognize and reward outstanding performance. It is especially important for departments to establish opportunities for underrepresented faculty to develop their leadership and professional skills by providing faculty with the opportunity and support to participate in any of the following activities:

- Campus governance
- National conferences
- Leadership programs
- Research team management

Practice Highlights:

A recent University-Wide Task Force on Faculty Development identified leadership-training opportunities for senior faculty as a key pathway to enhancing academic governance. To further enhance academic governance and increase the presence of female and underrepresented minority faculty in leadership positions, the Office of the Provost has established the Provost Leadership Fellows Program. The Fellows Program aims to develop leadership skills for our outstanding tenured faculty. Fellows engage directly with key campus strategic initiatives and academic processes in ways that are responsive to the Fellows' own professional development goals and interests. Over a two-year term, participants gain greater insight into academic initiatives, strategic planning, budget issues, and challenges in higher education.

Columbia University Irving Medical Center offers faculty who currently have leadership/management responsibilities, or who wish to include these in their career goals, an annual Leadership and Management Course. The four-day program helps participants develop knowledge and skills necessary for current and future leadership positions in the academic health sciences.

SCENARIOS

What follows are some scenarios in which the strategies outlined in earlier sections can be used to guide department chairs in their conversations with faculty members as they deal with leaves of absence, counteroffers, or tenure promotions.

Counteroffer: Faculty member comes to department chair with an offer from another institution.

- Studies show that looking for outside offers is often a sign of job dissatisfaction.
    - (Price, 1977) portrays turnover as a process that begins with a series of structural and individual determinants of job satisfaction
    - There is something about faculty work life or satisfaction that predisposes faculty to accept an offer from elsewhere
    - (Barnes et al, 1998) found that time constraints and commitment were an important predictor of a faculty member's desire to leave an institution
- The University of Washington Faculty Retention Guide states that the reactive strategy of waiting for faculty to bring in outside offers both lowers morale and encourages faculty to seek external employment opportunities. Counteroffers should not be a faculty member's only way to get the attention of their department chair. Regular reviews and updates of salaries, benefits, job satisfaction, and workloads help prevent faculty from seeking outside offers.
- To improve working conditions for a faculty member a dean/ department chair can:
    - offer a lighter teaching load;
    - consider an Exemption from Teaching Duties (ETD) for that faculty member (see Faculty Handbook for criteria for ETD);
    - provide more flexibility with time commitments;
    - match the offer monetarily or in research funds; and
    - support faculty research through funding, seed monies, time, and other resources.

Tenure review: Faculty member is on track for tenure by their seventh annual review meeting.

- Leading up to this review, faculty members should have been well informed of the expectations and requirements needed to attain tenure status, and feel prepared and supported throughout the process.

- Throughout the review dean/department chairs should monitor the decision-making processes to ensure that the department is considering and valuing diverse faculty contributions and checking for any unintentional biases.

- Deans/department chairs should keep in mind that the process of tenure review is concerned with both the qualities of the nominee and the potential impact of the proposed appointment on the department.

- Deans/department chairs should be conscious of any legacies of exclusion that exist within their schools/departments and monitor faculty progress with an eye toward equity; namely, schools/departments should ask if female and underrepresented minority are being adequately guided and supported through the tenure and promotion processes.

Preparing for sabbatical/leave: Faculty member requests time off from teaching responsibilities to focus on research and family.

- Sabbaticals can be presented as an opportunity for faculty members to pursue their professional interests and step down from teaching and service commitments.

- Inform faculty that they will have the institutional support they might need to pursue their interests.

- Consider faculty time spent on administrative tasks, particularly the "invisible labor" (Matthew, 2016) that many faculty members from underrepresented groups take on, when evaluating a faculty member's eligibility for sabbatical.

- Deans/department chairs should ensure that deadlines and policies regarding sabbaticals are clear to all faculty members who are due for sabbatical.

- Deans/department chairs should consider offering faculty regular updates on what is going on while the faculty member is gone.

- Once tenured, faculty should be supported and properly trained to help them think through and plan their sabbaticals so when the time comes, faculty feel prepared to take a leave to pursue their intellectual or professional development interests.

INDICATORS OF SUCCESS

The categories in the following table are organized by activity and indicators of success to help orient deans/department chairs as they implement these strategies. This document defines indicators of success as a measure used to gauge performance. Deans/department chairs can use these metrics to develop targets to mark their progress toward creating an inclusive culture that promotes faculty retention. Setting benchmarks serves to measure progress over time, and keep departments accountable for retention efforts. Benchmarks can be set by monitoring change over time; comparisons with peer institutions or departments; and by tracking opportunities for promotions, rewards, and leadership, to monitor who gets those opportunities and check for any disparities.

Category	Activity	Indicators of Success	Tool
DATA ON HEALTH AND WELFARE OF SCHOOLS/ DEPARTMENTS	State of the school/department reviews (biannual)	Reviews show an equitable distribution of resources All faculty regardless of gender, race, or ethnicity are being compensated commensurately to their performance	Internal reviews
	Exit interviews of faculty leaving Columbia	Over time, there are fewer "exits" from departments	Exit interview transcripts
	Biannual surveys measuring job satisfaction and expectations	Faculty report feeling heard, valued, and supported Faculty respond to surveys	Survey
	Check for workload distribution	Faculty report having a balanced workload	Internal review and one-on-one check-ins
	Monitor decision-making processes; school/departmental climate and culture	Decision processes are recorded and reviewed regularly	Internal review

Category	Activity	Indicators of Success	Tool
CULTURE AND CLIMATE	Transparency in policies and expectations	Faculty accounts of awareness and knowledge of policies and expectations	Survey
	Mentoring	Number of mentoring relationships available in a school/department Faculty accounts of mentoring quality	Survey and internal review
	Networking opportunities	Number of opportunities available to faculty to meet and network with other faculty in a year	Survey
	Flexible and accommodating policies	Faculty accounts of school/department responsiveness to their particular needs	Survey and one-on-one check-ins
PROFESSIONAL DEVELOPMENT	Workshops and trainings	Number of professional development trainings and opportunities available to faculty every year	Internal review
	Grants and funding	Number of grants available to faculty	Internal review
	Administrative and technical assistance	Faculty accounts of amount of administrative support they receive in a year	Survey
LEADERSHIP DEVELOPMENT	Opportunities to develop leadership skills and participate in school/department governance	Faculty accounts of opportunities for leadership development	Survey
	Develop cultural competency skills in department leaders	Number of professional development trainings and opportunities pertaining to cultural competency available to faculty at all levels every year	Internal review

BARRIERS TO RETENTION

Barrier to Retention	Retention Strategy
Racial/Gender Isolation	• Create networking opportunities • Affinity groups • Express commitment to diversity initiatives in word and deed
Lack of Mentoring	• Establish mentoring structures • Department chairs also act as mentors • Create opportunities for faculty to meet and interact
Occupational Stress	• Check for workload balances • Provide adequate support to faculty by way of time, resources, and administrative and technical support • Consider costs of living in New York City when creating compensation packages
Devaluation of "Minority" Research	• "Minority" indicates any field of research or study pertaining to issues that affect or interest a small group of people, traditionally underrepresented in scholarship (Turner, Myers, and Creswell, 1999) • Recognize and reward different fields of work
"Token" Hire Misconception	• Provide professional development to all faculty on cultural sensitivity • Establish flexible and accommodating policies
Biases in Tenure and Promotion Practices	• Make tenure and promotion policies and expectations clear and readily available to all faculty • Monitor decision-making processes and outcomes

RETENTION PRACTICES BY FACULTY CAREER STAGE

The following two tables list retention practices by faculty career stage, and campus resources that address the particular needs of faculty at different career stages. The tables also include information that is pertinent to underrepresented faculty.

JUNIOR FACULTY		
Barriers to Retention: Feeling isolated; lack of mentoring; difficulty acclimating to new environment		
CULTURE AND CLIMATE	LEADERSHIP DEVELOPMENT	PROFESSIONAL DEVELOPMENT
▪ Provide faculty with networking opportunities ▪ Establish mentoring relationships between junior and senior faculty ▪ Inform faculty of all policies, expectations, and resources available to them	▪ Deans/department chairs should prepare to adequately mentor, support, and work with faculty ▪ Provide faculty with opportunities to participate in committees, national conferences, and department governance	▪ Guide faculty through the processes of establishing their research, hiring and managing research assistants, running research labs, mentoring students, and navigating the University
MIDCAREER FACULTY		
Barriers to Retention: Workload balance; biases in tenure and promotion practices; limited time for research		
CULTURE AND CLIMATE	LEADERSHIP DEVELOPMENT	PROFESSIONAL DEVELOPMENT
▪ Inform faculty of all policies and expectations pertaining to tenure and promotion policies ▪ Recognize and value diverse forms of scholarship	▪ Offer faculty opportunities to participate in committees, national conferences, and department governance	▪ Provide faculty with opportunities to be creative, and support faculty in the form of funding, time for research, and mentors ▪ Nominate faculty for awards in recognition of outstanding performance

SENIOR FACULTY		
Barriers to Retention: Occupational stress; workload balance; limited opportunities to expand research or obtain higher positions; pull from other institutions		
CULTURE AND CLIMATE	LEADERSHIP DEVELOPMENT	PROFESSIONAL DEVELOPMENT
▪ Support faculty through this transition ▪ Encourage faculty to pursue their intellectual interests ▪ Monitor their service and teaching commitments, allowing faculty to cut back on some duties	▪ Provide leadership training opportunities for senior faculty as a key pathway to enhancing academic governance ▪ Train faculty on cultural sensitivity, being an ally, and sustaining an inclusive climate	▪ Facilitate targeted professional training and development for faculty

UNDERREPRESENTED FACULTY		
Barriers to Retention: Racial and gender isolation; feeling like the "token" hire; devaluation of diverse research and scholarship; "minority tax" for uneven service burden		
CULTURE AND CLIMATE	LEADERSHIP DEVELOPMENT	PROFESSIONAL DEVELOPMENT
▪ Establish flexible and accommodating policies for faculty to meet their diverse needs adequately ▪ Monitor decision-making processes to check for any implicit biases ▪ Connect faculty to affinity groups and other resources on and off campus ▪ Create mentoring structures for faculty ▪ Check for behaviors or norms in the school/department that may create a hostile or unwelcoming environment for faculty members	▪ Train leadership and all faculty on being culturally sensitive and responsive ▪ Offer faculty opportunities to participate in committees, national conferences, and department governance	▪ Ensure that female and underrepresented minority faculty are not overburdened with responsibilities of being the "token" member of an underrepresented group ▪ Nominate faculty for awards in recognition of outstanding performance

CAMPUS RESOURCES

FOR JUNIOR FACULTY

- The Columbia Center for Teaching and Learning (CTL) offers a number of ways for faculty to stay connected and build community on campus

- Provost's Grant Program for Junior Faculty Who Contribute to the Diversity Goals of the University

- The Lenfest Junior Faculty Development Grants were established in 2015 to provide additional financial support to junior faculty to help complete projects to meet the expectations for tenure

FOR MIDCAREER FACULTY

- Several research funding opportunities across campus to support and encourage faculty at this stage to pursue their intellectual interests

- Provost's Grant Program for Mid-Career Faculty Who Contribute to the Diversity Goals of the University

- Data Science Institute

- Office of the Executive Vice President for Research

- CTL partners with faculty who have been awarded grants to innovate in their classroom or online environments to support faculty in bringing their projects to fruition

FOR SENIOR FACULTY

- The Provost Leadership Fellows Program aims to develop leadership skills for some of our outstanding tenured faculty

- The Columbia University Irving Medical Center (CUIMC) Summer Institute for Teaching and Learning is a one-day workshop for junior faculty or senior faculty who have taken on a new teaching role

- The CUIMC Leadership and Management Course for Faculty is a four-day program designed for faculty who currently have leadership/management responsibilities or who wish to include these in their career goals

FOR UNDERREPRESENTED FACULTY

- The Earth Institute NSF ADVANCE Program provides funding for women scientists, departments and research centers

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