

College of Business

FACULTY BYLAWS

Affirmed by senior faculty vote: September 30, 2017

I. MEMBERSHIP AND VOTING RIGHTS

1) Full Faculty Appointments – All lecturers, research professors, tenure track professors and tenured professors with full time appointments.

2) Associated Faculty Appointments (See Appendix A: College Policies and Procedures for Adjunct and Joint Appointments in the College of Business)

Only full faculty appointments have voting privileges at faculty meetings.

Attendance at and voting at faculty meetings can be expanded to other College of Business faculty classifications.

II. GOVERNANCE

1) Executive Committee

The senior faculty in the College of Business act at the Executive Committee.

2) Administrative Positions and Program Directors appointed by the Dean

- (a) Associate Dean for Academic Programs
- (b) Director of Research & Faculty Evaluation
- (c) Director of Faculty Mentorship
- (c) Director of Undergraduate Studies
- (d) Director of the MBA Program
- (e) Director of the PhD Program (program under development)
- (f) Director of the Business Leaders Program
- (g) Associate Dean for Academic Integrity
- (h) Center Directors (Innovation Center, Human Resources Management, Finance)

3) Committees

(a) Standing Committees

Graduate Admissions

Undergraduate Admissions

Curriculum Committee (Chaired by Associate Dean for Academic Programs)

Assurance of Learning (Chaired by the Assistant Dean for Curriculum, Accreditation, & Student Services)
Academic Standing
Academic Integrity
Faculty Performance Review and Mentoring
Promotion and Tenure Committee
Awards
Seminar/Colloquia—for the College and by areas within the College
Alumni

Members are chosen by the Dean or the Chair in consultation with the Dean taking into account composition requirements (e.g., need for senior faculty, desire to have student representatives) and faculty who volunteer to serve on a committee.

4) Ad Hoc Committees

These are appointed by the Dean as needed. Examples are faculty search and promotion & review committees.

5) Meetings

(a) Regular Meetings: The Faculty will meet as needed to plan and prepare for the operation of the College of Business and the delivery of the curriculum. Meetings shall be scheduled by the Dean and held at least once per academic semester and as otherwise scheduled by the Dean. The location of the meetings shall be at the offices of the College of Business or, if due to inaccessibility of space therein, at another location on the West Campus of Stony Brook University as determined by the Dean.

(b) Special Meetings: A special meeting of the Faculty may be called at any time by one or more full-time faculty representing in the aggregate faculty entitled to cast not less than 10% of the votes at a meeting.

If a special meeting is called the request shall be in writing, specifying the general nature of the business proposed to be transacted, and shall be delivered personally or sent by registered mail or by email, fax, telegraphic or other facsimile or electronic transmission to the Dean who, upon determination that such special meeting has been properly called, shall schedule a time and location (which shall be no less than ten days after the date of the notice and during normal business hours, and on the Stony Brook University Campus, respectively) for such special meeting. No business may be transacted at such special meeting otherwise than specified in such notice. Nothing contained in this paragraph shall be construed as limiting, fixing, or affecting the time when a meeting of Faculty called by action of the Dean may be held.

(c) Notice: All notices of meetings of Faculty shall be in writing and shall be delivered personally or sent by registered mail or by email, fax, telegraphic or other facsimile or electronic transmission to the Dean and all full-time faculty entitled to vote at any faculty meeting not less than 10 nor more than 90 days before the date of the meeting. The notice shall specify the place (if any), date and hour of the meeting, and in the case of a special meeting, the purpose or purposes for which the meeting is called.

As used herein “email” shall mean the electronic mail address used by a faculty member for official University business or, if a faculty member does not have such electronic mail address, the electronic mail address on file for such faculty member at the Office of the Dean.

As used herein “Dean” or “Office of the Dean” shall mean the Dean, Acting Dean, or the respective office thereof.

(d) Quorum

Majority of full time faculty in residence

(e) Voting Procedures

According to Roberts Rules of Order

Action by Written Consent; Meetings by Conference Telephone.

Unless otherwise restricted by the University or these bylaws, any action required or permitted to be taken at any meeting of the faculty may be taken without a meeting if all faculty entitled to vote in a meeting of the faculty are notified, and two thirds of the faculty so entitled to vote consent thereto in writing or by electronic transmission, and the writing or writings or electronic transmission or transmissions are filed with the minutes of proceedings of the faculty. Such filing shall be in paper form if the minutes are maintained in paper form and shall be in electronic form if the minutes are maintained in electronic form.

Unless otherwise restricted by the University or these By-Laws, any one or more faculty may participate in a meeting of the faculty by means of conference telephone or similar communications equipment by means of which all persons participating in the meeting can hear each other. Participation in a meeting by each means shall constitute presence in person at the meeting.

III. OPERATIONS OF THE COLLEGE

1. Organization Structure

The College is led by a Dean appointed by the Provost. The Dean appoints area heads with the concurrence of the faculty in the area. The current organization of areas are management (including organizational behavior and operations management), marketing, finance, and accounting.

2. Area Head Responsibilities

Area heads carry out responsibilities working closely with all faculty members in the area. Responsibilities include:

Overseeing and in conjunction with the office of the dean:

- Course scheduling,
- Assurance of learning measurement and curriculum improvement,

- Curriculum management - course leadership,
- Faculty performance reviews,
- Promotion and tenure reviews,
- Faculty mentoring,
- Extracurricular programming,
- Search committees,
- Guest speakers,
- Participation in Senior Faculty meetings and advising dean on policy decisions and budget allocations,
- Conducting regular area faculty meetings,
- As needed, attendance at various events to support recruitment and fund raising.

1) Curriculum Development.

All changes to the Undergraduate and Graduate Programs as described in Undergraduate and Graduate Bulletins must be submitted to the College Curriculum Committee, which reviews undergraduate and graduate curricula. The committee will hold open meetings regarding these changes and make a recommendation to the College of Business Faculty. The proposed changes then will be discussed and voted upon by members of the Curriculum Committee. Proposals for a new program (minor, major, or graduate degree) will be brought to the full faculty for discussion and vote.

2) College of Business Policies and Procedures for Associated Appointments in the College of Business. (See Appendix A)

3) Procedures for Promotion and Tenure. The College's Criteria for Promotion and Tenure (see Appendix B) and Annual Performance Review (see Appendix C) and Faculty Mentor's Program (see Appendix D) are followed consistent with university and union mandated procedures.

4) Procedures for Contract Renewals of non-tenured faculty (Lecturers, Adjuncts, Visiting Appointments, etc.). The University procedures are followed.

5) Procedures for Searches and Hiring of New Faculty.

- Areas of need are identified and discussed at a faculty meeting,
- Dean submits request to Provost to open a search or searches,
- A Search Committee is appointed by the Dean to review files.

Tenured, tenure-track, and non-tenure-track faculty can serve on a search committee. A search committee must have at least one member from another area within the College and one member from another College. The Chair of the search committee must be a tenured faculty member in the department. In the case of split appointments, the dean will decide on the appropriate composition of the committee depending on the intended proportions for the joint appointment. If a candidate applies who has a connection to a member of the search committee (e.g., the candidate has been a research collaborator, academic advisor, or co-author with the search committee member), the member will recuse him or herself from discussion and voting on the candidate.

- An open faculty meeting is called to invite applicants to present a seminar and discuss

research.

(e) The faculty in the academic area of the opening discuss the candidates and makes a recommendation to the Dean.

(f) The Dean makes an appointment recommendation to the Provost that is consistent with the consensus of the area faculty.

6) Procedures for Dealing with Grievances: Faculty, Graduate Student, Undergraduate Student (other than guidelines set by the Undergraduate Affairs Academic Judiciary Committee and UUP)

Faculty-The grievance is brought to the Dean.

Graduate Student-The grievance is brought to the Graduate Program Director and reviewed by the Associate Dean for Academic Integrity.

Undergraduate Student- The grievance is brought to the Director of Undergraduate Studies and reviewed by the Associate Dean for Academic Integrity.

IV. OTHER AREAS

1) Determination of Distribution of Discretionary Funds.

The Dean distributes discretionary funds by taking into account the recommendations made by faculty and staff as detailed in the Annual Faculty Performance Review process.

2) Determination as to how to Rectify Salary Inequities.

The Dean rectifies salary inequities by taking into account the recommendations made by faculty and staff and reviewing these recommendations with the Provost. Provost's approval is needed for any salary adjustments.

3) Determination of Faculty Workload (including teaching or service in other Colleges).

The Dean determines the workload in consultation with the faculty.

4) Determination of Rights and Responsibilities of Retirees.

Negotiated on an individual basis with the Provost and Dean.

5) Endowments.

True Endowments. Endowment funds are those received from external donors with the restriction that the principal or gift amount is to be retained in perpetuity and cannot be spent.

Term Endowments. Endowment funds where all or part of the principal may be expended depending on donor wishes.

V. AMENDMENTS TO COLLEGE BYLAWS

All amendments to the bylaws must be submitted to the senior faculty in advance of a senior faculty meeting and require approval by two thirds of the senior faculty to become part of the Bylaws.

Appendix A

COLLEGE POLICIES AND PROCEDURES FOR ASSOCIATED APPOINTMENTS IN COLLEGE OF BUSINESS

The full-time faculty of the College of College of Business recognizes that scholars holding associated appointments can make valuable contributions to our goals of teaching, research, and public service in the College of Business. Such appointments, which are made by the University administration on recommendation by the College, constitute a resource that we hope to optimize through the following policies and procedures. These policies and procedures are based on the policies of the Office of the Provost. The Provost's policies will take precedence in the event of a conflict.

Associated appointments consist of cross-departmental academic appointments of regular fulltime Stony Brook faculty and unsalaried or courtesy appointments of external scholars:

We expect that those holding associated appointments will make a substantial contribution annually in teaching, research, or service activities to the College. There are four types of associated appointments: (1) Affiliated Faculty, (2) Joint (title) Faculty, (3) Joint (budgetary) Faculty, and (4) Unsalaries Faculty.

1. Affiliated designates a secondary appointment of a Stony Brook faculty member whose primary appointment and budget line lie in another College. No title of designation is used. Affiliated faculty may participate in the College's administrative structure and graduate and undergraduate research and teaching programs. Rights and responsibilities in the College of Business are granted and assigned by the Dean. Typically affiliated faculty do not have voting rights but may be invited to participate and vote in specific committees or deliberations.

2. Joint (title) designates a secondary appointment of a Stony Brook faculty member whose primary appointment and budget line lie in another College. Title of designation is Assistant, Associate, or Full Professor of X and Y. Rights and responsibilities in College of Business are granted and assigned by the Dean. Joint title faculty may participate fully in the College's administrative structure and graduate and undergraduate research and teaching programs.

3. Joint (budgetary) designates an appointment of a Stony Brook faculty member with a primary appointment in two Colleges. Full rights and responsibilities lie in both Colleges unless limited at the time of appointment. Title of designation is Assistant, Associate, or Full Professor of X and Y. Joint budgetary faculty are expected to participate fully in the College's administrative structure and graduate and undergraduate research and teaching programs. A Memorandum of Understanding (MOU) between the two Colleges determines the details of the budgetary agreement.

4. Unsalaries designates an appointment of an external scholar. Unsalaries faculty may participate in the College's administrative structure and graduate and undergraduate research and teaching programs. Rights and responsibilities in College of Business are granted and assigned

by the Dean. Typically unsalaried faculty do not have voting rights but may be invited to participate and vote in specific committees or deliberations.

5. Appointment and Reappointment Procedures.

- a. A scholar who holds a regular academic appointment in a College other than College of Business may be considered for an affiliated or joint title appointment in College of Business at a qualified rank at the same level as the primary appointment. Such an appointment shall be coterminous with the primary appointment up to a five year limit before being subject to renewal. The College Dean appoints an ad hoc committee of faculty to explore the College's interest in the appointment or reappointment of Affiliated and Joint (title) Faculty. This committee provides a report to the appropriate group (depending on the academic rank of the proposed appointment) of voting full-time faculty. Formal solicitation of external referees will not be initiated in these proceedings. The faculty group will, with the Dean, decide whether to recommend to the University administration that the new appointment or renewal be made.
- b. When a Stony Brook faculty member with a primary appointment outside the College of Business College but with an affiliated or joint title appointment within College of Business is reviewed for reappointment or promotion in academic rank, it is expected that the primary College will consult with the College of College of Business during the review process. Advancement in academic rank for faculty with affiliated or joint title appointments will not be automatic with respect to the qualified rank held within the College of Business College.
- c. When a Stony Brook faculty member with a joint budgetary appointment is reviewed for reappointment or promotion in academic rank, both Colleges or schools process the personnel action according to mandated University procedures. Tenure and advancement in academic rank for faculty with joint budgetary appointments are necessarily effective in both Colleges.
- d. Suggestions for unsalaried appointments or their renewal will be received by the College Dean, who will appoint an ad hoc committee of the faculty to explore the College's interest in the appointment or reappointment and make a report to the appropriate group (depending on the academic rank of the proposed appointment) of the voting full-time faculty. Formal solicitation of external referees will not be initiated in these proceedings. Unsalared appointments shall be for a maximum of a three-year term before being subject to renewal.

Appendix B

STONY BROOK UNIVERSITY COLLEGE OF BUSINESS PROMOTION AND TENURE GUIDELINES

Introduction

The College of Business at Stony Brook University has a Promotion and Tenure Committee (PTC) that is consistent with the Policies of the Board of Trustees, State University New York, Article XII, Title A, paragraph 4 and Title B, paragraph 2. [..\\State University of New York, Article Xii, Title A, paragraph 4 and Title B, paragraph 2\\BOTPoliciesrevised.pdf](#). It is also consistent with AACSB standards for accreditation and processes at other business schools, including those of comparable size of the Stony Brook College of Business (40-50 faculty members).

College of Business Criteria for Promotion and Continuing Appointment

The Policies of the Board of Trustees, State University New York, Art. XII, Title A, Paragraph 4 and Title B, paragraph 2 indicate the elements which should be weighed in evaluation of candidates for promotion and/or continuing appointment (tenure): “recommendations of academic employees, or their appropriate committees, or other appropriate sources may consider, but shall not be limited to consideration of, the following:

“(a) Mastery of subject matter -- as demonstrated by such things as advanced degrees, licenses, honors, awards and reputation in the subject matter field as evidenced in part, by publication in highly respected journals in the respective field and presentation at professional conferences of one’s research efforts.”

“(b) Effectiveness in teaching -- as demonstrated by such things as judgment of colleagues, development of teaching materials on new courses and student reaction, as determined from surveys, interviews and classroom observation.”

“(c) Scholarly ability -- as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the art of publications and reputation among colleagues.”

Grants and funded research are encouraged when available in particular disciplines, recognizing that such funding is not expected or customary in most areas of business

research and education. Nor are patents expected or likely as they are in other professional disciplines.
“(d) Effectiveness of University service and service to the field -- as demonstrated in such things as College and University public service committee work, administrative work, and work with students or community in addition to formal teacher-student relationships. Moreover, evidence of service in one’s field is present when serving on the editorial board or as Editor/Associate Editor of top academic journals, serving as a reviewer for such journals or as a discussant or chairperson during academic conferences.”
“(e) Continuing growth -- as demonstrated by activities to keep abreast of current developments in his/her fields and being able to handle successfully increased responsibility.”
<p>To further the commitment to affirmative action at SUNY Stony Brook, the following additional criterion will be applied when evaluating candidates for promotion and/or continuing appointment (tenure):</p> <p>(f) Contributions to enriching the life of the University by correcting discrimination and encouraging diversity -- as demonstrated by teaching, University service, or scholarship concerning women and minorities. Besides reports from professionals within a field, colleagues, and students, a candidate’s effectiveness may be assessed by accepting a diverse range of publications and modes of service that address the contributions, interests and special needs of minorities or women and promote efforts to achieve equal opportunity.</p>

Documentation of contributions in scholarship, teaching and mentoring of students, and service:

Scholarship

High quality scholarship as evidenced in the following:

- Curriculum Vita
- Written statements by the candidate
- Samples of work
- Publications in peer reviewed journals
- Books and book chapters
- External financial support
- Sources citing candidate’s work to indicate its significance
- Letters from national and international experts in the field
- External letters and reviews documenting significance, novelty, and creativity
- Reports of committees that reviewed previously un-reviewed material
- Presentations at national and international meetings
- Presentations at other institutions

- Service on regional, national, and international policy committees

Teaching and Mentoring of Students

The practice of teaching and mentoring of students is distinct from the scholarship of education. Documentation of quality teaching and mentoring can consist of the following items but is not limited to these items:

- Statement summarizing mentoring and teaching philosophy and activity
- Statement describing initiation or substantial revision of courses or curriculum
- Peer reviews of teaching
- Assessments of learning outcomes and data pertaining to student achievement
- Summary of course evaluation surveys
- Testimonials from students
- Testimonials from faculty
- Sample syllabi, assignments, and examinations

Service

The candidate is expected to have made at least one significant service contribution to the College each year. Documentation of significant service contributions can consist of the following items but is not limited to these items:

- Summary of administrative service within the College and university
- Summary of service on College and University committees
- Summary of activities in regional and national professional organizations

Evaluation Process for Promotion and Tenure

When an assistant professor is hired, the standard appointment for a new PhD is a three year term, renewable for an additional three years, with the decision to renew recommended after the annual performance review at the end of the assistant professor's second year. Review for promotion and tenure is made during the sixth year. Review for promotion and tenure may be made earlier for assistant professors who had prior faculty experience before coming to Stony Brook or whose record is worthy of early consideration for promotion after the annual performance review and upon recommendation of the senior faculty in the area with the concurrence of the dean. Associate professors can be considered for promotion to full professor upon recommendation of the full professors in the area with the concurrence of the dean.

Promotion Review Committee (PRC)

When a faculty member is being considered for promotion, the dean appoints a promotion review committee consisting of at least two senior faculty members, one of whom, likely a faculty member from the candidate's area, is designated as the chair. The other senior faculty member will be from the candidate's area or, ideally, from another area in the College of Business. Also, the committee must include one senior faculty member from an appropriate department in another college within the university. If one or more of the senior faculty on the PRC are also on the College PTC, they will recuse themselves from the PTC decision. If this

situation occurs, the dean may appoint other senior faculty member who are not currently on the PTC to serve on the PTC for purposes of reviewing the candidate.

The PRC reviews the candidate's research, teaching, and service record and requests outside letters. The candidate submits eight to ten names of referees, and the committee develops another list of eight to ten names of referees, none of whom have co-authored works or has other conflicts of interest with the candidate. The committee then selects at least five referees from each list to invite to write letters of support for the candidates' promotion. When the candidate's file is complete and has been reviewed by the committee, the committee members vote, and the chair writes a summary letter with a recommendation. The file, with the committee's letter of recommendation and record of each member's vote (with any abstentions accompanied by written explanation) is then submitted to senior faculty members who will not be voting as a member of the PRC or PTC.

Senior Faculty Review

Senior faculty members who will not be voting as a member of the PRC or PTC will be given a chance to review the file and record their vote for, against, or abstain, with abstentions accompanied by written explanations. The file will then be submitted for review by the College Promotion & Tenure Committee.

College of Business Promotion & Tenure Committee (PTC)

The PTC members will be appointed by the dean after recommendation by the area heads. The PTC will review files submitted by the Promotion Review Committees. For each candidate, the PTC will submit a summary of recommendation and a record of the vote for, against, or abstain, by each member of the PTC. An abstention needs to be accompanied by a written explanation.

The College of Business PTC will consist of six senior faculty members serving three year terms. The members shall be at least one associate or full professor representing each of five discipline areas: accounting, finance, marketing, operations management, and organizational behavior/human resources, and one member at large with this member rotated among the five areas. Additional members may be appointed if needed for a given case. When an associate professor is being considered for promotion to full, the PTC must be comprised of at least three full professors from other areas. (Note: The first year, the dean will appoint two members for three year terms, two for two year terms, and two for one year terms.) As stated above, if one or more of the senior faculty on the PRC are also on the College PTC, they will recuse themselves from the PTC decision. If this situation occurs, the dean may appoint other senior faculty member who are not currently on the PTC to serve on the PTC for purposes of reviewing the candidate.

Dean's Review and Recommendation

After receiving the candidate's file, the recommendations of the Promotion Review Committee (PRC), College Promotion and Tenure Committee (PTC), and additional senior faculty, the dean reviews the file and prepares a letter of recommendation for submission to the provost. If the

provost recommends promotion, the provost submits the file to the president, who in turn submits files with a positive recommendation to the SUNY chancellor.

Promotion and Tenure Process Timeline

Fall/Spring Due Date¹	Initiator(s)	Action to be Taken	Documents Needed
Sept 15/Mar 5	Area head	Area review for candidates seeking early promotion/tenure	Letter to dean
Sept 20/Mar 10	Dean in consultation with area heads	Formation of Promotion Review Committee	
Oct 1/Mar 23	Candidate	Candidate submits promotion and tenure form and supporting documentation to Assistant Dean for Finance & Administration	X:\Promotion and Tenure\Promotion and Tenure Form\Promotion and Tenure Form.doc
Oct 8/Mar 30		Promotion Review Committee meets and selects referees	
Oct 15/Apr 6	Chair, Promotion Review Committee and Assistant Dean for Finance & Administration	Invitation sent to referees	Sample Letters of solicitation\Sample letter of solicitation for appointment with tenure.docx Sample Letters of solicitation\Sample letter of solicitation for promotion and-or continuing appointment.docx
Nov 30/Apr 20	Chair, Promotion Review Committee and Assistant Dean for Finance & Administration	Referee letters due	
Jan 31/June 20	Chair, Promotion and Tenure Committee/Assistant Dean for Finance & Administration	File to Promotion Review Committee due	
Mar 1/Aug 21	Chair, Promotion and Tenure Committee	Promotion and Tenure Committee Chair's letter due	
Mar 15/Sept 4	Assistant Dean for Finance & Administration	Senior faculty vote due	
Apr 1/Sept 18	Promotion Review Committee Chair	File to Promotion and Tenure Committee due	
May 1/Oct 18	Promotion and Tenure Committee	File to Dean due	
May 15/Nov 1	Assistant Dean for Finance & Administration	File to Provost due	

¹In exceptional cases, the senior faculty may suggest that a tenure track faculty member be reviewed for early tenure and the review can be initiated with the concurrence of the candidate. An assistant professor may request to be reviewed for early tenure. This request should be made to the area head by Sept. 1 (or Feb. 17) and reviewed by the senior faculty by Sept. 8 (or Feb.

24).

The Candidacy File

The candidacy file contains three sections:

1. The Biographic File - This is submitted by the candidate and is available to all who have a right to contribute to the evaluative files.

Biographic file contents:

- a. Tenure and Promotion form [X:\Promotion and Tenure\Promotion and Tenure Form\Promotion and Tenure Form.doc](#)
- b. Candidate CV and other relevant career information
- c. List of publications by category
 - i. Books and monographs
 - ii. Papers (refereed journal papers, refereed conference papers, non-refereed papers)
 - iii. Abstracts, book reviews
 - iv. Miscellaneous published material (optional)

If a book is edited, then pages of text that have been written by the candidate should be indicated. Abstracts should be so designated. In all instances, authors should be listed as they are on the title page. If the profession follows a special convention for identifying senior authorship, this should be so indicated.
- d. Presentations that have not been published should be listed in an appropriate place into the following categories:
 - i. Invited scholarly lectures and symposia
 - ii. Other lectures or presentations
- e. Copies of the candidates scholarly work divided into the following categories
 - i. Recommended for review by candidate
 - ii. All work
- f. Teaching contributions to included, but not limited to:
 - i. Contributions toward curricular development
 - ii. Design, redesign or teaching of new or existing courses and laboratories
 - iii. Quality of in-class teaching
 - iv. Support of students' learning outside of the classroom
 - v. Use of effective and innovative pedagogical approaches
 - vi. Advising, mentoring and supervising of students
 - vii. Evidence that course goals have been met;
 - viii. Experiences outside of university settings that can be adapted to teaching at the university
 - ix. Contributions to the scholarship of learning and teaching. In some of the categories, the candidate may choose to emphasize special contributions towards undergraduate or graduate education.
 - x. A statement of teaching goals and initiatives and a list of courses taught since the candidate's last appointment or promotion shall be supplied. The list must indicate the title and number of the course, the class

enrollment, whether it is required or elective, the group of students for which it is intended (e.g., undergraduate majors) and a brief description of the course and its place in the program.

- g. For new faculty coming from outside the university and for faculty within the College of Business who have worked students in other departments, the candidate's M.S. and Ph.D. students and their thesis titles shall be listed, together with their dates of graduation. For those graduate students who have not yet completed their degree requirements, a brief account should be given of the status of the students' progress and the anticipated dates of degree completion. If the M.S. or Ph.D. thesis is funded by a project, then the name of the sponsor should be included as well as a statement as to whether any of the work has been performed outside the department or University.
- h. Candidate's research with students at undergraduate or master's level. List students, dates, project, publication and presentation.
- i. Service contributions should be arranged in the following categories:
 - i. Departmental service
 - ii. University service (College level and above)
 - iii. Professional service outside the University
 - iv. Community service associated with field of specialization or with the University. The account should plainly indicate dates of service and roles taken (e.g. member; chair of committee) and should mention any special contribution (e.g. prepared 56 page report on undergraduate curriculum reform). When individuals have a lengthy record of service, the list may be limited to a representative selection of activities.
- j. A list of the membership of the professional societies, technical sessions/meetings organized/chaired, symposium or conference volumes edited, and technical review panels served.
- k. The completed biographic file with the dated signature of the candidate should be submitted to the area head.

2. The General Evaluative File - The general evaluative file will contain all supervisory evaluations.

- a. These include the reports of the Dean and the Provost as well as the chair's letter summarizing the views and recommendations of the appropriate faculty group, and the chair's own letter (if this is different from the former). These letters should provide a clear and specific summary of the case while still preserving the confidentiality of solicited opinions. This may be done by referring in the letters to "such and such a point raised by Professor X, It or the statement from Referee Y. A key identifying X and Y by name should be provided for these references and included in the special evaluative file, but not seen by the candidate. The general evaluative file will also contain the recommendation of the Promotion and Tenure Committee on the case.
- b. It is assumed that the College of Business makes a continuous inquiry into faculty teaching performance. This should include, but not be limited to, the use of questionnaires distributed in class and course evaluations done by faculty. For internal cases (and to as great an extent as possible, for external cases as well)

the area head or a designated representative, such as the undergraduate or graduate program director, shall provide a comprehensive evaluation of the candidate's teaching effectiveness. This should be based on the material described in the previous paragraph and the material provided by the candidate, as well as any additional evidence on these matters gathered by the College. Summaries of student responses to questionnaires distributed in class should be included in this division of the file. They should indicate the course number and title, the semester in which the course was offered, the number of students registered, and the number of responses. A copy of the questionnaire should be attached.

The Department should make it clear to the candidate at the beginning of his or her appointment the importance placed on the teaching record in the promotion and tenure decision.

- c. When writers of solicited letters have given permission for the candidate to see their letters, copies of their letters (either as written or with identity of source and authorship removed, as specified by the writer) will be included in the General Evaluative File. The originals will stand in the section of the Special Evaluative File that contains solicited evaluations from outside referees, colleagues and students.
3. The Special Evaluative File – The special evaluative file should contain all solicited recommendations (outside referees, faculty and students) other than those of the supervisory of the candidate.
- a. It is expected to contain substantive written evaluations from at least eight authorities from peer or aspirational US institutions in all cases of promotion to higher rank or continuing appointment or both. These letters must be from distinguished scholars who, at minimum, have rank higher than that of the candidate, and preferably have rank of full professor. The letter writers should not be collaborators within last four years, colleagues, members of the candidate's graduate department during the time he or she was a graduate student, or postdoctoral supervisors. Such letter writers will be referred to in this document as mandatory letter writers and their letters as mandatory letters. In addition to these eight mandatory letters, up to six other letters may be solicited from authorities who might not necessarily satisfy the requirements of mandatory letter writers. See sample letter in point f.

As a matter of general practice, the Dean urges all areas overseeing promotion and tenure reviews to solicit external-referee letters from senior colleagues (normally holding the rank of full professor with tenure) at AAU-level research universities. There will, of course, be situations and circumstances where associate professors and/or colleagues from colleges, non-AAU universities, non-profit organizations, non-governmental organizations, and corporate entities may be utilized in review. This will normally have to do with the special expertise and skills of those individuals. Those special circumstances should be noted in cover-

letters to review files (as appropriate) -- and they are also, of course, hopefully documented in the resumes provided for each referee. The opinions of our senior colleagues at our peer institutions (and their equivalents) should be earnestly sought throughout our academic personnel review processes.

- b. Each letter in the file should have attached to it a statement identifying the writer, explaining why she or he has been chosen to evaluate the case, and indicating the relationship, if any, with the candidate if that is not stated in the letter of reference. No letter of evaluation in the candidate's file should be older than two years.
 - i. The candidate's referee list: The candidate suggests a list of eight to ten referees, none of whom have co-authored works or has other conflicts of interest with the candidate. The candidate should be sure to include referees from AAU schools. The committee will then select at least five from this list to request letters of support for the candidate's promotion.
 - ii. The committee's referee list: The committee develops another list of eight to ten names of referees being sure to include referees from AAU schools. None of the potential referees should have co-authored works or have other conflicts of interest with the candidate. The committee will then select at least give from this list to request letters of support for the candidate's promotion.
- c. The Promotion Review Committee should take care to choose a group of reviewers who can provide a comprehensive evaluation of the candidate's professional accomplishment. When the candidate's work spans more than one discipline, care should be taken to engage specialists from the several disciplines. A brief sketch of the reviewers' expertise should be included in the file. If for any reason an outside reviewer is unable to provide a careful evaluation, additional reviewers must be solicited to make up the required minimum. All correspondence to potential reviewers must be included in the file.
- d. The letters sent by the chair or the chair of the ad hoc committee to solicit the referees' opinions should be accompanied by the candidate's curriculum vitae as well as by reprints and/or preprints selected by the candidate. The soliciting letter should contain all the substantive points included in the sample.

[Sample Letters of solicitation\Sample letter of solicitation for appointment with tenure.docx](#)

[Sample Letters of solicitation\Sample letter of solicitation for promotion and-or continuing appointment.docx](#)

It should request the referee:

- i. to include specific evaluation of the candidate's scholarly or professional achievements, especially with reference to the candidate's most recent

work (rather than merely to comment on the general character or promise of the candidate

- ii. to compare the candidate's scholarly or professional contributions with those of national or international leaders in the candidate's field who are at a comparable career stage
- iii. to provide information, when possible, about the candidate's teaching effectiveness
- iv. if helpful, to comment on whether the candidate would be granted tenure and/or promotion in the reviewer's own institution
- v. to indicate whether his/her letter of evaluation is to be held confidential or whether the candidate may read it either as it stands or with all identification of source and writer expunged. Prospective writers must be told that confidentiality will be maintained unless they explicitly specify otherwise.

SAMPLE LETTERS

Sample letter of appointment with tenure

Dear Dr. _____:

We are considering the appointment of _____ with tenure. To help us confirm the tenure decision, we would appreciate your assessment of Dr. _____'s professional achievements and standing in the field of _____.

For your convenience a current curriculum vitae and representative sample of publications are enclosed. Please also see the website link for more information about our school, the College of Business at Stony Brook University.

<http://www.stonybrook.edu/commcms/business/index.html>

We would especially value your expert opinion on the quality, originality and importance of the candidate's research and your estimation of the candidate compares in professional accomplishments with others at similar stages in their career or holding comparable academic rank. It would also be useful to know your opinion as to whether a candidate of Dr. _____'s qualifications would receive tenure at your institution. Any other information you can supply regarding the candidate's effectiveness in teaching or her/his national or international reputation in her/his field of research would be greatly appreciated. Please indicate to what extent you have had occasion to interact personally with the candidate.

The candidate will not have access to your letter of reference unless you give us specific permission, in writing, to provide a copy to her/him. Such a written statement of permission from you must specify whether the candidate may see your letter in its entirety, as written, or only with all identification of source or authorship deleted. Thank you for your collegial assistance in helping us to reach an informed decision in this matter. My colleagues and I appreciate the time and care which you devote to this evaluation. Due to procedural deadlines, we need to receive your letter by _____.

Sincerely yours,

Chair, Promotion Review Committee
Enclosures

Sample letter of solicitation for promotion and/or continuing appointment:

Dear Dr. _____:

We are considering the promotion of _____ from (rank) _____ to (rank) _____ with tenure. In order to help us confirm the promotion with tenure decision, we would appreciate your assessment of Dr. _____'s professional achievements and standing in the field of _____.

For your convenience a current curriculum vitae and representative sample of publications are enclosed. Please also see the website link for more information about our school, the College of Business at Stony Brook University.

<http://www.stonybrook.edu/commcms/business/index.html>

We would especially value your expert opinion on the quality, originality and importance of the candidate's research and your estimation of how the candidate compares in professional accomplishments with others at similar stages in their career or holding comparable academic rank. It would also be useful to know your opinion as to whether a candidate of Dr. _____'s qualifications would be promoted with tenure at your institution. Any other information you can supply regarding the candidate's effectiveness in teaching or her/his national or international reputation in her/his field of research would be greatly appreciated. Please indicate to what extent you have had occasion to interact personally with the candidate.

The candidate will not have access to your letter of reference unless you give us specific permission, in writing, to provide a copy to her/him. Such a written statement of permission from you must specify whether the candidate may see your letter in its entirety, as written, or only with all identification of source or authorship deleted. Thank you for your collegial assistance in helping us to reach an informed decision in this matter. My colleagues and I appreciate the time and care which you devote to this evaluation. Due to procedural deadlines, we need to receive your letter by _____.

Sincerely yours,

Chair, Promotion Review Committee
Enclosures

- e. All letters soliciting opinions from outside authorities, all responses received from them, (including those who decline or are unable to write), and all solicited letters (those contributed under these procedures) from within the University must be included in the file.
- f. For internal cases (and if possible for external cases as well), signed letters on teaching shall be included. The Promotion Review Committee should solicit opinions from colleagues, from past or present departmental directors of graduate or undergraduate studies and from graduate or undergraduate students who have been taught by the candidate. In requesting letters from students the Promotion Review Committee should be careful not to place a student in a conflicting situation (in particular, a letter should not be requested from a student who is currently an advisee of, or in a class being taught by, the candidate). Three to five letters from prior students would be ideal.
- g. When the candidate has engaged in teaching, research or service in the University, but outside of the department of appointment, letters from those in a position to evaluate these contributions should be included in the candidacy file.

Appendix C

ANNUAL PERFORMANCE REVIEW PROCESS

INTRODUCTION

The purpose of the APR (Annual Performance Review) is to gain a snapshot of a faculty member's overall workload and performance for a given calendar year. The APR process will enable the faculty member to gain feedback from the senior faculty in his/her area and the Dean of the COB regarding areas of excellence in performance as well as those that are satisfactory and/or may need improvement. For tenure track faculty members, the APR shall serve as an annual informational device to enable the faculty member to gain a clear and temporal perspective of how their performance is perceived and valued in terms of either progress toward tenure and/or promotion to a higher rank within the COB and the university. Once completed, the APR will be reviewed by a COB committee that has been appointed by the Dean of the COB. The committee is to be made up of a Full, Associate and Assistant Tenure Track faculty member of the COB in addition to a full time non-tenure track member. The latter will ONLY evaluate other Full Time non-tenure track members. Evaluation will range on a four point scale from Excellent (1) to Very Good (2) to Good (3) to Needs Improvement (4) on three dimensions inclusive of research productivity; Teaching excellence; and service to the COB, the university and to the outside community. An overall evaluation will also be made across all three dimensions as a function of the work load profile of each faculty member¹.

Your APR is due on the first Friday of the spring semester (January 31st 20XX) and reflects performance for the prior calendar year. However to gain a more temporal perspective of your overall performance, your record over the prior three years should also be submitted for review. This can be accomplished for the most part by submitting a complete CV with your APR form.

At this time you must also provide an electronic copy of your vita to your area head.

ANNUAL PERFORMANCE REVIEW

SBU College OF BUSINESS

Name

Department

I. FACULTY WORKLOAD PROFILE (using 9 pt. scale)

Teaching:

Research or Scholarship:

Service:

¹ The Work Load profile of a given faculty member is mainly a function of their course-load, tenure track or non-tenure track status and rank within the school. The profile involves assignment of nine points across the categories of research, teaching, and service. For example, a tenure track Assistant professor might be assigned 3 points for teaching (3 courses); 5 points for research and 1 point for service. A non-tenure track full-time faculty member might be assigned 6 points for teaching (6 courses); 1 point for research; and two points for service. Finally, a full tenured professor might be assigned 4 points for teaching (4 courses); 3 points for research; and 2 points for service. These work load profiles are to be determined by discussion with the Dean of the COB and the appropriate area head.

II. TEACHING

Courses taught during January 1st, 20XX through December 31st, 20XX

From Courses Taught and Teaching Evaluations

Please note whether the course was an overload, a new course preparation, etc.

You may also want to explain or qualify the teaching ratings and to describe innovations, new materials, team-teaching, etc.

Teaching-related awards and honors received:

Please indicate where appropriate any teaching honors or awards you have received (also at the National level)

Academic Advising:

Indicate if you have done any Academic Advising such as Honors students or Thesis Development

Teaching-Related Faculty Mentoring Activities:

You could indicate here work you have done or assistance you have given to other faculty members during the year.

Executive Education and Other Non-Credit Teaching:

All such activity should be documented

III. RESEARCH AND SCHOLARSHIP

Papers, Books, or Book Chapters Published or Accepted

The 20XX APR will include any papers for which you've designated a 20XX date for "Date Submitted", "Date Accepted", or "Date Published". In addition, you'll note that at the bottom of the APR, will be a list of (among other things) papers not yet submitted as of 20XX.

In addition to this information, we will also furnish your APR committee with a list of all papers submitted, accepted, or published from January 20XX through the present, so that they can view a longer-run of your research productivity. Please also include:

1) **History of where this paper has been presented NOT submitted.**

(This could be gleaned from multiple-year analyses of the "Presentations" information, but we're asking you to simply put the institutions or conferences where you've presented the paper).

2) **Any additional information you want the APR committee to know about his paper.**

Explanation of your research productivity

"Feel free to explain or qualify any gap or slow-down in your research productivity, or add any additional information you think would be useful in helping the APR committee form a more complete subjective assessment of your research productivity."

Presentations and Conferences:

Please indicate the conferences that you attended for the calendar year. Also note those

conferences where you either presented a paper or served in the roll as a Session Chair or Discussant.

Research-Related awards and honors received:

Please include any prizes, and/or awards or special recognitions related to your research.

Research-Related Faculty Mentoring Activities

Please note and faculty mentoring activities that you have done over the year inclusive of reading manuscripts in preparation for review or for example, providing advice on teaching in the form of teaching notes or slides.

Research Funding during 20XX

Please indicate whether you received summer research support from the COB or have procured other research funding from either outside of the university or outside of the COB and within the school.

IV. SERVICE

College of Business Service

Please indicate the various committees you serve on within the school and whether or not you are the Chair of the committee or co-chair.

University Service

Please indicate the various committees you serve on at the University Level and whether or not you are the Chair of the committee or co-chair.

Professional Service

Please indicate whether you serve on Editorial review Boards; your review activities (as an ad-hoc reviewer for specific journals or for annual conferences).

Public/Community

Please indicate your service to the public/government/community which can come in the form of in-class projects, special assignments for the business school or from other sources.

Other

For example arranging a conference on campus, or making contact with prospective donors to the business school.

Media exposure

The hope here is that you'll get in the habit of adding an entry whenever you have a media event such as talking to a reporter or giving an interview. If you don't keep track of such things, that's fine, but then it won't be factored into your APR. We consider such exposure valuable to the reputation of the business school.

V. SUPPLEMENTARY INFORMATION

Consulting and Expert-Witness Activities

A limited amount of these activities is complementary to both our research and teaching missions and we therefore encourage it. Nonetheless, potential conflicts of interest arise (in terms of both legal conflicts and trade-offs between time spent in such activities vs. time devoted to SBU). Please refer to the SBU Faculty Handbook for limitations on the amount of consulting you can do during the year.

Directorships and Management Responsibilities

Please list any Directorships and Management responsibilities you may have outside of SBU.

Financial Interests

Please indicate all entities having a relationship to the University in which you have a significant financial interest (ownership of 5% or more).

Impact on Profession

One important way of enhancing the reputation of SBU and the COB is to demonstrate the impact of our work on changing (improving) the related disciplines that we serve. This is particularly important at SBU because in the Mission Statement of both the University and the COB is the focus on doing interdisciplinary research. Please feel free to describe the impact of your efforts on the state of the art practiced in their area of expertise or profession. For example, you might describe how a particular research project has changed the manner in which organizations operate or has contributed to a change in policy or regulation or how marketers can help public policymakers develop campaigns to promote cessation of smoking.

Other information

Describe anything else you would like included in your annual performance review that has not been collected elsewhere that you feel should be taken into account in assessing your contributions for this year.

Appendix D

FACULTY MENTORSHIP PROGRAM

To foster a nurturing academic environment for faculty development, the COB implements the following measures to carry out the program for mentoring Assistant and Associate professors. In this document, junior faculty refers specifically to tenure-track Assistant Professors or non-tenure-track Research Professors in the College, while senior faculty refers to tenured Full Professors and Associate Professors

1. Each junior faculty member is required to have one senior faculty member within the COB and one senior faculty member outside of COB at SBU in a related discipline as mentors. Each junior faculty member may have several mentors for different aspects of the university life, but there should be one principal mentor who coordinates the overall mentoring process.
2. The junior faculty should work with the Dean and the Director of Research to select mentors. The mentee may change his or her mentor during the course of their employment in the COB but changes can only occur after six months of the mentor/mentee relationship has passed. Such changes must be reported to the Director of Research.
3. Newly promoted Associate Professors may also have a faculty mentor if they desire. The selection of the mentor should be based on mutual willingness and interest of the mentee and mentor. The Director of Research must be informed of such arrangements.
4. The roles of mentors are to provide guidance, assistance, and feedback to the mentee in research, teaching and service. The mentoring program does not intend to establish formal research collaboration between mentors and mentees, although in general collaboration between senior and junior faculty members are encouraged and beneficial for faculty development.
5. Suggested practices and roles of mentors are included in the attached “Suggested mentor roles in mentee development.” Tenure criteria in the COB should be used as the guideline for the mentoring of Assistant Professors. Criteria for promotion to Full Professor in the College of Business of the University should be used as the guideline for the mentoring of Associate Professors.
6. The following activities should be followed to ensure the success of the program:
 - The mentor and the mentee are encouraged to meet at least once every semester to specifically discuss the overall progress of the mentee and relevant issues.
 - Mentees should report issues and concerns directly to the Director of Research.
 - The Director of Research will monitor the effectiveness of this program and make

adjustments if necessary.

- Annual anonymous surveys will be conducted to improve and ensure the effectiveness of the program.
 - Faculty mentoring is supplementary to the annual faculty evaluation process that is detailed in the COB by-laws.
7. Faculty mentoring is an important investment of the COB for the development and retention of our faculty and the commitment to our programs. The COB will recognize faculty mentoring as an important service of the senior faculty to the college and university. In addition, good mentors will be recognized by the Provost's Office through Mentor Awards each year.

Suggested Mentor Roles in Mentee Development

College of Business (COB), Stony Brook University

The mentorship program is a necessary and beneficial tool to help junior faculty to prepare for the university Tenure and Promotion process as well as to integrate junior faculty into the university culture as an active and long-term contributor to the intellectual environment on campus. We suggest mentors to initiate the relationship with mentees to start the mentoring process. We list the roles and suggested practices of mentors, which mentors can select from to initiate, cultivate, and develop this relationship. The mentor-mentee pairs are responsible for selecting the suitable practices that benefit the mentee's development.

1. The roles of mentors are to provide guidance, assistance, and feedback to the mentee in research, teaching and service.
2. Mentors should also serve as an advocate to shield the mentee from excessive teaching and committee duties.
3. Mentors are encouraged to or may consider:
 - Providing feedback on quality and quantity of scholarship, research funding, teaching performance, and service within the college, the university and the profession.
 - Being a sounding board for research ideas, methods, analyses, manuscripts, and results interpretation.
 - Helping selecting professional references
 - Providing friendly reviews of papers and directions for journals.
 - Giving advice about shaping a program of research that has impact.
 - Discussing about pedagogy and giving feedback and suggestions about best practices of engaging and effective teaching.
 - Providing introductions to scholars in the field.
 - Introducing and encouraging participation in academic seminars on campus that are relevant to the research and teaching of the mentee.

Connecting mentees with business communities that help improve the mentee's teaching and research relevance to practice.

4. External mentors are expected to supplement the roles of internal mentors by providing information and guidance such as about university policies, expectations, resources regarding scholarship, teaching, and service.
5. Mentors ought not to provide advice in any other areas outside of the academic settings of research, teaching, and service, such as administrative issues or personal matters. Instead, mentors should direct mentees to the appropriate sources on campus for guidance.