

College of Business

FACULTY BYLAWS

Affirmed by Senior Faculty Vote: March 4, 2021

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) Associate Dean for Research and Faculty Development
- c) Co-Directors of the Undergraduate Business Program
- d) Co-Directors of the MBA Program
- e) Director of the MS Accounting Program
- f) Director of the MS Finance Program
- g) Director of the Undergraduate Business Honors Program
- h) Center/Lab Directors
 - Blockchain Business Lab
 - Butterklee Finance and Behavioral Decision Lab
 - Cap Lab
 - Center for Finance
 - Center for the Integration of Business Education & Humanities
 - Center for Performance Measurement
 - Center of Entrepreneurial Finance
 - Consumer Affiliative Processes Lab
 - Center for Human Resources Management,
 - Innovation Center
 - Leadership & Creativity Research Lab
 - Island Federal Credit Union Research Lab
 - Trading and Investing Lab

3. Committees

a) Standing Committees

- Graduate Admissions
- Undergraduate Admissions
- Assurance of Learning (Chaired by the Assistant Dean for Curriculum, Accreditation, & Student Services)
- Academic Standing
- Curriculum Committee (Chaired by the Associate Dean for Academic Programs)
- Faculty Performance Review and Mentoring
- Promotion and Tenure Committee
- Scholarship and Awards Committee (Chaired by the Assistant Dean for Finance & Administration)
- Seminar/Colloquia for the College and by areas within the College
- Strategic Planning Committee (Chaired by the Associate Dean for Academic Programs)

Members are chosen by the Dean or by 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.

- b) Ad Hoc Committees - These are appointed by the Dean as needed. Examples are faculty search and promotion & review committees.

4. 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 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 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.

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. In conjunction with the office of the dean, responsibilities include overseeing:

- 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.

3. 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.

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

5. 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.

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

7. Procedures for Searches and Hiring of New Faculty:

- a) Areas of need are identified and discussed at a faculty meeting
- b) Dean submits request to Provost for approval to open a search or searches
- c) 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.

- d) 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 open position discusses 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.

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

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

- a) 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.
- b) 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) Unsalariated 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 members 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 the 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. Unsalariated designates an appointment of an external scholar. Unsalariated 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 members do not have voting rights but may be invited to participate and vote in specific committees or deliberations.

Appointment and Reappointment Procedures

- 1) A scholar who holds a regular academic appointment in a College other than the College of Business may be considered for an affiliated or joint title appointment in the 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.
- 2) 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 the 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 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.
- 3) 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.
- 4) 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. Unsalaries 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.

<https://www.suny.edu/media/suny/content-assets/documents/boardoftrustees/SUNY-BOT-Policies-Jan2019.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.”

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):

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.

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 Promotion and Tenure Committee (PTC), they will recuse themselves from the PTC decision. If this situation occurs, the dean may appoint other senior faculty members 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 who 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 evaluation for the candidates' promotion. When the candidate's file is complete and has been reviewed by the committee, the members of the committee 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 those senior faculty members not be voting as a member of the Promotion Review Committee (PRC) or Promotion and Tenure Committee (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 to the College Promotion & Tenure Committee for its review.

College of Business Promotion & Tenure Committee (PTC)

The members of the Promotion & Tenure Committee will be appointed by the dean after recommendations are made 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. 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 members 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. The recommended timeline is outlined below:

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	Promotion and Tenure Form
Oct 8/Mar 30	Chair, Promotion Review Committee and Assistant Dean for Finance & Administration	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 letter of solicitation and introduction of the College (See pp. 17-19).
Nov 30/Apr 20	Chair, Promotion Review Committee and Assistant Dean for Finance & Administration	Referee letters due	
Jan 31/June 20	Chair, Promotion Review Committee and Assistant Dean for Finance & Administration	File to Promotion Review Committee due	
Mar 1/Aug 21	Chair, Promotion Review Committee	Promotion Review Committee Chair's letter due	
Mar 15/Sept 4	Assistant Dean for Finance & Administration	Senior faculty vote due	
Apr 1/Sept 18	Assistant Dean for Finance & Administration	File to Promotion and Tenure Committee due	
May 1/Oct 18	Promotion and Tenure Committee	Promotion and Tenure Committee Chair's letter and candidate file to Dean due	
May 15/Nov 1	Dean and Assistant Dean for Finance & Administration	Dean's letter and candidate 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. The biographic file contents include:

- a) Tenure and Promotion form
- 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, symposia 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 U.S. 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 five 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.

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) 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.
- 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.

SAMPLE LETTERS

Sample letter of appointment with tenure

Dear Dr. _____:

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

For your convenience Dr. _____'s Biographic File is enclosed. Please also see an introduction of the College and the website link for more information about the College of Business at Stony Brook University and its faculty.

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

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. 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 ask that you kindly submit 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 with 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 Dr. _____'s Biographic File is enclosed. Please also see an introduction of the College and the website link for more information about our school, the College of Business at Stony Brook University and its faculty.

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

<https://www.stonybrook.edu/commcms/business/about/faculty/>

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. 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 ask that you kindly submit your letter by _____.

Sincerely yours,

Chair, Promotion Review Committee

Enclosure

Introduction of the College of Business, Stony Brook University

Stony Brook University is the State University of New York (SUNY) at Stony Brook. It is a center of academic excellence and an internationally recognized research institution. After less than 60 years of existence, it is consistently ranked among the top 100 universities in the nation, the top 40 public universities, and it is a member of the Association of American Universities (AAU). The University has about 27,000 students enrolled annually in over 2000 undergraduate programs and 140 graduate programs.

The College of Business is among the youngest colleges on campus, formed in 2006 growing out of a small management program established twenty years earlier. The College has over 40 FTE faculty, 1230 undergraduate majors, nearly 100 undergraduate majors at SUNY Korea, over 300 MBA students, and nearly 100 students in the MS programs in Finance, Accounting, and in Seoul, S. Korea, Technology Management Program.

As a business school at a flagship public research university, we offer our students, faculty, and members of the business community, interdisciplinary resources. The College's research and teaching draws upon the sciences, mathematics, psychology, engineering, medicine, liberal arts, and fine arts to stimulate opportunities for technological innovation and economic development. Our faculty come from some of the most prestigious universities in the world including, but not limited to, Carnegie Mellon, Chicago, Harvard, Kansas, Michigan, Northwestern, Ohio State, Rutgers, Penn State, Tulane, UC Santa Barbara, Virginia and Yale. Our faculty falls within the research areas of Accounting, Finance, Management (Organizational Behavior and Operations Research/Decision Analytics), and Marketing. Nearly ten members with joint or affiliate appointments are from such departments as Applied Mathematics, Economics, Political Science and Medicine.

Tenure track faculty members have a regular teaching load of 2+2 (four sections per year) with an average of two to three preparations for junior faculty and three or more preparations for tenured faculty. Teaching relief of one section is usually provided in the first two years for new hires. An annual research budget is available to each tenure-track or tenured faculty member. As there is no doctoral program in the College, faculty members usually draw research volunteers from undergraduate and masters programs by mentoring the students in return, or hire research assistants by using external grants or funding. Teaching assistants are not routinely provided, but can be requested for large sections. The College maintains subscriptions to basic databases in Wharton Research Data Services (WRDS). Each area runs its own speaker series and research seminars.

The College encourages its faculty to publish in the best journals both within their disciplines and across disciplines. It is the home to multiple interdisciplinary research centers and labs initiated by the faculty. These centers and labs provide platforms for faculty research, opportunities for student experiential learning, and resources for local and regional business communities, including the Block Chain Business Lab, Butterklee Finance and Behavioral Decision Lab, Cap Lab, Center of Entrepreneurial Finance, Center for Finance, Center for the Integration of Business Education & Humanities, Center for Performance Measurement, Consumer Affiliative Processes Lab, Center for Human Resources Management, Innovation Center, Leadership & Creativity Research Lab, Island Federal Credit Union Research Lab, Trading and Investing Lab

Appendix C

ANNUAL PERFORMANCE REVIEW PROCESS

A. Purposes of Annual Performance Review (APR):

1. Faculty Self and Peer Assessment Process
 - a) To provide constructive feedback to all faculty members annually, with appropriate criteria recognizing the faculty member's status—tenure track, tenured, research professor, or lecturer. Feedback should be formative, aimed at improvement and growth, recognizing strengths and overcoming weaknesses.
 - b) To conduct initial review by peers, to ensure fairness and input from multiple perspectives for a comprehensive evaluation by the Area Head.
 - c) For tenure track faculty, to provide a review of progress toward tenure and recommendations relative to College of Business and Stony Brook University standards.
 - d) For non-tenure track faculty, to provide a review of performance relative to the position expectations of College of Business and Stony Brook University.
 - e) To give faculty members the opportunity for self-assessment and subsequent discussion of progress with their Area Head and mentors within and outside the College.
2. Faculty Performance Evaluation Process
 - a) Faculty self and peer assessments provide inputs for Area Head to conduct performance evaluations and have feedback discussions with individual faculty member.
 - b) Faculty self and peer assessments, and Area Head's performance evaluations provide inputs to the Dean for oversight and awarding discretionary salary increases.

B. Proposed Annual Performance Review (APR) Process:

Step 1: Self-assessment (April 1st - September 10th)

1. Each faculty member shall start the self-assessment process near the academic year-end, in April, in order to solicit early feedback from mentors or peers. Each faculty shall go through the self-assessment by filling out the faculty performance assessment report. (April 1st - April 30th).
 - a) See appendix C.1 for the template of "Faculty Assessment Report Form"
2. Faculty members who have assigned mentors should share the report draft with her/his mentor for feedback and revision before submission. Generally, faculty members should consider soliciting early feedback from a peer faculty member. (April 30th - September 1st).
3. Each faculty submits the faculty performance assessment report, typically by September 10th, which covers the previous 12-month period ending on August 31st.
 - a) See Appendix C.2 for examples of faculty contributions in research, teaching, and service areas.
 - b) Faculty Qualifications follow the definitions by AACSB.

- c) Area Heads should also complete the self-assessment process for themselves and as evaluation inputs for the Dean.

Step 2: Peer assessment (September 11th - September 30th)

1. Peer Review Committee:

- a) Peer Review Committee members are elected by Area faculty and serve for a two-year term.
- b) Each area shall elect one to two tenured faculty members and one teaching faculty. Two or more closely related areas in research may voluntarily share one committee or selected committee members, determined by Area Heads in these areas.
- c) The Committee applies a staggered term with an initial two-year term for one tenured faculty member and an initial one-year term for the other tenured faculty member and the teaching faculty member, with a two-year term for newly elected members afterwards. The terms are based on the calendar year(s) from January 1st through December 31st.

2. Peer review process:

- a) Tenure-track, tenured, and research faculty members
 - i) Reviewed by the two tenured faculty members in the area's Peer Review Committee.
 - ii) For purposes of their own evaluation, members in the Peer Review Committee shall replace themselves with another senior faculty member from the Peer Review Committee of a related research area.
- c) Teaching faculty (lecturers)
 - i) Reviewed by one tenured faculty member and the teaching faculty member in the area's Peer Review Committee.
 - ii) Members in the Peer Review Committee shall replace herself/himself with another teaching faculty from the Peer Review Committee of a related teaching area.
- d) Area Heads are assessed by the area's Peer Review Committee based on her/his corresponding faculty category.
- e) Peer review materials:
- f) Faculty assessment report and CV (from Digital Measures covering the 12-month assessment period).
- g) Peer review report:
 - i) The Peer Review Committee shall place the faculty member who is being reviewed into one of four ratings ("Excellent", "Very Good," "Good," and "Need improvement") under the dimensions of research, teaching, and service, as well as for the overall performance based on the collective views of the Committee.
 - ii) Narrative summaries should provide explicit justification for the category placement.
- h) Faculty feedback
 - i) Individual faculty will be given opportunities to acknowledge and comment on the peer assessment before it is submitted to the Area Head.

Step 3: Performance evaluation (October 1st - October 31st)

1. Area Head shall communicate with each faculty member to determine the workload in research, teaching, service, and administration at the start of the evaluation period.
2. Performance evaluation is conducted by the Area Head based on inputs from the faculty member's self-assessment and the peer committee's assessment.
3. The Area Head shall submit the performance evaluation form with her/his review to the Dean and provide feedback discussions with each faculty member.
4. See Appendix C.3 for the template of "Faculty Performance Evaluation Form."
5. Faculty self and peer assessments, and the Area Head's Faculty Performance Evaluation report provide inputs to the Dean for oversight and awarding discretionary salary increases
6. The Dean shall conduct performance evaluations of Area Heads and Associate Deans.

Appendix C1: Faculty Performance Summary Report
COLLEGE OF BUSINESS
ANNUAL FACULTY PERFORMANCE ASSESSEMENT REPORT

For the 12 month period ending August 31st, #### Due October 30th, ####
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Peer Review Committee Assessment (for committee use)

Peer review committee, please use one of the following categories to summarize your assessment: “Excellent”, “Very Good,” “Good,” and “Need improvement.”
Assessment is based on the collective Peer Review Committee view.
Narrative summaries should provide explicit justification for the categories.

	Research	Teaching & Advising	Service / Administration	Overall
Peer Review Committee				
Summary and Comment:				
Faculty Comment (Faculty will be informed of the peer review result before it is submitted to Area Head. N/A refers to faculty consent to Peer Review Committee assessment; faculty may change N/A to comments if disagreement exists): N/A				

INSTRUCTION

Please complete the form that summarizes your activities for the assessment period.

For examples of contributions in research, teaching, and service areas please refer to Appendix A, and for definitions of faculty AACSB status, refer to Appendix B of the “Faculty Assessment and Evaluation Processes” document.

Name		
Rank		
Area		
AACSB Faculty Qualification (check one)	Scholarly Academic (SA) ____	Practice Academic (PA) ____
	Instructional Practitioner (IP) ____	Scholarly Practitioner (SP) ____

Note: Please include brief discussion of your plan for improvement in the next year under

“Improvement,” and your general short and long-term goals under “Insight,” among other things.

RESEARCH

Summarize your contributions in scholarly activities and professional development, including, but not limited to, refereed journal articles, book chapters, or books that are accepted, under revision for resubmission, presented in conferences, workshops, and seminars, grants activities, and professional contributions, such as serving as editor, referee, program committee, and etc.

1	
2	
3	
4	
5	
Strength	
Improvement	
Insight	

TEACHING

Summarize your teaching contributions, including, but not limited to, the courses and number of students you taught, the students and projects you advised, the activities in the student clubs, societies, labs that you have advised, and the pedagogical innovations you implemented.

1	
2	
3	
4	
5	
Strength	
Improvement	
Insight	

SERVICE

Summarize your service contributions (including administration) at the Area, College, and University levels.

1	
2	
3	
4	
5	
Strength	
Improvement	
Insight	

Additional Notes and Comments (Optional)

Describe any challenges that you have had in the past 12 months that may have interfered with your research, teaching, and service and that you wish the Peer Review Committee to take into consideration

during the review.

1	
2	
3	

Appendix C.2: Examples of Faculty Contributions

Below is a list of examples of faculty contributions in research, teaching, and service areas that are consistent with the College expectations for promotion and tenure. The list is not exhaustive and subject to modification based on faculty feedback.

Dimension and Broad Criteria	Examples that demonstrate achievements and impacts
<i>Research</i> Demonstrate the world status of expert in the research field	● Have a number of top tier publications and a number of high quality publications that are comparable in both quality and quantity to the recently promoted peers at peer institutions. Top tier publications refer to discipline-relevant elite journals, which may include, but not limited to, the FT-50 journals, ABS chartered Academic Journal Guide (used by AACSB) 4 and 4* journals, UT-Dallas list of journals, as well as interdisciplinary premier journals that are relevant to faculty research areas and recognized by senior faculty in the area. ● A substantial number of citations in Google, JCR, or other research networks that are comparable to recently promoted peers at peer institutions ● Present physically or virtually in research seminars and workshops in a number of universities, organizations, and other research entities. ● Serve on editor positions or editorial boards of major academic and practitioner journals ● Serve on committees or other roles in major academic associations or conferences ● Serve as referees for a number of major academic journals and/or domestic and international funding agencies ● A number of media citations to demonstrate broad impact of research ● Book chapters or books published with major publishers with evidence of impact on broad audience ● Patents or innovations derived from published research ● Play a leadership role in the relevant research area in the College by leading research collaborations, mentoring junior faculty, and applying external grants to promote publications and academic reputations of the area
<i>Teaching</i> Demonstrate the effectiveness and innovation in teaching and student advising	● Teach a variety of courses with significant enrollment track records ● Teaching evaluation demonstrates effectiveness based on student feedback ● Lead curriculum reforms to improve existing programs, student experiences, and enrollment ● Engage in substantial student mentoring that results in better student experiences, more internship opportunities, improved job placements, and stronger student job performance and career trajectory ● Engage in mentoring excellent students to enhance their likelihood to pursue advanced, especially Ph.D. degrees

<i>Service</i> Demonstrate significant involvement and leadership in serving the College, the University, and the business community	● Create new programs that bring in revenues to, enhance reputations and broaden impacts of the College of Business ● Serve on or lead important committees at the Area, the College, the University, or the business community levels based on individual willingness, interest, and perceived impact. ● Engage in grant applications, fundraising, collaboration with businesses and nonprofits to provide more student scholarship, research awards, internships, and student opportunities. ● Organizing area research seminars and speaker series ● Engage in presentations and interviews that promote the activities and status of the College and University ● Lead and engage in research centers that enhance the College of Business research impact and provide student opportunities and outreach to the local business community. ● Engage in organization of professional conferences providing service to the professional field ● Manage research labs and coordinate student and alum activities ● Organize or coordinate College- or University-level major events ● Mentor student organizations

Appendix C.3 Faculty Performance Evaluation Form (to be completed by Area Head)

Faculty Information *(Copied from Faculty Performance Assessment Report)*

Name		
Rank		
Area		
AACSB Status Maintained (check one)	Scholarly Academic (SA) _____	Practice Academic (PA) _____
	Instructional Practitioner (IP) _____	Scholarly Practitioner (SP) _____

Work Load	Teaching & Advising	Research	Service/ Administration	Supplementary Activities
Spring				
Summer				
Fall				

Peer Review Committee Assessment (by Peer Review Committee)

(Copied from Faculty Performance Assessment Report)

Peer review committee, please use one of the following categories to summarize your assessment:

“Excellent”, “Very Good,” “Good,” and “Need improvement.”

Assessment is based on the collective Peer Review Committee view.

Narrative summaries should provide explicit justification for the categories.

	Research	Teaching & Advising	Service / Administration	Overall
Peer Review Committee				
Summary and Comment:				
Faculty Comment (Faculty will be informed of the peer review result before it is submitted to Area Head. N/A refers to faculty consent to Peer Review Committee assessment; faculty may change N/A to comments if disagreement exists): N/A				

Performance Evaluation (by Area Head)

Area Head, please use one of the following categories to summarize your assessment: “Excellent”, “Very Good,” “Good,” and “Need improvement.” Narrative summaries should provide explicit justification for the categories.

	Research	Teaching & Advising	Service / Administration	Overall
Area Head				
Summary and Comment:				

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 Associate Dean of Research and Faculty Development 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 Associate Dean of Research and Faculty Development.
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 Associate Dean of Research and Faculty Development 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 Associate Dean of Research and Faculty Development.
 - The Associate Dean of Research and Faculty Development will monitor the effectiveness of this program and make adjustments if necessary.
 - The Dean and the Associate Dean of Research and Faculty Development will monitor the effectiveness of this program and make adjustments as necessary.
 - 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, and 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.