

Appendix B of the Bylaws

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.”

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 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 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.

[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.