

FACULTY HANDBOOK

The State University of New York, Korea



February 16, 2023

Table of Contents

1. CHARTER OF SUNY KOREA	7
CHAPTER I CHARTER OF SUNY KOREA	8
Article I General Provisions	8
Article II Curriculum	8
Article III Academic Environment	9
Article IV Academic Management	9
Article V Administration of Global Campus	9
Article VI Benefits	10
Article VII Long-term & Short-term Strategies	10
CHAPTER II OTHERS	11
Article I Approval and Amendments	11
Article II Change Log	11
 2. GENERAL OPERATION POLICIES	 12
CHAPTER I SUNY KOREA OPERATION POLICIES	13
Article I Construction and Application	13
Article II Definitions	13
Article III University Officers	14
Title A. President	14
Title B. University Administrative Officers	14
Title C. University Administrative Organization	15
Article IV University Faculty	15
CHAPTER II OTHERS	17
Article I Approval and Amendments	17
Article II Change Log	17
 3. APPOINTMENT POLICIES	 18
CHAPTER I SUNY KOREA APPOINTMENT POLICIES	19
Article I Definitions	19
Article II Department Search Committee	19
Article III General Provisions	20

Article IV Appointment at Honorific Title	22
Title A. Appointment	22
Title B. Qualifications.....	23
Article V Appointment at Engineering and Technology Practice Track	23
Title A. Overview	23
Title B. Appointment	24
Title C. Qualification	25
Title D. Promotion Guidelines.....	27
Title E. Faculty Governance	27
Article VI Appointment of Professional Teaching Position	27
Title A. Appointment	27
Title B. Continuing Appointment (Qualified Academic Rank).....	28
Article VII Appointment at Non-Tenure Position.....	31
Title A. Appointment.....	31
Article VIII Appointment at Tenure Track Position	33
Title A. Appointment.....	33
Article IX Appointment at Tenure Position and Promotion (Academic Rank)	34
Title A. Continuing Appointment (Tenure Position).....	34
Title B. General Procedures	35
Article X Affiliated, Joint and non-Salaried Appointments.....	36
Title A. Affiliated Appointment	37
Title B. Joint Appointment	38
CHAPTER II OTHERS.....	39
Article I Approval and Amendments	39
Article II Change Log	39
 4. EVALUATION POLICIES	 40
CHAPTER I EVALUATION POLICIES	41
Article I General Provisions.....	41
Title A. Evaluation of Academic Employees.....	41
Title B. Promotion of Academic Employees	42
Article II Annual Faculty Reviews (Academic Rank)	43
Title A. Annual Reporting and its Submission Periods	43

Title B. Contents and Format of an Annual Report	43
Title C. Criteria for Faculty Annual Evaluations	45
Title D. Evaluation Details	46
Article III Third- and Fifth-Year Reviews (Academic Rank)	47
Title A. Procedure	47
Title B. Contents and Format of a Third- and Fifth-Year Report	48
Title C. Criteria for Third- and Fifth-Year Evaluations	50
Article IV Tenure and Promotion Reviews and Guidelines (Academic Rank)	51
Article V Annual Faculty Reviews (Qualified Academic Rank)	68
Title A. Annual Reporting and its Submission Periods	68
Title B. Contents and Format of an Annual Report	68
Title C. Criteria for Qualified Academic Rank	70
Title D. Criteria for Qualified Academic Rank with Administrative Responsibilities	71
Title E. Evaluation Details	72
CHAPTER II OTHERS	73
Article I Approval and Amendments	73
Article II Change Log	73
Article III Appendix	74
 5. GRIEVANCE POLICY	 77
CHAPTER I GRIEVANCE POLICY	78
Article I Overview	78
Article II Procedures	78
CHAPTER II OTHERS	80
Article I Approval and Amendments	80
Article II Change Log	80
 6. LEAVE POLICY	 81
CHAPTER I LEAVE POLICY	82
Article I Sabbatical Leave	82
Article II Other Leaves	83
Article III Other Absences	83
Article IV Limitations	84

CHAPTER II OTHERS.....	85
Article I Approval and Amendments	85
Article II Change Log	85
 7. TERMINATION AND RETIREMENT POLICIES	 86
CHAPTER I TERMINATION AND RETIREMENT POLICIES	87
Article I Termination of Service	87
Title A. Automatic Termination	87
Title B. Termination for Age or for Physical or Mental Incapacity	87
Title C. The University’s Discretionary Termination.....	87
Title D. The University’s Right to Terminate.....	87
Article II Retirement	88
Title A. Voluntary Retirement	88
Title B. Retirement for Physical or Mental Incapacity	88
Title C. Privileges after Retirement	88
 CHAPTER II OTHERS.....	 89
Article I Approval and Amendments	89
Article II Change Log	89
 8. DISCIPLINARY POLICIY	 90
CHAPTER I DISCIPLINARY POLICY	91
Article I Disciplinary Action.....	91
Causes and Kinds of Disciplinary Action	91
Article II Faculty Disciplinary Committee.....	91
Title A. Establishment and Organization of Faculty Disciplinary Committee.....	91
Title B. Term of Office of External Committee Members	92
Title C. Causes of Exclusion.....	93
Title D. Duty of Confidentiality.....	93
Article III Disciplinary Decisions	93
Title A. Requests for Disciplinary Decisions	93
Title B. Notification of Reason for Request for Disciplinary Decision.....	93
Title C. Fact-Finding and Stating Opinions	93
Title D. Decisions on Disciplinary Action.....	94

Title E. Prescription of Grounds for Disciplinary Actions	94
CHAPTER II OTHERS.....	95
Article I Approval and Amendments	95
Article II Change Log	95
9. OTHER RULES OF EMPLOYMENT	96
CHAPTER I OTHER RULES OF EMPLOYMENT	97
Article I Labor Contracts.....	97
Article II Term of Obligation	97
Article III Academic Freedom	97
Article IV Patents, Inventions and Copyright Policy	98
Article V Travel Policy	101
Article VI External Consulting	101
Article VII Outside Work.....	102
Article VIII Individual Faculty Fellowship.....	102
Article IX General Duties	103
Article X Faculty Housing	104
CHAPTER II OTHERS.....	105
Article I Approval and Amendments	105
Article II Change Log	105
10. PROFESSIONAL RESPONSIBILITIES.....	106
CHAPTER I PROFESSIONAL RESPONSIBILITES.....	107
Article I Academic Affairs.....	107
Title A. Minimal instructional responsibilities	107
Title B. Required Course Syllabus Statements	109
Title C. Changes in Regulations and Course Offerings.....	110
Title D. Campus Policy on Final Exams and Reporting of Grades	110
Title E. Copyright Protection.....	111
Title F. The Teach Act	112
Article II Student Affairs.....	113
Title A. Student Educational Records.....	113
Title B. Policy Regarding Religious Holidays.....	114

CHAPTER II OTHERS.....	116
Article I Approval and Amendments	116
Article II Change Log	116

1. CHARTER OF SUNY KOREA

The State University of New York, Korea

February 16, 2023

CHAPTER I

CHARTER OF SUNY KOREA

Article I

General Provisions

SUNY Korea is established through the common cause of the State University of New York and the Republic of Korea to bring “American style” education to the Asian continent. The missions of SUNY Korea are to:

- (a) provide degree programs of the State University of New York.
- (b) develop academic collaborations with Korean, and other Asian, academics.
- (c) develop strong research collaborations with Korean, and other Asian, academics and industries.
- (d) nurture creative leaders who can overcome challenges in a global society

SUNY Korea is committed to providing high-quality American-style education. The core values of SUNY Korea are:

- (a) shared prosperity
- (b) holistic education
- (c) cross-cultural experience
- (d) imagination and business development
- (e) global entrepreneurship

Article II

Curriculum

The curriculum at SUNY Korea shall consist of selected degree programs from the State University of New York. The design and delivery of such programs shall agree with the degree programs as delivered at the corresponding SUNY institution. The programs shall be delivered at SUNY Korea in such a fashion that students are required to take two semesters of their program at the appropriate SUNY institution in the United States. However, this is not applicable to the two-year degree programs of SUNY Korea-FIT.

Article III

Academic Environment

SUNY Korea shall be housed in facilities of the Incheon Global Campus. Students, faculty, and staff of SUNY Korea shall have appropriate access to academic, residential, and general use facilities and equipment under the policies of SUNY Korea and those of the Incheon Global Campus.

Article IV

Academic Management

The academic calendar of SUNY Korea shall follow the policies of The State University of New York regarding contact hours. The calendar shall follow semester scheduling; each semester schedule shall only accommodate culturally accepted or legally required Korean holidays.

Admission to each degree program offered at SUNY Korea shall be processed by the SUNY home campus responsible for the degree, following the published admission criteria of the home campus. The SUNY home campus shall coordinate with SUNY Korea to ensure that SUNY Korea student quotas are not exceeded. All academic records shall be administered by the relevant SUNY home campus.

Article V

Administration of Global Campus

All operations of SUNY Korea shall be administered through a not-for-profit, limited liability company, SUNY Korea, LLC, which shall be governed by the Board of Managers of the company. The Board of Managers shall oversee the implementation of courses of study, the creation of administrative units and positions, the determination of the number and salaries of members of the faculty and other employees thereof, the appointment and employment thereof, the maintenance of discipline, and all other matters pertaining to its educational and research policies, activities, and operations.

SUNY Korea, LLC is an equal opportunity employer and does not discriminate based on race, sex, color, national origin, religion, marital status, age, sexual orientation, gender identity, veteran status, or disability in employment.

The tuition fees charged to students shall be regulated by the Board of Managers and shall be set to a similar or greater value as that established by the “out-of-state” tuition rate set by The State University of New York.

The Board of Managers is responsible for the financial management of SUNY Korea. No finances of the State of New York or the State University of New York may be used in the operation of SUNY Korea. Operational funds must accrue from all monies received by SUNY Korea, LLC during administration of SUNY Korea from:

- (a) tuition, fees, and other charges.
- (b) support from Korean federal or local governments.
- (c) industry.
- (d) endowments developed specifically for SUNY Korea.

The fiscal year of SUNY Korea, LLC shall commence on July 1. A financial statement of SUNY Korea, LLC shall be prepared each fiscal year and made available to Korean Ministries as required by law.

Article VI Benefits

The Incheon Global Campus (IGC) will provide a unique combination of benefits for students and faculty of SUNY Korea. As student residences will be operated by IGC, student activities will be largely sponsored by IGC. Faculty residency and guest housing will also be operated by IGC, providing an on-campus living experience for a sizeable fraction of the faculty. Student career advising will be provided by the faculty and staff of SUNY Korea. Scholarship and financial aid for students will be one of the goals of endowment fundraising for SUNY Korea.

Article VII Long-term & Short-term Strategies

The Board of Managers shall develop short and long-term strategies that ensure the continued financial viability of SUNY Korea. Such strategies may encompass growth or reduction in the size of the student body, academic program offerings, and areas of research.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Approval.* These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments.* All amendments shall become effective upon approval by the President of SUNY Korea.

Article II Change Log

§ 1. *Change Log*

- (a) 2016.01.26. Initially written.
- (b) 2016.03.17. Numbering and paragraph formatting changed.
- (c) 2017.12.27. The two-year degree program of SUNY Korea FIT was applied. Article V was revised regarding tuition fees.
- (d) 2018.07.30. The term ‘Vice President for Academic Affairs is replaced by ‘Provost and Vice President for Academic Affairs
- (e) 2023.02.16 Minor editorial changes

2. GENERAL OPERATION POLICIES

The State University of New York, Korea



February 16, 2023

CHAPTER I

SUNY KOREA OPERATION POLICIES

Article I

Construction and Application

§ 1. *Construction.* These policies shall constitute rules for the government of SUNY Korea regulating the matters contained herein. Nothing in these Policies contained shall be construed to restrict the power of the Board of Managers from time to time to alter, amend, revise, or repeal the provisions hereof in whole or in part.

§ 2. *Application.* These policies shall apply only to SUNY Korea operating on the Incheon Global Campus.

Article II

Definitions

§ 1. *Terms.* As used in these Policies and other Policies of the University, unless otherwise specified, the following terms shall mean:

- (a) “University.” SUNY Korea operating on the Incheon Global Campus.
- (b) “Board of Managers.” The Board of Managers of SUNY Korea, LLC.
- (c) “President” The head of the University, designated as Chief Administrative Officer.
- (d) “Academic rank.” Rank held by those members of the academic staff having the titles of (full) professor, associate professor, and assistant professor.
- (e) “Qualified academic rank.” Rank held by those members of the academic staff having titles of lecturer, or titles of academic rank preceded by the designation “practice”, “teaching”, “research”, “visiting” or other similar designations.
- (f) “Academic employee or faculty.” An employee or faculty with academic or qualified academic rank.
- (g) “Professional title.” The title of a position other than a position of academic or qualified academic rank.
- (h) “Professional employee or staff.” An employee or staff other than an academic employee.

Article III University Officers

Title A. President

§ 1. *Appointment.*

- (a) There shall be a chief administrative officer of the university who shall be designated as president. The President shall be appointed by the Board of Managers and shall serve at the pleasure of the Board of Managers.
- (b) At any time during the period of appointment, the Board of Managers may evaluate the services of the president.
- (c) A president, upon appointment, shall be appointed by the Board of Managers to the faculty of the University in a position of academic rank.

§ 2. *Responsibilities.* The president shall be responsible to the Board of Managers for, and shall administer, the university, and shall promote its development and effectiveness. The president shall supervise the members of the academic and professional staff of the university. The president shall prepare and recommend the annual budget of the University and shall report and make recommendations to the Board of Managers concerning the operation, plans, and development of the university. The president shall make all appointments of academic and professional employees unless otherwise specified. The president shall have ultimate authority in the general decision-making process at the university.

§ 3. *Handbook.* The president shall be responsible for the preparation and publication of a university handbook, separate from this Faculty Handbook. Such a handbook should include local policies and other information concerning the university as he or she may deem advisable and shall be made available to all members of the faculty and staff of the university.

§ 4. *Financial Reports.* On or before the beginning of each fiscal year of the university, the president shall present, to the Board of Managers, a financial report for the previous year and recommendations with respect thereto.

Title B. University Administrative Officers

§ 1. *Designation.* There shall be such administrative officers for the University as may be determined by the president.

§ 2. *Appointment.* Appointments of all University administrative officers and professional staff shall be made by the president of the University.

§ 3. *Acting Appointments.* Interim appointments on an acting basis of university administrative officers and professional staff, other than the president, shall be made by the president of the University.

§ 4. *Service.* Persons appointed pursuant to this Title shall serve at the pleasure of the president of the University.

§ 5. *Responsibilities.* University administrative officers shall have such powers, duties, and responsibilities as may be assigned by the president of the University.

Title C. University Administrative Organization

§ 1. *Plan.* The president of the University, or designee, shall prepare an organization chart of the university and an accompanying description of the powers, duties, and responsibilities of the administrative officers.

Article IV University Faculty

§ 1. *Composition.* The faculty of the University shall be comprised of the president, the members of voting faculty, and such nonvoting faculty as may be designated by the faculty handbook of the University.

§ 2. *Chair.* The president of the University shall be the chair of the faculty. The president shall be empowered to call meetings of the University faculty or the governance body of that faculty and of its executive committee. The agenda of each meeting of these bodies shall provide, as a priority order of business, an opportunity for the president to present his or her report.

§ 3. *Faculty Senate.* The Senate is the main body representing the faculty to implement shared governance at SUNY Korea. As such the Senate may address any matter of importance to the University in general and to the faculty. It will make policy recommendations where it regards this as appropriate and is responsive to the President of the University. The recommendations of the Faculty Senate are advisory to the University administration.

§ 4. *Voting Faculty.* The voting faculty of the University shall be composed of:

- (a) The president of the University; and
- (b) Provost and Vice Presidents and Deans of the University; and
- (c) Members of faculty of the University having academic rank and term or continuing appointments; and

- (d) Members of the faculty of the University having the title of Professor, Associate or Assistant Professor of Engineering and Technology Practice; and
- (e) Members of the faculty of the University having the title of Teaching Professor, Teaching Associate or Assistant Professor; and
- (f) Administrative officers of the University with academic appointments.
- (g) Membership and voting faculty for Academic Senate follow its bylaws.

§ 4. *Responsibility.* The faculty of the University shall have the obligation to participate significantly in the initiation, development, and implementation of the educational programs.

§ 5. *Bylaws.*

- (a) The faculty may prepare and adopt bylaws which may contain: (1) Provisions for committees and their responsibilities; (2) Procedures for the calling and conduct of faculty meetings and elections; and (3) Provisions for such other matters of organization and procedure as may be necessary for the performance of their responsibilities.
- (b) Bylaws shall be consistent with, and subject to, the laws of the Republic of Korea. Provisions of the bylaws concerning consultation with the faculty shall be subject to the approval of the president. All actions under bylaws shall also be subject to the approval of the president.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Approval.* These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments.* All amendments shall become effective upon approval by the President of SUNY Korea.

Article II Change Log

§ 1. *Log*

- (a) 2016.01.26. Initially written.
- (b) 2016.03.17. Paragraph formatting changed.
- (c) 2017.12.27. Chapter I, Article II and IV revised.
- (d) 2018.07.30. The term ‘Vice President for Academic Affairs’ is replaced by ‘Provost and Vice President for Academic Affairs’.
- (e) 2023.02.16 Article IV § 3. *Faculty Senate was added.*
- (f) 2023.02.16 Article IV § 4 (f) Voting faculty was modified by adding academic appointment.
- (g) 2023.02.16 Minor editorial changes.

3. APPOINTMENT POLICIES

The State University of New York, Korea



February 16, 2023

CHAPTER I

SUNY KOREA APPOINTMENT POLICIES

Article I

Definitions

§ 1. *Terms.* As used in these Policies, unless otherwise specified, the following terms shall mean:

- (a) “Honorific Appointment.” An appointment granted to those members of faculty having the titles of academic rank preceded by designations of “leading,” and “guest”.
- (b) “Leading Professor.” A title bestowed on members of the faculty who have distinguished themselves as exemplary teachers, scholars, and public servants, and who are individuals having extraordinary international importance and recognition.
- (c) “Guest Professor.” An appointment is granted to those members of the faculty who are distinguished individuals of considerable professional attainment to whom the University invites participation in certain areas of the University's activities.
- (d) “Non-tenure Appointment.” Appointment granted to those members of faculty having titles of an academic rank preceded by designations of “research”, “visiting”, and “adjunct” or having the title of lecturer.
- (e) “Tenure or Tenure-Track Appointment.” Appointment granted to those members of faculty having the titles of (full) professor, associate professor, and assistant professor.
- (f) “Engineering and Technology Practice Appointment.” Appointment granted to those members of faculty having the titles of Practice Professor of Engineering and Technology or Practice Associate Professor of Engineering and Technology.
- (g) “Professional Teaching Appointment.” Appointment granted to those members of faculty having titles of an academic rank preceded by designations of “teaching”.

Article II

Department Search Committee

§ 1. *Composition.* The Department chairperson in consultation with the chair of the appropriate home campus shall appoint the search committee. The Committee shall be comprised of the chairperson of the department, one other member appointed by the department chair from SUNY Korea, and two members appointed by the chair of the appropriate SUNY home campus.

§ 2. *Chair.* The chairperson of the department shall be the chair of the committee. The chair shall be empowered to call meetings of the committee. The agenda of each meeting of these

bodies shall provide, as a priority order of business, an opportunity for the chair to present his or her report.

§ 3. *Responsibility.* The committee shall have the obligation to carry out the functions of the search committee and prepare dossiers of candidates for recommendation to the University.

§ 4. *Bylaws.*

(a) The committee may prepare and adopt bylaws as it deems appropriate.

(b) Bylaws shall be consistent with, and subject to, the laws of the Republic of Korea.

Provisions of the bylaws shall be subject to the approval of the president. All actions under bylaws shall also be subject to the approval of the president.

Article III

General Provisions

§ 1. *Appointments.* The president, or designee, shall develop appointment policies for the faculty of the University, and, unless otherwise specified, the president shall appoint members of the faculty in accordance with such policies.

§ 2. *Announcements of Position Vacancy.* The Department Search Committees or the Heads of the Faculty of Sciences and Humanities and SUNY Korea English Language Program shall inform, the Faculty HR of Academic Affairs in the University prior to making public announcements of position vacancies. Faculty HR shall be responsible for operating a university-wide career-opportunity webpage and publishing announcements on the webpage. The Department Search Committees shall have the freedom to publish advertisements or announcements elsewhere, whichever the committees deem fit after an announcement has been posted on the university-wide webpage.

§ 3. *Record.* The Department Search Committees or the Heads of the Faculty of Sciences and Humanities and SUNY Korea English Language Program shall provide sets of hard copies and a digital copy of the final candidate's dossier to the Faculty HR of the University.

§ 4. *Relations with Home Campus I.* The Department Search Committees and the Head of the Faculty of Sciences and Humanities prior to recommending the final candidate for hire to the University, shall communicate, consult, and receive the endorsement, if necessary, with the appropriate persons at the SUNY home campus.

§ 5. *Relations with Home Campus II.* The Department Search Committee or the Head of the Faculty of Sciences and Humanities, Faculty HR, and the appropriate SUNY home campus shall communicate, converse, and consult with one another for processing new appointments.

On issuing non-salaried appointments to new hires, the appropriate SUNY home campus shall provide an electronic copy of the appointment to the Dean of Academic Affairs and Faculty HR.

§ 6. *Appointment Recommendation.* The Department Search Committee or the Heads of Sciences and Humanities and SUNY Korea English Language Program shall recommend the final candidate for hire to the University at least six (6) months prior to the beginning of the academic semester if the committee has designated the candidate to teach courses offered during the following semester. Otherwise, the Department Search Committee or the Heads of Sciences and Humanities and SUNY Korea English Language Program shall recommend the final candidate for hire to the University at least three (3) months prior to the desired date of hire.

§ 7. *General Qualifications.* General qualifications for new hires shall follow the guidelines set in the table below unless otherwise stated. All international faculties on an E-1 visa must be hired on a full-time status.

Category	Degree Requirement	Experience Requirement*
(Full) Professor, Practice (Full) Professor, Teaching (Full) Professor, Research (Full) Professor, Visiting (Full) Professor	Ph.D. Master's degree (only for FIT faculty)	8~10 years of relevant experience
Associate Professor, Practice Associate Professor, Teaching Associate Professor, Research Associate Professor, Visiting Associate Professor	Ph.D. Master's degree (only for FIT faculty)	5~7 years of relevant experience
Assistant Professor, Practice Assistant Professor, Teaching Assistant Professor, Research Assistant Professor, Visiting Assistant Professor	Ph.D. or a Ph.D. Candidate (whose award of degree is planned to take place prior to arrival at SUNY Korea) or master's degree	2~4 years of relevant experience
Adjunct Professor, Full or Part-time Lecturer, Instructor	Ph.D. or a Ph.D. Candidate or master's degree	1 year of relevant experience

* Relevant experience: teaching or research experience.

§ 8. *Departments, Institutes and Centers.* A faculty member with academic rank, qualified academic rank, honorific rank, and practice faculty member may be appointed to one of the established departments. Or a faculty member with qualified academic rank and honorific

rank may be appointed to the Faculty of Sciences and Humanities or one of the established institutes, centers or faculty of SUNY Korea.

§ 9. *Appointment and Official Records.* Faculty members shall be appointed by the President of SUNY Korea. While an appointment from the SUNY home campus may be necessary for a faculty member's involvement in each department of SUNY Korea, this shall not be considered an equivalent requirement in obtaining a position in SUNY Korea. SUNY Korea's President's appointment and his/her appointment letter and/or Agreement for Faculty Appointment shall be the basis of all official records in SUNY Korea.

§ 10. *Background Check Policy.* New employees must pass a background check prior to final approval for appointments for full-time faculty members and academic professionals. The background check includes a criminal court record search and verification of education. The University will not employ anyone whose prior criminal conviction would indicate a direct or indirect relationship (nexus) between the criminal conviction(s) and employment creating a risk to property or safety or tarnishing the University's reputation. The University reserves the right to revoke an offer or employment of an individual who falsifies or misrepresents information contained in their application for employment and/or materials including CV/Resume submitted by the individual as part of the application process.

Article IV

Appointment at Honorific Title

Title A. Appointment

§ 1. *Recommendation.* The President of SUNY Korea shall make a recommendation of a candidate to be appointed as Leading Professor or Guest Professor at the University. The dossier of the candidate shall be prepared by the individual and Faculty HR.

§ 2. *Review and approval.* The provost shall review the candidate. The dossier, at minimum, shall consist of:

- (a) A detailed resume or CV
- (b) Any relevant written work demonstrating their expertise
- (c) Certificate of degree diploma (any proof that certifies the candidate's degree)
- (d) Certificate of career demonstrating at least 5 years of relevant work experience (any proof that certifies the candidate's career in the past, commonly in the form of letters indicating the position, term(period), etc. of his/her previous employment)

Once the President approves the appointment, the provost shall then inform the candidate of the final decision to the candidate.

Prior to the completion of the appointment, the candidate shall be required to submit documentation of proof of his/her working eligibility in Korea, a passport-size picture, and a completed SUNY Korea demographic form.

§ 3. *Reappointment*. Reappointment shall be offered upon approval of the President.

Title B. Qualifications

§ 1. *Qualifications*.

- (a) Excellence as a professional in their respective field. Such excellence will be evidenced by the positions they have held and their performance in these positions.
- (b) A commitment to fostering the growth of future leaders in the field through research and education.
- (c) While a Ph.D. is not required, a graduate degree in a field related to their area of expertise is highly preferred.
- (d) An ability to teach and coach students toward projects and career goals and to interact effectively with academic researchers is highly desirable. This may range from a past academic research and teaching appointment to part-time instruction at other institutions of higher education, to professional engagement with researchers.

Article V

Appointment at Engineering and Technology Practice Track

Title A. Overview

§ 1. *Overview*. The mission of SUNY Korea is to establish excellence in education and research and to provide an environment of continuous improvement in order to lead, to have an impact, and to make significant contributions to their professions, industry, government, academia, and society. In the pursuit of this goal, SUNY Korea establishes and maintains close connections with the industries and society at large that most of its graduates ultimately serve. Leaders in engineering and technology practice can offer substantial guidance for major engineering projects, provide coaching to enhance students' educational experiences, and bring practical experience and excitement to classrooms and research labs. Such individuals will also enhance the outreach activities, reputation, and visibility of the school, and may help the fundraising functions of the school through their connections in the world of engineering and technology practice. For this reason, SUNY Korea will from time to time appoint "engineering practice track" faculty members who bring these skills, enhancing the connections between the University and the world of engineering and technology practice.

This article describes the criteria and procedures under which such individuals are hired and promoted to this engineering practice track.

§ 2. *Titles.* The engineering practice track faculty will carry the titles of Practice Professors of Engineering and Technology or Practice Associate Professors of Engineering and Technology.

Title B. Appointment

§ 1. *Recommendation.* The President of SUNY Korea shall make a recommendation of a candidate to be appointed as the Associate or Full Professor of Engineering and Technology Practice, with the approval of the Dean of the College of Engineering and Applied Sciences (CEAS) at Stony Brook University and in consultation with the corresponding academic department, to the Board of Managers of the SUNY Korea, LLC. The dossier of the candidate shall be prepared by the individual and the corresponding department.

§ 2. *Review and approval.* To review someone for the position of Associate or Full Professor of Engineering and Technology Practice, a committee will be appointed by the President, in consultation with the appropriate departmental governing body, from among the tenured faculty members or faculty members whom the President deems fit. The individual under consideration shall provide this committee via Faculty HR with:

- (a) A cover letter.
- (b) A detailed resume or CV.
- (c) Certificate of degree or diploma
- (d) Official Transcripts
- (e) Certificate of career demonstrating at least 4 years of relevant work experience
- (f) A personal statement, describing their past professional activities that are relevant to the criteria listed above and indicating how they see this appointment furthering their personal and professional career goals.
- (g) If relevant, any evaluations from past instructional situations
- (h) Any relevant written work demonstrating their expertise in the engineering and technology discipline or particular experiential contribution for which they are being considered.
- (i) Five References

Once the committee has voted to approve an appointment, the President will recommend the candidate to the Board of Managers of SUNY Korea, LLC, with the approval of the Dean of the College of Engineering and Applied Sciences (CEAS) at Stony Brook University.

Prior to the completion of the appointment, the candidate shall be required to submit documentation of proof of his/her working eligibility in Korea, a passport-size picture, and a completed SUNY Korea demographic form.

§ 3. *Reappointment.* A similar process will be followed for reappointment, although the materials provided by the individual will now include teaching and service information from his/her time at SUNY Korea.

§ 4. *Reapplication.* When the appointment of Associate or Full Professor of Engineering and Technology Practice is terminated, the position must be reapplied for through the position request channels.

Title C. Qualification

§ 1. *Standards for All Appointments in the Engineering Practice Track*

Candidates for an engineering practice track appointment will be expected to have demonstrated the following:

- (a) Excellence as a professional in a field relevant to the curriculum. Such excellence will be evidenced by the positions they have held and their performance in these positions.
- (b) A commitment to fostering the growth of future leaders in the field through research and education.
- (c) While a Ph.D. is not required, a graduate degree in a field related to their area of expertise is highly preferred.
- (d) An ability to teach and coach students toward projects and career goals and to interact effectively with academic researchers is highly desirable. This may range from a past academic research and teaching appointment to part-time instruction at other institutions of higher education, to professional engagement with researchers.

Typically, appointments into the engineering practice track will be made to individuals outside the University. It would be unusual to move someone from a tenure track or any of the Lecturer appointments into this track.

§ 2. *Standards for Appointment of Professor of Engineering and Technology Practice*

To be appointed as a Professor of Engineering and Technology Practice, an individual would possess established evidence of professional accomplishments in design or analysis, entrepreneurship, project management, or corporate management and be recognized as a leader in the field in which he/she works. The individual will have worked in senior-level positions and have achieved the professional recognition that excellence typically produces.

An initial three-year appointment will be made, with a review in the fall of the last year for reappointment to a second term of up to five years. Further appointments, after appropriate review, can be made of any term up to five years. In the event of non-reappointment, a terminal year appointment will be granted.

The criteria for renewal include excellence in the following aspects of the position of Professor of Engineering and Technology Practice:

- (a) Effective involvement in the University community and its activities, including engagement in the intellectual life of the University and service on relevant committees.
- (b) Effectiveness in conceiving, seeking funding for, and managing design or interdisciplinary projects that offer students significant career-building, team experiences
- (c) Effectiveness in teaching and research.
- (d) Effectiveness in raising the visibility of the University in the individual's own community of practice. This will typically require ongoing involvement in the engineering and technology industry, through advising, appointments, board membership, etc. It may also include assistance in the outreach and development activities of SUNY Korea.

§ 3. Standards for Appointments of Associate Professor of Engineering and Technology Practice

Appointment at the Associate Professor of Engineering and Technology Practice level requires established evidence of professional accomplishments in design or analysis, entrepreneurship, project management, or corporate management and be recognized as having made a significant contribution in the field in which he/she works. While not at the most senior level, such an individual should have achieved professional recognition for excellent work.

An initial three-year appointment will be made, with a review in the fall of the last year for reappointment to a second term of up to five years. Further appointments, after appropriate review, can be made of any term up to five years. In the event of non-reappointment, a terminal year appointment will be granted.

Criteria for renewal include excellence in the following aspects of the position of Associate Professor of Engineering and Technology Practice:

- (a) Effective involvement in the University community and its activities, including engagement in the intellectual life of the University and service on relevant committees.
- (b) Effectiveness in conceiving, seeking funding for, and managing design or interdisciplinary projects that offer students significant career-building, team experiences
- (c) Effectiveness in teaching and research.
- (d) Effectiveness in linking the University to the individual's own community of practice. This will typically require ongoing involvement in the engineering and technology industry, through advising, appointments, board membership, etc. It may also include assistance in the outreach and development activities of SUNY Korea.

Title D. Promotion Guidelines

§ 1. *Promotion.* Only in cases where an individual has shown excellent performance on the criteria listed above, and where an individual has become a highly valued member of the University community, will an Associate Professor of Engineering and Technology Practice be considered for promotion to Professor of Engineering and Technology Practice. Such promotions are not automatic and require substantial ongoing presence in an individual's engineering field. This promotion would typically occur after eight years at the University (the initial three-year appointment, plus the next five-year appointment.) In many cases, an individual who is appointed as an Associate Professor of Engineering and Technology Practice may be expected to return to the engineering practice for more extensive experience before being considered for promotion to a Professor of Engineering and Technology Practice.

Title E. Faculty Governance

§ 1. *Governance.* Faculty members in the engineering practice track are part of the governing faculty of the University and have a vote at faculty meetings. Engineering practice track faculty can be appointed to serve on various committees of the University including the Faculty Senate.

Article VI

Appointment of Professional Teaching Position

Title A. Appointment

§ 1. *Recommendation.* The Department Chairs, the Heads of Faculty of Sciences and Humanities and SUNY Korea English Language Program, or the Head of the institution or center shall make a recommendation of a candidate to be appointed to a teaching faculty position in the departments, Faculty of Sciences and Humanities, SUNY Korea English Language Program, institution or center to the President. The dossier of the candidate shall be prepared by the individual and the corresponding Departments, Faculty of Sciences and Humanities, SUNY Korea English Language Program, the institution, or center and be submitted to Faculty HR of the Office of Academic Affairs.

§ 2. *Review and approval.* The President shall review the candidate. The dossier, at minimum, shall consist of:

- (a) A cover letter, outlining research and teaching interests.
- (b) A detailed resume or CV.
- (c) Certificate of degree or diploma
- (d) Official Transcripts

- (e) Publication List
- (f) A published article, paper, or another example of their written work
- (g) Short descriptions of courses that they have taught.
- (h) Teaching Statement or Teaching Philosophy
- (i) Research Statement
- (j) Three References

Upon final approval, the President or the Provost shall inform the candidate of the decision.

Prior to the completion of the appointment, the candidate shall be required to submit a certificate of degree, certificate of career demonstrating at least 4 years (up to 10 years) of relevant work experience, documentation of proof of his/her working eligibility in Korea, a passport size picture and completed SUNY Korea demographic form.

§ 3. *Titles.* The professional teaching faculty will carry the titles of Teaching Professor, Teaching Associate Professor or Teaching Assistant Professor.

§ 4. *Appointment Period.* Each appointment period shall not exceed three (3) years.

§ 5. *Reappointment.* A similar process will be followed for reappointment, although the materials provided by the individual will now include teaching and service information from his/her time at SUNY Korea.

Title B. Continuing Appointment (Qualified Academic Rank)

§ 1. *Definition.* A continuing appointment shall be an appointment to a position of qualified academic rank on a ***Rolling Multiple-Year (RMY) basis*** until resignation, retirement, or termination following the issuance of a non-continuance notice as outlined in section § 5.

§ 2. *Method of Appointment.* The President of the University, on the recommendation of the Provost based on the recommendation of the Department Chairs or Heads of the Faculty of Sciences and Humanities and SUNY Korea English Language Program, may grant continuing appointments to such persons who, in the President's judgment, are best qualified.

§ 3. *Eligibility.*

- (a) *Continuing appointment (RMY) as Teaching Professor or Teaching Associate Professor.*

Continuing appointment (permanent position) as Teaching Professor or Teaching Associate Professor may be given by the President of the University on initial appointment or thereafter. Except as provided in subdivision (c) of this section, further employment as Teaching Professor or Teaching Associate Professor after the

third consecutive year of service in either of these ranks must be based on continuing appointment; provided, however, such appointment is made effective by the President and provided further that promotion to any of these ranks shall not operate to extend the service requirements for continuing appointment described in subdivision (b) of this section.

(b) *Continuing appointment as Teaching Assistant Professor.*

Except as provided in subdivision (c) of this section, a Teaching Assistant Professor shall be eligible for continuing appointment upon the completion of a total of six years of which the last three years must be consecutive in this academic rank. Further employment of an appointee who has completed a total of six years of service in the position of Teaching Assistant Professor must be based on a continuing appointment; provided, however, such appointment is made effective by the President.

(c) *Service Credit.*

- 1) In determining eligibility for continuing appointment under subdivision (b) of this section, satisfactory full-time prior service in academic rank at any other accredited academic institution of higher education may be credited as service, up to a maximum of three years, at the time of appointment at the university, at the request of the appointee and in the discretion of the President, or designee. The employee must make such request, in writing, to the President not later than six months after the date of initial appointment.
- 2) In computing consecutive years of service for appointment or reappointment to the faculty, periods of leave of absence at full salary shall be included; periods of leave of absence at the partial salary or without salary and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

§ 4. *Terms of Rolling Multiple-Year (RMY) appointments*

Upon achieving continuing employment status by a faculty member under subdivisions (a) and (b), a three-year rolling appointment may be issued which will remain in effect conditional upon satisfactory performance under section § 7, or until a non-continuance notice is issued as outlined in section § 5.

§ 5. *Non-continuance notice*

Although faculty members holding rolling appointments are eligible for continuance (unless otherwise specified in writing at the time of the appointment), continuance is neither inevitable nor routine. The recommendation not to continue an appointment shall be made by the Provost with the approval of the President. Subject to institutional needs and goals, recommendations for non-continuance of appointments shall be based on merit or determined

through evaluation of faculty performance under section § 7. Non-continuance notice shall be issued at least two years before the termination of the RMY appointment.

Institutional needs and goals involve the consideration of factors such as the academic needs of the program; availability of resources to support the program or position – financial as well as physical; and other institutional and programmatic considerations not directly related to the merit of the individual under consideration for the continuance of the appointment.

§ 6. Interim Review for Continuing Appointment and Promotion

Teaching Assistant Professors shall be subject to interim review by the President or the committee designated by the President after the fifth year of service for continued employment and/or promotion from Teaching Assistant Professor to Teaching Associate Professor. Consistent with Article V, Title E in the Evaluation Policies of the Faculty Handbook, all faculty members are expected to consistently obtain performance grades of B or higher for consideration of continued employment and/or promotion.

§ 7. Post Continuing Appointment Review

Each faculty member's three-year, rolling contract is evaluated annually by the President or the committee designated by the President. At the discretion of the President, the annual faculty reviews of Article V, Title E in the Evaluation Policies of the Faculty Handbook may be substituted for this review. In the event of an unsatisfactory (lower than B) annual review, a non-continuance notice may be issued and the RMY contract will be terminated after two more years of service.

§ 8. Criteria for Evaluation.

Similar to Article V, Title E in the Evaluation Policies of the Faculty Handbook, the following criteria will be used for sections § 6 and § 7 reviews and evaluations.

- (a) Teaching quality and load
 - 1) Teach both undergraduate and graduate courses with consistently good student and peer evaluations.
 - 2) Supervise and/or mentor undergraduate research and/or capstone design projects.
 - 3) Implement innovative teaching methods and improve pedagogy.
 - 4) Develop and/or improve existing courses, labs, and/or otherwise enhance curricula.
- (b) Maintain qualifications and competencies in the area of teaching
 - 1) Level of Scholarship.

- 2) Organizing and/or participating in workshops, seminars, and conferences.
- 3) Active leadership and/or participation in professional activities and professional societies.
- 4) Engagement with industry.

(c) Service

- 1) Actively serve on department and university committees.
- 2) Perform undergraduate student advising and mentoring.
- 3) Support assessment and accreditation efforts.
- 4) Support undergraduate student recruitment activities.
- 5) Recruit graduate students.
- 6) Serve in leading roles such as session chair, conference chair, etc. in meetings and conferences.
- 7) Serve on professional review committees (e.g., editorial boards, and technical committees).
- 8) Promote the university brand.

(d) Peer review

The President or the committee designated by the President may solicit opinion in the form of signed letters from department faculty (past or present), the department directors of graduate or undergraduate programs, and from students who have been taught by the candidate and are deemed impartial.

Peer evaluation also includes a formal report from a faculty member designated by the committee - to evaluate a complete course being taught by the candidate. The review should include direct observation of the candidate in the classroom, the evaluation of course material such as syllabus, class notes, homework assignments, and any student comments or input. The report should address the evaluator's observations and any strengths or weaknesses of the candidate's teaching performance.

Article VII

Appointment at Non-Tenure Position

Title A. Appointment

§ 1. *Recommendation.* The Provost based on the recommendation of a Department Chair or Dean of Academic Affairs, the Heads of the Faculty of Sciences and Humanities or SUNY Korea English Language Program shall make a recommendation of a candidate to be appointed to a non-tenure track position in the department, the Faculty of Sciences and Humanities, SUNY Korea English Language Program, or institution or center to the President. The dossier of the candidate shall be prepared by the individual and the corresponding Department Search Committees, the Head of Faculty of Sciences and

Humanities, or the Head of SUNY Korea English Language Program and be submitted to Faculty HR.

§ 2. *Review and approval.* The President shall review the candidate. The dossier, at minimum, shall consist of:

- (a) A cover letter, outlining research and teaching interests.
- (b) A detailed resume or CV
- (c) Certificate of degree or diploma
- (d) Official Transcripts
- (e) Publication List
- (f) A published article, paper, or other example of their written work
- (g) Short descriptions of courses that they have taught.
- (h) Teaching Statement or Teaching Philosophy
- (i) Research Statement
- (j) Three References

Upon final approval, the President or Provost shall inform the candidate of the decision.

Prior to the completion of appointment, the candidate shall be required to submit a certificate of degree, certificate of career demonstrating at least 4 years (up to 10 years) of relevant work experience, documentation of proof of his/her working eligibility in Korea, a passport size picture and completed SUNY Korea demographic form.

§ 3. *Titles.* The Non-Tenure Track faculty will carry the titles of Research (Associate, or Assistant) Professor, Visiting (Associate, or Assistant) Professor, or Adjunct Professor, or Lecturer.

§ 4. *Appointment Period.* Appointment period shall not exceed three (3) years for departments and two (2) years for Faculty of Sciences and Humanities, institutions, or centers.

§ 5. *Reappointment.* A similar process will be followed for reappointment, although the materials provided by the individual will now include teaching, research, and service information from his/her time at SUNY Korea.

Article VIII
Appointment at Tenure Track Position

Title A. Appointment

§ 1. *Recommendation.* The Provost based on the recommendation of the Department Chair, which is based on the recommendation of the Department Search Committee, shall make a recommendation of a candidate to be appointed at tenure track position to the President. The dossier of the candidate shall be prepared by the individual and the corresponding Department Search Committee and be submitted to Faculty HR.

§ 2. *Review and approval.* The President shall review the candidate. The dossier, at minimum, shall consist of:

- (a) A cover letter, outlining research and teaching interests.
- (b) A detailed resume or CV.
- (c) Certificate of degree or diploma
- (d) Official Transcripts
- (e) Publication List
- (f) A published article, paper, or other example of their written work
- (g) Short descriptions of courses that they have taught.
- (h) Teaching Statement
- (i) Research Statement
- (j) Five References
- (k) Endorsement Letter from appropriate SUNY home campus

Upon final approval, the President or Provost shall inform the candidate of the decision.

Prior to the completion of appointment, the candidate shall be required to submit a certificate of degree, certificate of career demonstrating at least 4 years (up to 10 years) of relevant work experience, documentation of proof of his/her working eligibility in Korea, a passport size picture and completed SUNY Korea demographic form.

§ 3. *Administrative Procedures.* Administrative procedures shall follow the steps indicated in the Appendix hereto.

Article IX
Appointment at Tenure Position and Promotion (Academic Rank)

Title A. Continuing Appointment (Tenure Position)

§ 1. *Definition.* A continuing appointment (Tenure Position) shall be an appointment to a position of academic rank which shall not be affected by changes in such rank and shall continue until resignation, retirement, or termination.

§ 2. *Method of Appointment.* The Board of Managers, on recommendation of the President of the University, may grant continuing appointments (Tenure Position) to such persons who, in the Board of Managers' judgment, are best qualified.

§ 3. *Eligibility.*

- (a) *Continuing appointment (Tenure Position) as Professor or Associate Professor.* Continuing appointment as Professor or Associate Professor may be given by the Board of Managers on initial appointment or thereafter. Further employment as Professor or Associate Professor after the third consecutive year of service in either of these ranks must be on the basis of continuing appointment; provided, however, such appointment shall not be effective until made so by the Board of Managers, and provided further that promotion to any of these ranks shall not operate to extend the service requirements for continuing appointment described in subdivision (b) of this section.
- (b) *Continuing appointment as Assistant Professor.* Further employment of an appointee who has completed a total of seven years of service in a position or positions of academic rank of which the last three consecutive years have been in a position of academic rank as Assistant Professor must be based on a continuing appointment; provided, however, such appointment shall not be effective until made so by the Board of Managers.

§ 4. *Interrupting the Tenure Clock.* At times tenure-track faculty may experience difficulties in progressing towards tenure due to medical, child-care, or elder-care issues. The University permits tenure-track faculty to elect either to reduce their effort to reflect the reduction in the amount of time they would be working with a comparable reduction in salary, or to transfer to a qualified academic title (e.g., Teaching Assistant Professor, Research Assistant Professor, Lecturer, and Visiting Assistant Professor). A transfer to a qualified title would mean a faculty member would be meeting their full-time obligation to the department but would be relieved of the additional commitment necessary for progress towards tenure. A faculty member who wishes to stop his/her tenure clock should submit a Request for Interruption of Tenure-Track Service to the department chair attaching a brief written explanation for the need to stop the tenure clock. This statement should not reveal

information of a private and/or confidential nature. The form with the Department Chair's endorsement is forwarded to the provost and after his/her endorsement to the President. Copies of the form with the President's decision would be sent to the Provost, Dean of Academic Affairs, Department Chair, and the faculty member. Requests for interrupting the clock may be made for periods of up to one year and may be broken into no more than two segments (i.e., one full academic year, one full calendar year, or two sequential fall or spring semesters)

Title B. General Procedures

§ 1. *Interim and Mandatory Reviews for Continuing Appointment*

A tenure-track faculty at the rank of Assistant Professor shall be subject to interim reviews in the 3rd and 5th year of his/her tenure clock. The 3rd and 5th year reviews are to be done by the committee designated by the provost at six months prior to the end of the 3rd year and 5th year respectively. The review for continuing appointment (tenure review) must be done on the 6th year of the tenure clock. The review for continuing appointment (tenure review) for a tenure-track faculty at the rank of Associate Professor must be done on the 2nd year of the tenure clock if the faculty member started at that rank with a 3-year term. Exceptions to these timelines are possible as stated in the Tenure and Promotion Reviews and Guidelines (Academic Rank) in Section 4 EVALUATION POLICIES.

§ 2. *Procedure for Mandatory Review for Continuing Appointment and Promotion*

- (a) A faculty on tenure-track shall follow the following procedure to obtain tenure and/or promotion. Unless noted otherwise below, the “University” refers to SUNY Korea and “department” refers to the department at SUNY Korea.
 - 1) The provost begins the process by notifying candidates that they are eligible for consideration, asking if the candidates desire to be considered. If so, the candidate’s department chair communicates in writing to all the faculty members of the department for the candidacy of tenure and/or promotion. The sixth-year tenure review of a faculty of an Assistant Professor rank is with promotion unless requested otherwise by the candidate.
 - 2) The candidate shall prepare his/her tenure and/or promotion dossier, in compliance with the Tenure and Promotion Reviews and Guidelines (the “Guidelines”), in the sixth (6th) year on tenure clock and submit it to the department. (See the Tenure and Promotion Reviews and Guidelines (Academic Rank) in Section 4 EVALUATION POLICIES)
 - 3) The department’s appropriate group of faculty (the “Department Committee”), as defined in Section 2.5 of the Guidelines, gathers necessary references and information about the candidate as described in the Guidelines. The Department

Committee (chaired by the department chair¹), in consultation with the chair of the home department at Stony Brook University (SBU), shall make a recommendation of the tenure decision. The chair of the department writes a tenure recommendation to the Personnel and Policy Committee (PPC) of the University.

- 4) The PPC of the University, that considers the tenure and promotion of faculty members, shall review, and evaluate the candidate's files, and make a recommendation to the Provost of the University.
- 5) The provost, who shall make a recommendation on the tenure decision in consultation with the Dean of the appropriate home College at SBU, forwards the decision and recommendation to the President.
- 6) The President shall review the materials and recommendation and make a final recommendation on the candidate's tenure decision to the Board of Managers² (BoM) of the SUNY Korea, LLC.
- 7) The final decision and approval shall be made by the BoM of SUNY Korea, LLC, based on the recommendation of the President.
- 8) The candidate shall be informed of the tenure decision by the President of SUNY Korea.

(b) Promotion from Associate Professor to full Professor shall follow the same policy and procedures described above.

Article X

Affiliated, Joint and non-Salaried Appointments

This section presents guidelines for cross-departmental secondary academic appointments of regular full-time SUNY Korea faculty.

- Affiliated Faculty
- Joint appointments

The following Table of Secondary Appointment Types outlines categories and descriptions for appointing current SUNY Korea faculty with primary appointments. These Guidelines establish consistency of nomenclature across departments and programs.

¹ If the department chair is not a tenured member, the provost appoints the committee chair.

² The Board of Managers (BoM) of SUNY Korea, LLC consist of the Provost of SBU (Chair), senior administrators of SBU, and the VP of Finance of SBU, as well as designated Korean members (up to two members) and a designee of SUNY Chancellor.

Name of Appointment	Type of Appointment	Title of Designation [e.g., Professor of X and Y]	Rights & Responsibilities
Affiliated Appointment	Secondary	No title of designation Listed on Secondary department's roster as Affiliated Faculty (i.e., as a "friend" of the department, with intellectual or research interests in the work of the Secondary department or program.) Primary department should agree, and the President shall be notified by Secondary department or program.	Involvement by formal invitation of secondary department or program only. No formal rights or responsibilities in secondary department. All involvement in secondary department or program shall be voluntary. No voting rights
Joint Appointment	Primary in both departments and units.	Title of designation Appointed (upon the recommendation of the President) by the President in the same manner as a regular appointment to a single department.	Full rights and responsibilities in both primary departments (unless limited at the time of appointment)

Title A. Affiliated Appointment

An Affiliated Faculty appointment is granted by the President to an active member of the faculty of SUNY Korea. The affiliated appointment confers limited faculty standing in a second department on a member of another department. Such an affiliation should not be confused with a Joint Appointment. It will be granted for an indefinite period and may be terminated at any time upon the request of either the designated faculty member, the director, or chairs of either the primary or secondary programs / departments or the President. The granting of an affiliated appointment to a faculty member of another department or program entitles that faculty member to indicate his or her affiliated membership in the secondary department or program in all official correspondence. Affiliated Faculty status does not include the use of the secondary department or program's name in the faculty member's faculty title of designation. Since the Affiliated Faculty appointment confers only limited faculty standing, the extent of the affiliated faculty member's functions and privileges in the affiliated department or program should be mutually agreed upon at the outset and specified in the memo to the President requesting the affiliated appointment. Normally, affiliated faculty appointments do not include voting rights in the secondary department or program. They may be invited to participate and vote in specific program committees or deliberations.

The granting of an affiliated appointment in no way affects or limits the nature of the faculty member's appointment in his primary department. All personnel actions including promotions and leaves will be initiated by the primary department. The primary department should inform the secondary department of the substance of its recommended personnel actions regarding the affiliated faculty member and may invite its endorsement or comment. Both departments shall retain a copy of the letter of appointment in the faculty member's personnel file. The termination of the appointment of a faculty member who also holds an affiliated appointment automatically terminates the affiliated appointment as well.

Title B. Joint Appointment

A Joint Appointment (budgetary) confers full faculty standing upon the appointee equally in both appointed departments. The joint appointee enjoys all the privileges and incurs all the responsibilities in each department of a normal faculty member in either. It is normally expected that the workload of the joint appointee will be equally divided between the two departments. A Joint Appointment is made by the President upon the recommendation of the provost who in turn bases his recommendation upon the recommendations of the departments involved. In the case of a Joint (budgetary) appointee, all personnel actions including tenure review, promotions and leaves must be processed in the normal manner by both departments. A promotion necessarily is effective in both departments.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Approval*. These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments*. All amendments shall become effective upon approval by the President of SUNY Korea.

Article II Change Log

§ 1. *Log*

- (a) 2016.01.26. Initially written.
- (b) 2016.03.17. Modified including sections for Tenure Appointment, removing specific reference to CEAS-SBU so that the policy will apply to new degree programs at SUNY Korea.
- (c) 2016.04.22. Required documents' list modified.
- (d) 2017.12.27. Chapter I revised including required documents' list modification, faculty category modification.
- (f) 2018.07.30. The term 'Vice President for Academic Affairs' is replaced by 'Provost and Vice President for Academic Affairs'.
- (g) 2021.03.10. President is replaced by Provost for designating the 3rd or 5th year review committees.
- (h) 2021.08.23. The term of 'Provost and Vice President for Academic Affairs' is replaced by 'Provost'. The tenure procedure and interim reviews of tenure-track faculty are updated with the new procedure established on March 9, 2020. It is also made to be consistent with the new Tenure and Promotion Reviews and Guidelines (also known as the Blue Book) established in March 2020.
- (i) 2022.05.18. Clarification added for sixth year tenure review and promotion.
- (j) 2023.02.16 Article II § 1. *Composition* of the Department Search Committee was modified.
- (k) 2023.02.16 SUNY Korea English Language Program was added as a separate unit throughout the text.
- (l) 2023.02.16 Article VI Title B Continuing Appointment (Qualified Academic Rank) was changed to Rolling Appointment.
- (m) 2023.02.16 Article VIII Title A § 1. *Recommendation* was modified for consistency.
- (n) 2023.02.16 Minor editorial changes.

4. EVALUATION POLICIES

The State University of New York, Korea



February 16, 2023

CHAPTER I EVALUATION POLICIES

Article I General Provisions

Title A. Evaluation of Academic Employees

§ 1. *Policy.* It is the policy of the University to evaluate academic employees.

§ 2. *Purpose.* The purpose of evaluation pursuant to this Title shall be the appraisal of the extent to which each academic employee has met his or her professional obligation. Written communication of such appraisal shall be sent to the academic employee concerned. The evaluations conducted pursuant to this Title may be considered by the president and the university administrative officers in making decisions or recommendations with respect to promotions, discretionary adjustments to basic annual salary and for any other purpose where an academic employee's performance may be a relevant consideration. Nothing contained herein shall prevent the president from taking such action as the president may deem appropriate to the operating requirements of the University.

§ 3. *Criteria.* In conducting evaluations pursuant to this Title, the president of the University, or designee, 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.
- (b) Effectiveness in teaching — as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses and students' evaluations, 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 arts, publications, and reputation among colleagues.
- (d) Effectiveness of University service — as demonstrated by such things as university public service, committee work, administrative work and work with students or community in addition to formal teacher-student relationships.
- (e) Continuing growth — as demonstrated by such things as reading, research, or other activities to keep abreast of current developments in the academic employee's fields and being able to handle successful increased responsibility.

Title B. Promotion of Academic Employees

§ 1. *Procedure.* The president, in consideration of the recommendations of academic employees, including the committees, if any, of the appropriate department or professional area and other appropriate sources in connection with promotion of a specific academic employee, may promote, unless otherwise specified in the SUNY Korea Appointment Policies, such persons as are best qualified in the president's judgment. Nothing contained herein shall prevent the president from taking such promotion action as the president may deem appropriate to the operating requirements of the university.

§ 2. *Criteria.* 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.
- (b) Effectiveness in teaching — as demonstrated by such things as judgment of colleagues, development of teaching materials or 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 arts, publications, and reputation among colleagues.
- (d) Effectiveness of University service — as demonstrated by such things as University and University public service, committee work, administrative work and work with students or community in addition to formal teacher-student relationships.
- (e) Continuing growth — as demonstrated by such things as reading, research, or other activities to keep abreast of current developments in the academic employee's fields and being able to handle successfully increased responsibility.

§ 3. *Length of Service.* Completion of a minimum period of service with the University may be a consideration but shall not be a qualification for promotion.

Article II

Annual Faculty Reviews (Academic Rank)

Title A. Annual Reporting and its Submission Periods

§ 1. *Annual Report.* An annual report is required of all tenured faculty and/or faculty on tenure track and is to be submitted to the Chair of one's affiliated academic department. After being reviewed by the Chair, the annual report with the Chair's review is to be forwarded to the provost. The provost will retain one copy and forward one copy with addition of Provost's review to the President. The President will make the final decision.

After the President's decision, the final reports with evaluation grades are placed in the personnel files in the President's office for future reference. The report is used to keep the President informed of faculty activities, in the determination of merit raises and in the assignment of teaching loads for the forthcoming year. Additionally, the report will also be used by the President in the annual evaluation of a faculty member's performance. Therefore, it is prudent that the reports be prepared carefully.

Following the fiscal year of SUNY Korea (July 1 to June 30), an annual report is due by the first business day of April each year. The Chair of each academic department reviews each report and provides separate comments to each report before its submission to the provost, and the annual reports are to be submitted to the provost no later than the second Friday of April. After Provost finishing an additional review of annual reports from the Chairs, Provost provides additional comments if necessary and submits all the combined reports to the President by the third Friday of April. The President reviews the reports submitted and makes the final decision on each faculty based on the contents described under Title B within the last week of May. The evaluation grades will be announced to each faculty by the third Friday of June, and it will be reflected in any salary adjustment for the following year for each faculty.

§ 2. *Appeal.* Faculty who received their evaluation grades may make an appeal by contacting the Faculty HR or Team Leader of Academic Affairs at least three days upon receipt of final evaluation result with a statement of appeal. Faculty HR must review the received appeal and notify the result to the faculty who requested the reviews within two weeks.

Title B. Contents and Format of an Annual Report

§ 1. *Contents.* This report should cover a 12-month period from the first week of April to the last week of March in each academic year. Preparation of an annual report affords each faculty member an opportunity to acquaint the Provost and the President with one's accomplishments. The faculty member's name, department, and the date should appear in the upper right-hand corner of the report. Along with the report, a full CV should also be submitted. Certain items on the annual report such as teaching experiences and activities are generally not included in a

CV. The report may also be used to express complaints and positive feelings about your department and the University which shall be kept confidential. In other words, the annual reports are a major source of information from the faculty to senior administration.

Please see Title B, §1, (i).

New faculty and administrative faculty joining the University in the Fall are requested to furnish data for their entire career (vita) as an initial report. So, even a faculty who has been with the University less than a year needs to submit an annual report. A faculty who is undergoing a third- or fifth-year review or a tenure review does not need to submit an annual report.

Below are the contents to be covered and the format to be used in an annual report for the evaluation of performance of each faculty and instructor.

(a) Statement Relative to Teaching Activities or Other Major Assignments

The report should include a statement about teaching or major assignment activities for the year. Any new courses developed, approaches used, and their outcomes should be reported for this period. A list of graduate students (and their classifications), for whom faculty serves as a major advisor, should be included. Students' course evaluation records will highly be reflected in the outcome of this evaluation.

(b) Education and Curriculum Development Activities

The report should include a statement about education and curriculum development activities for the year. Any new activities or approaches done for the development of education and curriculum and their outcomes or progress should be reported for this period.

(c) Publications and Creative Work or Artistic Performances

The report should include a list of publications actually appearing in print, exhibits, recitals, performances, and other creative scholarly presentations published or given during the period.

(d) External Funding

The report should contain a list of grants and contracts applied for and/or received during this period by title, funding agency, amount requested, and duration of grant.

(e) Research and Creative Activities in Progress

Any research or creative activities which are not reflected in responses to (c) or (d) above, should be described in this section. Information on (1) research in progress and (2) research in the planning stage should be included, as well as any publications submitted in review and/or accepted for publication.

(f) Professional Organizations and Public Service

The report should contain a list of the professional organizations to which the faculty member belongs, and a record of his/her activities in those organizations for the year – meetings attended, and offices held. Honors that were received and services that were performed for community, state and nation should be listed.

(g) Administrative Duties, University Service, Committee Work

This section should include a list of services to the University including committee work, administrative work and work with students or community, in addition to those of teaching and research. Any academic degrees received during the year should be noted in this section.

(h) Brand Promotion and Graduate Student Recruitment

This section should contain your efforts with regards to furthering the recognition of the SUNY Korea brand. Any talk you give, any article you write, or any other professional interaction is an opportunity to make SUNY Korea and your department more recognizable, both within and outside Korea. This is particularly important for the recruitment of graduate students, creating opportunities for student internships and employment, and securing leads for possible research grants. Please also list your efforts and successes in these areas.

(i) General Comments

The "General Comments" section is intended for general comments about, or constructive suggestions in reference to your department and the University. Your comments will be considered confidential and will *not* be placed in general faculty files if you wish to. If you wish your comments to be held in confidence by the President, write "confidential" at the top of the page and send it directly to the President under separate cover.

Title C. Criteria for Faculty Annual Evaluations

§ 1. *Criteria.*

(a) Scholarship

- 1) Have strong records of:
 - i. Indexed, peer-reviewed journal publications.
 - ii. Highly ranked conference proceedings and presentations.
 - iii. Citations and recognition of work by researchers in their fields.
- 2) Present invited talks and lectures at universities, research centers, and conferences.
- 3) Obtain average annual extramural funding that is equivalent to approximately the faculty's yearly salary.
- 4) Present a strong plan of on-going and future research or creative activity.

- 5) Support graduate students through grants.
- 6) Supervise MS theses and PhD dissertations.

(b) Teaching

- 1) Teach both undergraduate and graduate courses with consistently good student and peer evaluations.
- 2) Supervise and/or mentor undergraduate research and/or capstone design projects.
- 3) Implement innovative teaching methods and improve pedagogy.
- 4) Develop and/or improve existing courses, labs, and/or otherwise enhance curricula.

(c) Service

- 1) Actively serve on department and university committees.
- 2) Perform undergraduate student advising and mentoring.
- 3) Support assessment and accreditation efforts.
- 4) Support undergraduate student recruitment activities.
- 5) Recruit graduate students.
- 6) Serve in leading roles such as session chair, conference chair, etc. in meetings and conferences.
- 7) Serve on professional review committees (e.g., editorial boards, technical committees).
- 8) Mentor early career faculty.
- 9) Promote the university brand.

Title D. Evaluation Details

§ 1. *Adjustments.* By the third Friday of June, each faculty may receive an evaluation grade after final evaluation from the President. This evaluation grade will be reflected in any salary adjustment of faculty for the following academic year (from July to June). Please refer to the scales chart below:

- **Evaluation Grade** (see appendix for evaluation form)

Grade "S"	Grade "A"	Grade "B"	Grade "C"
Over 90	80 – 89	70 – 79	Below 70

- **Salary Growth Rate based on Evaluation Grade**

Grade "A~S"	Grade "B"	Grade "C"
Growth to be reflected in original salary	Same as previous salary	Reduction to be reflected in original salary

All faculty members are expected to obtain their performance grades of B or higher by keeping a minimal set of conditions and practices in all contents described under Title B from an Annual Report. If a faculty receives a severely low grade in one of the contents due to a performance below the university expectation, it may impact on his or her overall evaluation grade.

Article III **Third- and Fifth-Year Reviews (Academic Rank)**

Title A. Procedure

§ 1. *These are the steps to follow:*

- (a) The provost informs the Chair of the candidate's department the candidate who is to be reviewed and the date by which the review must be completed.
- (b) The Chair of the candidate's department informs the candidate to prepare a report. Concurrently, the Provost designates a committee of three (with one designated as Chair of the committee) to conduct the review. The Chair of the candidate's department and the Chair of the committee may or may not be the same person.
- (c) For the contents and format of the report, the candidate should refer to *Title B. Contents and Format of a Third- and Fifth-Year Report* in this Article.
- (d) With the candidate's report and a copy of CV ready, the committee chair invites the committee members to initiate the process of reviewing the report.
- (e) The committee should use the criteria described in *Title C. Criteria for Third- and Fifth-Year Evaluations* in this Article and fill out the "*Annual, 3rd-Year, 5th-Year Report Evaluation Form*". (See Appendix for the evaluation form)
- (f) Each committee member will eventually fill out a column (use the "Chair" column) in the form. In addition to filling out the form each committee member writes a brief summary of his/her findings that support the grades that s/he assigns in the Form.
- (g) The committee chair fills out the "Chair" column in another form, a fourth form, by computing the average of the three grades from the three committee members. If needed, the chair can add comments in the fourth Form.
- (h) The committee chair submits the following to the provost Office:
 - 1) Three Forms that three committee members filled out,
 - 2) three summary files that three committee members wrote,
 - 3) the fourth Form with committee averages in the "Chair" column (on this form the Provost and President will add their evaluations),
 - 4) CV of the candidate, and
 - 5) other files/data used in the review, if any.
- (i) The committee does not need to follow any additional steps, such as gathering reference letters, making an announcement to the department faculty or the university community, etc. These are needed for a tenure review, but not for a third- or fifth-year review.

- (j) The comments in the summary files will help the Department Chair share comments with the candidate. The results of a third- or fifth-year review do not become part of the candidate's tenure dossier, but the comments that the Department Chair shares with the candidate will help the candidate prepare for the eventual tenure review if applicable. The overall result of the review will be used for two main purposes: (1) to determine whether to extend the candidate's contract with the University or not, and (2) to determine the candidate's salary adjustment if the contract is to be extended.

Title B. Contents and Format of a Third- and Fifth-Year Report

§ 1. *Contents.* This report should cover the entire period of employment as a tenure track faculty member at SUNY Korea.

Preparation of a third- or a fifth-year report affords each faculty member an opportunity to acquaint the Provost and the President with one's accomplishments. The third- or fifth-year review is also a good time to prepare for the fifth-year review or the tenure review respectively which occurs in the fifth or sixth year respectively. The faculty member's name, department, and the date should appear in the upper right-hand corner of the report. Along with the report, a full CV should also be submitted.

Below are the contents to be covered and the format to be used in a third- or fifth-year report for the evaluation of performance of each tenure-track faculty member.

(a) Statement Relative to Teaching Activities or Other Major Assignments

The report should include a statement about teaching or major assignment activities for the period. Any new courses developed, approaches used and their outcomes should be reported for this period. A list of graduate students (and their classifications), for whom faculty serves as a major advisor, should be included. Students' course evaluation records will highly be reflected in the outcome of this evaluation.

(b) Education and Curriculum Development Activities

The report should include a statement about education and curriculum development activities for the period. Any new activities or approaches done for the development of education and curriculum and their outcomes or progress should be reported for this period.

(c) Publications and Creative Work or Artistic Performances

The report should include a list of publications actually appearing in print, exhibits, recitals, performances, and other creative scholarly presentations published or given during the period.

(d) External Funding

The report should contain a list of grants and contracts applied for and/or received during this period by title, funding agency, amount requested, and duration of grant.

(e) Research and Creative Activities in Progress

Any research or creative activities which are not reflected in responses to (c) or (d) above, should be described in this section. Information on (1) research in progress and (2) research in the planning stage should be included, as well as any publications submitted for review and/or accepted for publication.

(f) Professional Organizations and Public Service

The report should contain a list of the professional organizations to which the faculty member belongs, and a record of his/her activities in those organizations for the period – meetings attended, and offices held. Honors that were received and services that were performed for community, state, or nation should be listed.

(g) Administrative Duties, University Service, Committee Work

This section should include a list of services to the University including committee work, administrative work and work with students or community, in addition to those of teaching and research. Any academic degrees received during the year should be noted in this section.

(h) Brand Promotion and Graduate Student Recruitment

This section should contain your efforts with regards to furthering the recognition of the SUNY Korea brand. Any talk you give, any paper you write, or any other professional interaction is an opportunity to make SUNY Korea and your department more recognizable, both within and outside Korea. This is particularly important for the recruitment of graduate students, creating opportunities for student internships and employment, and securing leads for possible research grants. Please also list efforts and successes in these areas.

(i) General Comments

This section is intended for general comments about, or constructive suggestions in reference to your department and the University. Your comments will be considered confidential and will not be placed in general faculty files if you wish to. If you wish your comments to be held in confidence by the President, write "confidential" at the top of the page and send it directly to the President under separate cover.

Title C. Criteria for Third- and Fifth-Year Evaluations

§ 1. *Criteria.* These criteria are to be used for an annual review, third-year review, and fifth-year review.

(a) Scholarship

- 1) Have strong records of:
 - i. Indexed, peer-reviewed journal publications.
 - ii. Highly ranked conference proceedings and presentations.
 - iii. Citations and recognition of work by researchers in their fields.
- 2) Present invited talks and lectures at universities, research centers, and conferences.
- 3) Obtain average annual extramural funding that is equivalent to approximately the faculty's yearly salary.
- 4) Present a strong plan of on-going and future research or creative activity.
- 5) Support graduate students through grants.
- 6) Supervise MS theses and PhD dissertations.

(b) Teaching

- 1) Teach both undergraduate and graduate courses with consistently good student and peer evaluations.
- 2) Supervise and/or mentor undergraduate research and/or capstone design projects.
- 3) Implement innovative teaching methods and improve pedagogy.
- 4) Develop and/or improve existing courses, labs, and/or otherwise enhance curricula.

(c) Service

- 1) Serve on department and university committees.
- 2) Perform undergraduate student advising and mentoring.
- 3) Support assessment and accreditation efforts
- 4) Support undergraduate student recruitment activities.
- 5) Recruit graduate students.
- 6) Lead and/or participate in professional activities, external to the university, within their fields (e.g., session chair, conference chair, technical committees, editorial boards, etc.)

Note: Different disciplines may weigh some of these criteria differently. For example, Business Department may not emphasize external funding as much as other disciplines. do. Also note that Business does not have a graduate program at the time of this writing.

Title D. Evaluation Details

§ 1. *Adjustments.* By the third Friday of June, third- or fifth-year review candidates may receive an evaluation grade after final evaluation from the President. This evaluation grade will be used to determine a renewal of the contract or not and any salary adjustment for the following academic year (from July to June). Please refer to the scales chart below:

- **Evaluation Grade** (see appendix for evaluation form)

Grade "S"	Grade "A"	Grade "B"	Grade "C"
Over 90	80 – 89	70 – 79	Below 70

- **Salary Growth Rate based on Evaluation Grade**

Grade "A~S"	Grade "B"	Grade "C"
Growth to be reflected in original salary	Same as previous salary	Reduction to be reflected in original salary

All faculty members under a third- or fifth-year review are expected to obtain their performance grades of 'A' or higher by keeping a minimal set of conditions and practices in all contents described under Title B from the Report for the review. If a faculty receives a severely low grade in one of the contents due to a performance below the university expectation, it may impact on his or her overall evaluation grade. A performance grade below an 'A' grade may not be granted a renewal of the contract.

Article IV

Tenure and Promotion Reviews and Guidelines (Academic Rank)

This Article is based on the tenure and promotion guidelines at Stony Brook University, commonly referred to as the "Blue Book". We keep this Article in the same format as that of the Blue Book for ease of reference between them.

These Procedures are intended to guide Departments in cases of:

1. Promotion (from within) or Appointment (from outside) to the rank of Associate Professor or Full Professor.
2. Continuing Appointment (Tenure whether internally or for new appointments).

TABLE OF CONTENTS

- 0. The Faculty Handbook and This Document
- 1. Policies on Promotion and Continuing Appointment
 - 1.1 Criteria
 - 1.2 Mandatory Review
 - 1.3 New Appointments
- 2. Department Evaluation and Recommendation
 - 2.1 Initiation of Candidacy
 - 2.2 Resubmission
 - 2.3 Announcement of Candidacy
 - 2.4 The Candidacy File
 - 2.5 Evaluation
 - 2.6 Submission to the Personnel Policy Committee
- 3. New Appointments
- 4. Evaluation by the University Personnel Policy Committee
- 5. Evaluation by the Provost
- 6. Action by the President
- 7. Appendices
 - 7.1 Sample Announcement of Initiation of a Candidacy and/or Continuing Appointment
 - 7.2 Sample Letter of Solicitation for Promotion and/or Continuing Appointment
 - 7.3 Sample Bibliography
 - 7.4 Suggested Order of Material in Files

0 THE FACULTY HANDBOOK AND THIS ARTICLE

When and if there is any discrepancy or conflict between the two documents (The Faculty Handbook and this Article), this Article (Tenure and Promotion Reviews and Guidelines) shall take precedence over the other parts of the Faculty Handbook.

1 POLICIES ON PROMOTION AND CONTINUING APPOINTMENT

1.1 Criteria

The University values certain elements which should be weighed in evaluation of candidates for promotion and/or continuing appointment (tenure). In conducting evaluations pursuant to this Title, the chief administrative officer of the University concerned, or designee, 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.
- (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 arts, publications, and reputation among colleagues.
- (d) Effectiveness of University service — as demonstrated by such things as university public service, committee work, administrative work, and work with students or community in addition to formal teacher-student relationships.
- (e) Continuing growth — as demonstrated by such things as reading, research, or other activities to keep abreast of current developments in the academic employee's fields and being able to handle successfully increased responsibility."

1.2 Mandatory Review for Continuing Appointment

1.2.1 It is the University's policy that professors and associate professors on a three-year term appointment must be granted continuing appointment if reappointed at the end of that term. Assistant professors reappointed in academic rank positions (professor, associate, and assistant) must be reappointed with continuing appointment if they have completed seven years of service in a position or positions of academic rank in the University. Satisfactory full-time service in academic rank in any other accredited institution of higher education shall be credited as service up to a maximum of three years, but waiver of all or part of this service credit shall be granted upon written request of the employee to the Board of Managers not later than six months after the date of the initial appointment. Such requests should be submitted to the department head for forwarding to the administration.

1.2.2 Continuing appointment cases must be considered at least one year prior to the time when continuing appointment would become mandatory or when the final term appointment would expire.

1.2.3 Associate or full professors holding a term appointment must be reviewed for continuing appointment not later than the third year of service in that rank.

1.2.4 Assistant professors who have neither previously been reviewed for tenure at SUNY Korea nor submitted a letter of resignation, must be reviewed for continuing appointment not later than the sixth year of service in academic rank.

1.2.5 In computing consecutive years of service for the purposes of appointment or reappointment, periods of leave of absence at full salary shall be included; periods of leave of absence at partial salary or without salary and periods of part-time service shall not be included but shall not be deemed an interruption of otherwise consecutive service.

1.3 New Appointments

1.3.1 New appointments at the senior level (Associate or Full Professor) and new part-time continuing appointments at the senior level are also to be reviewed by the Department Committee (see Section 2.5.2). Files for these appointments should adhere to the specifications given in Section 3. Appointments for adjunct or visiting faculty are not reviewed by the Department Committee.

2 DEPARTMENT EVALUATION AND RECOMMENDATION

2.1 Initiation of Candidacy

2.1.1 The department chair ordinarily initiates a candidacy for promotion to higher rank, or for a continuing appointment or both, having obtained the consent of the faculty member involved. The department chair is responsible for the preparation of the candidacy file, although the responsibility of assembling materials for the file may be delegated to an ad hoc committee. If this is the case, the chair must consult with the candidate on the choice of the faculty member named to head that committee. The ad hoc committee and the candidate shall be furnished with a copy of these Procedures, which will guide their work.

2.1.2 When consideration of a continuing appointment is mandatory, the chair must notify the candidate and proceed with the evaluation unless the candidate submits a resignation, to take effect no later than the end of his or her term.

2.1.3 Except as noted in section 2.1.4, any individual faculty member of academic rank may initiate his/her candidacy for promotion and/or continuing appointment at any time prior to either receiving notice of non-reappointment or submitting a resignation. This request must be communicated in writing to the chair by the candidate. The chair must then convene the department to consider the request. If the request for review is approved by the department, the candidacy file will be assembled by the chair in accordance with 2.1.1 above.

2.1.4 Reconsideration of a case in the year immediately following disapproval of a promotion or tenure recommendation is subject to review as provided in section 2.2.2.

2.1.5 If the department³ does not approve a faculty member's request for a review, the faculty member may appeal the decision to the Personnel Policy Committee (PPC) after receiving written notification of the department's decision. The appeal must be accompanied by supporting documents. In the case of a negative decision by the Personnel Policy Committee the case may be appealed to the Provost for a final decision.

2.2 Resubmission

2.2.1 If a case is presented again in the academic year directly following a negative or inconclusive outcome of a promotion or tenure recommendation, it shall be considered a resubmission.

2.2.2 Files for a resubmitted case should be presented in two parts.

Part I A copy of the candidacy file presented in the preceding year. Upon request, the original file can be retrieved from the provost's office, cleared of supervisory letters added after Committee review, and transmitted to the Personnel Policy Committee.

Part II An account of the change in professional status of the candidate since the previous submission containing a) a new curriculum vitae, b) new documentary materials, c) additional solicited letters of reference from within and outside the University, d) an updated departmental recommendation, and e) an updated summary letter from the chair with emphasis on the recent achievement of the candidate. This account will be divided into a biographic file and general and special evaluative files and will be prepared according to the present norms for preparing such files. Part II (and Part I if supplied by the Department) will be submitted to the Personnel Policy Committee.

2.2.3 Whether or not a resubmitted case merits a new review will depend on the comparative evaluation of the contents of Parts I and II of the resubmitted file. The department makes its recommendation to the Personnel Policy Committee, which will evaluate whether or not a substantially higher level of achievement has been reached in the intervening year.

2.2.4 After two years, normal procedures for submission of candidacy files should be followed.

2.3 Announcement of Candidacy

The initiation of each candidacy for promotion and/or continuing appointment shall be communicated in writing by the chair to all the faculty members of the department. This written announcement shall include a statement from the chair soliciting letters of comment from any member of the University community. Such announcements must give each respondent the opportunity to specify that the candidate may have access to her/his letter either as it stands or with all reference to the identity of the source removed. If such

³ The term "department" in sections 2.1.3 and 2.1.5 means the appropriate faculty group in the department. See section 2.5.1 for details.

permission is not given, a response will be considered confidential and will be placed in the special evaluative file (See Section 2.4.5). A sample letter of announcement is supplied below in Section 7.1.

2.4 The Candidacy File (Note: The following section pertains to internal cases; for outside appointments, see Section 3.)

2.4.1 The candidacy file contains three parts:

- A. The biographic file drawn up by the candidate. This file is available to all who have a right to contribute to the evaluative files.
- B. The general evaluative file containing confidential information that the candidate may review before the President's decision is made. This material is available to the appropriate faculty group, to the Personnel Policy Committee and to the higher academic administrators as well as to the candidate at the appropriate time.
- C. The special evaluative file containing confidential material that is not accessible to the candidate, but only to the appropriate faculty, the Personnel Policy Committee, and higher academic administrators.

2.4.2 The department chair shall be responsible for the preparation and collection of appropriate materials on each candidate for promotion and/or continuing appointment (see Section 2.1.1). When the chair is a candidate, the administrator to whom the chair reports shall be responsible for the preparation of the candidacy file. The candidacy file shall not be circulated to persons other than those specifically authorized to review it in accordance with these Procedures, with the exception that the biographic file may be made available to others at the request of the candidate. The candidacy file shall not be made a part of or be considered a part of the personnel file.

2.4.3 The Biographic File

2.4.3.1 Each candidate for promotion and/or continuing appointment shall prepare a biographic file that will become part of the candidacy file. The biographic file shall include the SUNY Korea standard CV and any other career information that the candidate believes to be relevant. References to all scholarly works should be included in the list of publications. Only work already published or accepted for publication should be on this list. References to works accepted for publication but not yet published should be accompanied by evidence of acceptance.

2.4.3.2 The list of publications should be broken down into the following categories: 1) books and monographs; 2) papers (divided into refereed journal papers, refereed conference papers and nonrefereed papers; 3) abstracts, book reviews; 4) 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. See Appendix 7.3 for a detailed example of bibliographic form.

2.4.3.3 Research that have been performed in collaboration with industry and national laboratories (topics, names of collaborators, years of collaboration, student co-advisement, funding, etc.); contribution to technology transfer; patents; commercial software development; consultancy; if appropriate.

2.4.3.4 Presentations that have not been published should be listed in an appropriate place and divided into the following categories:

- 1) invited scholarly lectures and symposia.
- 2) other lectures or presentations.

2.4.3.5 Representative copies of the candidate's scholarly work should be included.

2.4.3.6 Teaching contributions should be well documented. Such documentation might include, but not be limited to, as many of the following categories as appropriate: contributions toward curricular development; design, redesign or teaching of new or existing courses and laboratories; quality of in-class teaching; support of students' learning outside of the classroom; use of effective and innovative pedagogical approaches; advising, mentoring and supervising of students; evidence that course goals have been met; experiences outside of university settings that can be adapted to teaching at the university; and 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.

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.

2.4.3.7 If applicable, 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.

2.4.3.8 Service contributions should be arranged in the following categories: a) departmental service; b) University service (above department level); c) professional service outside the University; d) 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 a 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.

2.4.3.9 A list of the membership of the professional societies, technical sessions/meetings organized/chaired, symposium or conference volumes edited, and technical review panels served.

2.4.3.10 The completed biographic file with the dated signature of the candidate should be submitted to the department chair.

2.4.4 General Evaluative File

2.4.4.1 The general evaluative file will contain all supervisory evaluations. These include the reports of 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 Personnel Policy Committee on the case.

2.4.4.2 It is assumed that the Department 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 as described in Section 2.4.5.6.

For internal cases (and to as great an extent as possible, for external cases as well) the chair 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 (Section 2.4.3.6), as well as any additional evidence on these matters gathered by the Department. 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.

2.4.4.3 When writers of solicited letters have given permission for the candidate to see their letters⁴, 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.

2.4.5 The Special Evaluative File

⁴ See Sections 2.3, and 2.4.5.4e.

2.4.5.1 This division of the file should contain all solicited recommendations (outside referees, faculty, and students) other than those of the supervisory of the candidate. It is expected to contain substantive written evaluations from at least six authorities from peer and/or aspirational US or international institutions in all cases of promotion to a higher rank or continuing appointment or both. These letters must be from distinguished scholars who, at minimum, have a rank higher than that of the candidate, and preferably have the rank of full professor. The letter writers should not be collaborators within the last four years, colleagues, or members of the candidate's graduate department during the time he or she was a graduate student or postdoctoral supervisor. Such letter writers will be referred to in this document as mandatory letter writers and their letters as mandatory letters. In addition to the six mandatory letters, two other letters may be solicited from authorities who might not necessarily satisfy the requirements of mandatory letter writers.

2.4.5.2 The candidate may suggest a list of four to six mandatory referees from peer and/or aspirational US or international institutions, from which the department will choose three mandatory referees. Three other mandatory referees are chosen independently by the department. Additionally, two other referees will be selected independently by the department.

2.4.5.3 The department 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.

2.4.5.4 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 provided in (Section 7.2.).

It should request the referee:

- a) 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),
- b) to compare the candidate's scholarly or professional contributions with those of US or international leaders in the candidate's field who are at a comparable career stage,
- c) to supply information when possible about the candidate's teaching effectiveness,
- d) to comment on whether the candidate would be granted tenure and/or promotion in the reviewer's own institution,
- e) 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 specified otherwise.

2.4.5.5 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.

2.4.5.6 For internal cases (and if possible, for external cases as well) at least 5 solicited, signed letters on teaching shall be included. The Department should solicit opinion 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 Department 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). At least one of these letters should be from a faculty member who has been designated to evaluate a complete course as it was being taught. This should include direct observation of the candidate in the classroom, an evaluation of material provided to students (for example, syllabus, class notes), an evaluation of the work required of students (for example, homework assignments, exams), an evaluation of the students' performance and comments on the candidate's interactions with the students. For this purpose it is preferable that the faculty member be familiar with the course material.

2.4.5.7 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.

2.5 Evaluation

2.5.1 An appropriate group of faculty shall be responsible for evaluating and making a recommendation on each candidate for promotion and/or continuing appointment. The appropriate group will vary according to the type of action being considered although one member must be from the home department at SBU:

Promotion: All members of the department who are of higher rank than the candidate's.

Continuing Appointment: All members of the department with a continuing appointment.

2.5.2 If the candidate's department is not large enough to form an appropriate group of a minimum of three (3) members, such a group will be constituted by the Provost after consultation with the candidate's department chair, possibly including faculty members from the home department at SBU.

2.5.3 The appropriate faculty group, in advance of making its recommendation, shall have ready access to the completed file and to a copy of these Procedures. The file shall carry on its face the names of all those faculty eligible to consult it, with space provided for their signatures. Each eligible faculty member consulting the file shall sign the cover

sheet to indicate that his or her examination of the file has been completed.

2.5.4 Each member of the appropriate faculty group, after having examined the candidate's file, will express his/her opinion of the candidate in a letter addressed to the chair. The letter should include the reasons for his/her yes, no or abstain vote and a critical review of the candidacy. The vote will be kept confidential but will be part of the evaluation file when it is sent to the Personnel Policy Committee. The final tally of the vote will be announced by the chair at a meeting of the appropriate faculty group with a summary of observations made by the members of the group.

2.5.5 After all of the vote has been submitted as outlined in Section 2.5.4, the department chair shall write a letter stating the recommendation and providing a balanced summary of the views of the group. In addition, the letter should indicate how the person's research or creative work, teaching, and other activities relate to the mission of the department. To this letter from the chair shall be appended a signature sheet with the typed names of those faculty eligible to read it. Each person on the list shall sign to indicate that she or he has read the chair's letter.

2.5.6 The recommendation letter with its summary of departmental views and any additional letter from the chair shall be considered a draft until reviewed in the Provost's office for confidentiality of solicited opinions as indicated in Section 2.4.4.1. The chair shall be responsible for any revision required to preserve confidentiality of solicited opinions. When a case involves continuing appointment, a copy of the chair's summarizing letter shall be released to the candidate immediately following review in the Provost's office and, if necessary, revision.

2.6 Submission to the Personnel Policy Committee

2.6.1 The department chair is responsible for forwarding the completed file with the recommendation letter to the Provost for transmission to the Personnel Policy Committee.

2.6.2 The file should be organized as indicated in Section 7.4. The material in the main files (biographic, general evaluative, and special evaluative) must be presented so that it will not become disordered during the review process. A loose-leaf binder in which subdivisions are clearly marked is suggested. Additional materials, such as offprints, books, recent manuscripts may be presented in plainly marked envelopes or boxes.

2.6.3 The chair's recommendation letter is considered a draft until reviewed for confidentiality of solicited opinions (see Section 2.5.6).

2.6.4 April 1 is the deadline for submission of all mandatory cases⁵. Departments have the obligation to observe these deadlines. New appointments are not subject to the deadlines for internal cases.

⁵ This deadline is for those cases that start in Fall semester. For those cases that start in Spring semester, it would be October 1. Make similar adjustments for other dates mentioned in this Article.

2.6.5 Where situations not covered by the Procedures specified in this section arise, the chair of the Personnel Policy Committee, the chair of the department involved, and the Provost shall consult to devise suitable means to deal with the case.

3 NEW APPOINTMENTS

3.1 Files for new appointments at senior rank with or without continuing appointment should contain a range of information commensurate with that required for internal cases.

At a minimum, they must contain:

- (a) a complete, current curriculum vitae
- (b) information on teaching (see Section 3.3)
- (c) copies of letters soliciting outside evaluations (see Section 3.2)
- (d) letters from outside authorities evaluating the candidate's professional work and standing in the field (see Section 3.2)
- (e) a letter from the departmental chair summarizing the case for the appointment (see Section 3.4)
- (f) a tally of the votes and evaluation letters of all those members of the department who would normally vote. If continuing appointment is involved, the voting group must include at least five (5) tenured faculty. If the voting group is not sufficiently large, it will be augmented as for internal cases, as described in Section 2.5.2.

Departments are encouraged to solicit letters from other departments at SUNY Korea and Stony Brook University who are particularly well qualified to comment on the candidate's field of specialization and may expect to interact closely with the candidate. Letters from chairs of departments to which the candidate is likely to contribute may also be solicited.

3.2 It is expected a minimum of six formal external letters of evaluation from distinguished scholars from peer and/or aspirational US or international institutions that satisfy the requirements of mandatory letters as defined in Section 2.4.5.1. At least three mandatory letters should be chosen by the department. Referees should be chosen with a view to documenting US and/or international reputation of the candidate.

The letters soliciting the evaluations must specify the proposed rank and indicate plainly whether or not tenure is involved. They must communicate the conditional nature of the situation ("We are considering a possible offer to Z of appointment as Associate Professor with tenure "). The body of the letter of solicitation should cover the same points as those for internal cases (see Section 2.4.5.4) except that assurances on preservation of confidentiality will be unconditional. As in internal cases, each letter of evaluation 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.

3.3 The file must contain information about the candidate's teaching. Ordinarily this will include a list of courses taught in the last 5 years, and an account of graduate students trained except for the candidate who is joining the department without a graduate program. In addition, letters from colleagues or former students now in the profession, and summaries of student evaluations gathered regularly at the candidate's institution should be provided. The department must offer what information it can on expected teaching performance (observance of colloquia, discussions during the interview). This will be

particularly important in the case of candidates who have little or no teaching experience. In all cases the summary letter should detail efforts to evaluate teaching performance.

- 3.4 The department should formally state its case for making the appointment at the proposed level and indicate explicitly how the candidate is expected to function within the program and interact with colleagues. The expected contribution to both undergraduate and graduate teaching programs, if applicable, should be made clear.

4 EVALUATION BY THE UNIVERSITY PERSONNEL POLICY COMMITTEE

- 4.1 The Personnel Policy Committee will review and evaluate the file. Prior to reaching a decision the Committee may seek additional information, either on its own or through the Provost. Substantively new information affecting the evaluation of the candidate will be shared with the department in keeping with the principle of confidentiality respecting the sources of that information.
- 4.2 Members of the Committee who are in the candidate's department shall abstain from voting if he/she has already voted in the department.
- 4.3 If a prior recommendation is not likely to be upheld by the Committee, the reasons for such possible action will be summarized in writing and sent to the department chair. The Committee will then entertain a written response from the department chair within one week of its informing the department of its likely decision not to uphold the prior recommendation. After this communication, the Committee will formulate its formal recommendation, which will follow the procedures outlined at the beginning of this section.
- 4.4 Apart from official communications by the Committee Chair, all members of the Committee are expected to maintain strict confidentiality about the deliberations of the Committee.
- 4.5 In all cases where files have been submitted by April 1, and have been acceptably completed according to the specifications given in these Procedures, the Committee's recommendation will be forwarded to the Provost not later than May 30.

5 EVALUATION BY THE PROVOST

- 5.1 The file is reviewed by the Provost, normally within two weeks of receipt. If the Provost does not agree with, or has questions about, the recommendation of the Personnel Policy Committee, the Provost shall meet with the Committee to allow an exchange of ideas and opinions before completing his/her formal written recommendation.
- 5.2 When a case involves continuing appointment, a copy of the Provost's letter of recommendation will be released to the candidate immediately.
- 5.3 The Provost, after formulating a recommendation, will forward the file to the President.
- 5.4 If substantively new information affecting evaluation of the candidate is added to the

file after it has been considered by the Personnel Policy Committee, this information will be communicated to the Committee and to the department. If so requested, the appropriate administrative officers will discuss such information with the Committee, which shall have the right to add to the file its subsequent reaction.

5.5 The Provost will notify the candidate that the file is being forwarded to the President and that it is available for review in the Office of the President.

6 ACTION BY THE PRESIDENT

6.1 In cases involving the granting of continuing appointment, the President makes a recommendation to the Board of Managers. In all other cases, the President makes the final decision, based on the array of previous faculty and administrative recommendations together with the supporting materials in the file.

6.2 If the President disagrees with the Committee recommendation, he or she may consult with the Committee before making the final decision. Such consultation should be carried out as early as possible, preferably before the end of the term in which the file is submitted, to ensure a hearing by the full membership of the Committee.

6.3 A copy of the letter announcing the President's decision shall be sent to the Personnel Policy Committee at the time it is sent to the candidate.

7 APPENDICES

7.1 Sample announcement of initiation of a candidacy for promotion and/or continuing appointment:

MEMO

TO: All Faculty Members of (Title of Department of Program)

FROM: (Name of Chair)

SUBJECT: Announcement of the Candidacy of (Name of Candidate)

Professor (Name of Candidate) of the (Department) is a candidate for (enter appropriate terms).

Any member of the University Community, and especially any member of this department, is invited to write a letter commenting on this candidacy.

Such letters will be made a part of the confidential evaluative file to be drawn up for this case. For your reference, the criteria for promotion and tenure, as stated in the Tenure and Promotion Guidelines, are attached. (Attach a copy of Section 1.1 of these Guidelines.) Your letter will be held in confidence and placed in the confidential section of the file unless you indicate specifically that the candidate may read your letter, either as it stands or with all identification as to its source deleted. If you state that you do not wish it to be read by the candidate, or if you do not explicitly authorize release to the candidate, your

letter will be held in confidence and placed in the confidential section of the file.

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

Dear Professor _____

We are considering the promotion of from (rank) to (rank) with/without tenure. In order to help us reach a decision, we would appreciate your candid 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 indicate to what extent you have had occasion to interact personally with the candidate.

We would especially value your expert opinion on the quality, originality and importance of the candidate's research and your estimation of how she/he compares in professional accomplishments with others at similar stages in their career or holding comparable academic rank. It would also be useful to know whether a candidate of Dr. _____'s qualifications would probably be promoted/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.

The candidate will not have access to your letter of reference unless you give us specific permission, in writing, to provide a copy to him/her. 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 reach an informed decision in this matter. My colleagues and I appreciate the time and care which you devote to this evaluation.

Sincerely yours,

3.1 Sample Bibliography⁶ Books:

A. D. Kraus and A. Bar-Cohen, Thermal Analysis and Control of Electronic Equipment 1st Edition, (Hemisphere Publishing Corporation, New York, 1983), xvi+620 pp.

A. Bar-Cohen and A. D. Kraus (editors), Advances in Thermal Modeling of Electronic Components and Systems, Vol. I (Hemisphere Publishing Corporation, New York, 1988), ii+469 pp.

Review Papers:

⁶ Form will vary from department to department

M. M. Yovanovich and V. W. Antonetti, Application of Thermal Contact Resistance Theory to Electronic Packages, in *Advances in Thermal Modeling of Electronic Components and System*, A. D. Kraus (editors), Vol. 1 (Hemisphere Publishing Corporation, New York, 1988) pp. 79~128.

M. Quintard and S. Whitaker, One- and Two-Equation Models for Transient Diffusion Processes in Two-Phase Systems, in *Advances in Heat Transfer*, J. P. Hartnett, T. F. Irvine, Jr., and Y. L Cho (editors), Vol. 23 (Academic Press, San Diego, 1993) pp. 369-464.

Journal Articles:

D. W. Hoffman and J. A. Thornton., Effect of Substrate Orientation and Rotation on Internal Stresses in Sputtered Metal Films, *Journal of Vacuum Science and Technology*, Vol. 16. pp. 134-137 (1979).

K. H. Muller, Stress and Microstructure of Sputter-Deposited Thin Film: Molecular Dynamics Investigation, *Journal of Applied Physics*, Vol. 62, pp. 1796-1799 (1987).

Other Refereed Papers:

R. P. Ried, D. M. Hong and R. S. Muller, Modulation of Micromachined-Microphone Frequency Response Using an On-Diaphragm Heater, *Micromechanical Systems 1993*, A. P. Pisano, J. Jara-Almonte and W. Trimmer (editors), DSCNol. 46, (ASME, New York, 1993), pp. 7-12.

T. Nowak, and J. H. Chun, Flow Visualization of Fiber Impregnation in Resin Transfer Molding, *Proceedings, First International Conference on Transport Phenomena in Processing*, S. I. Guceri (editor) (Technomac Publishing Co., 1993) pp. 1249-1258.

\Non-Refereed Papers, Reports and Other Articles:

A. K. Noor and S. L. Venneri, Future Flight, *Mechanical Engineering*, Vol. 116 (9), pp. 86-88, ASME 1994

D. A. Weitz and D. J. Pine, Multiple Scattering Probes of Disordered Materials, *MRS Bulletin*, Vol. XIX (5)m pp. 39-44, Materials Research Society, 1994.

H. Strauss, D. Longcope and E. Hameiri, Magneto Fluid Dynamics Computations on Structured and Unstructured Meshes, *AFOSR Grantees and Contractors Meeting, Research in Computational Mathematics*, pp. 22-25, 1993.

Miscellaneous including abstract presentations in a suitable format.

The PPC recommends that promotion dossiers contain the following information.

- SUNY Korea standard CV, with copies of selected publications
- Research statement, teaching statement, and service statement
- Mandatory letters from external reviewers, selected by candidate and selected by department.
- Optional letters from external reviewers, selected by candidate and selected by department.
- CVs of external reviewers (in the same order as the letters, but in a separate section of the dossier). Brief CVs, brief professional biographies, and full CVs are acceptable.
- Letters from SUNY Korea and Stony Brook colleagues, especially mentors
- Letters from students
- Teaching evaluation by a colleague
- Student teaching evaluations from all courses taught at SUNY Korea since the most recent promotion or joining the university, whichever came later.
- Letter from department chair. If the letter contains quotes from external reviewers, the source of each quote should be identified in the letter with a pseudonym (e.g., Reviewer A), and the dossier should contain a key to the pseudonyms.

Change Logs and Notes:

- (a) 2020.03.09 Initial version established.
- (b) 2021.03.10 Added section 0; Replaced ‘president’ by ‘Board of Managers’ in section 1.2.1.
- (c) 2023.02.16 Sections 2.4.5.1 and 2.4.5.2 of the Special Evaluative File were modified to clarify the numbers and types of external referees.
- (d) 2023.02.16 Minor editorial changes.

Article V
Annual Faculty Reviews (Qualified Academic Rank)

Title A. Annual Reporting and its Submission Periods

§ 1. *Annual Report.* An annual report is required of all full-time faculty members and is to be submitted to the Chair of one's affiliated academic department or Head of Faculty of Sciences and Humanities or Dean of Academic Affairs for members without any affiliation. After being reviewed by the Chair, Head or Dean, the annual report is to be forwarded to the Provost. The Provost will retain one copy and forward one copy with addition of Provost's review to the President. The President will make the final decision.

The evaluative reports are placed in the personnel files in the President's office for future reference. The report is used to keep the President informed of faculty activities, in the determination of merit raises and in the assignment of teaching loads for the forthcoming year. Additionally, the report will also be used by the President in the annual evaluation of a faculty member's performance. Therefore, it is prudent that the reports be prepared carefully.

Following the fiscal year of SUNY Korea (July 1 to June 30), an annual report is due by the first business day of April each year. The Chair of each academic department or the Head of Faculty of Sciences and Humanities or Dean of Academic Affairs reviews each report and provides separate comments to each report before its submission to the Provost, and the annual reports are to be submitted to the Provost no later than the second Friday of April. After Provost finishing an additional review of annual reports from the Chairs, Head or Dean, Provost provides additional comments if necessary and submits all the combined reports to the President by the second Monday of May. The President reviews the reports submitted and makes the final decision on each faculty based on the contents described under a Title B within the last week of May. The evaluation grade will be announced to each faculty by the third Friday of June and it will be reflected in any salary adjustment for the following year for the faculty.

§ 2. *Appeal.* Faculty who received their evaluation grades may make an appeal by contacting the Faculty HR or Team Leader of Academic Affairs at least three days upon receipt of final evaluation result with a statement of appeal. Faculty HR must review the received appeal and notify the result to the faculty who requested the reviews within two weeks.

Title B. Contents and Format of an Annual Report

§ 1. *Contents.* This report should cover a 12-month period from the first week of April to the last week of March in each academic year. Preparation of an annual report affords each faculty member an opportunity to acquaint the Provost and the President with one's accomplishments. The faculty member's name, department or division, and the date should appear in the upper right-hand corner of the report. Along with the report a full CV should also be submitted.

Certain items on the annual report such as teaching experiences and activities are generally not included in a CV. The report may also be used to express complaints and positive feelings about your department or division and the University which shall be kept confidential.

New faculty and administrative faculty joining the University in the Fall are requested to furnish data for their entire career (vita) as an initial report. So, even a faculty who has been with the University less than a year needs to submit an annual report.

Below are the contents which must be included in an annual report for the evaluation of performance of each full-time teaching faculty members:

(a) Statement Relative to Teaching Activities or Other Major Assignment

The report should include a statement about teaching or major assignment activities for the year. Any new courses developed, approaches used, and their outcomes should be reported for this period. Students' course evaluation records will highly be reflected in the outcome of this evaluation.

(b) Administrative Duties, University Service, Committee Work

This section should include a list of services to the University including committee work, administrative work, work with students or community and any leadership roles if applicable, in addition to those of teaching and research. Any academic degrees received during the year should be noted in this section.

(c) General Comments

The "General Comments" section is intended for general comments about, or constructive suggestions in reference to your department and the University. Your comments will be considered confidential and will *not* be placed in general faculty files if you wish to. If you wish your comments to be held in confidence by the President, write "confidential" at the top of the page and send it directly to the President under separate cover.

Below are contents which, if available, should be included in the report:

(a) Education and Curriculum Development Activities

The report should include a statement about education and curriculum development activities for the year. Any new activities or approaches done for the development of education and curriculum and their outcomes or progress should be reported for this period.

(b) Publications and Creative Work or Artistic Performances

The report should include a list of publications actually appearing in print, exhibits, recitals, performances, and other creative scholarly presentations published or given during the period.

(c) Research and Creative Activities in Progress

Any research or creative activities which are not reflected in responses to (c) above should be described in this section. Information on (1) research in progress and (2) research in the planning stage should be included, as well as any publications submitted in review and/or accepted for publication.

(d) Brand Promotion

This section should contain your efforts with regards to furthering the recognition of the SUNY Korea brand. Any talk you give, any paper or article you write, or any other professional interaction is an opportunity to make SUNY Korea more recognizable, both within and outside Korea. This is particularly important for creating opportunities for student internships and employment and securing leads for possible research grants. Please also list your efforts and successes in these areas.

Title C. Criteria for Qualified Academic Rank

§ 1. Criteria

(e) Teaching quality and load

- 5) Teach both undergraduate and graduate courses with consistently good student and peer evaluations.
- 6) Supervise and/or mentor undergraduate research and/or capstone design projects.
- 7) Implement innovative teaching methods and improve pedagogy.
- 8) Develop and/or improve existing courses, labs, and/or otherwise enhance curricula.

(f) Maintain qualifications and competences in the areas of teaching.

- 5) Level of Scholarship.
- 6) Organizing and/or participation in workshops, seminars, and conferences.
- 7) Active leadership and/or participation in professional activities and professional societies.
- 8) Engagement with industry.

(g) Service

- 9) Actively serve on department and university committees.
- 10) Perform undergraduate student advising and mentoring.
- 11) Support assessment and accreditation efforts.
- 12) Support undergraduate student recruitment activities.
- 13) Recruit graduate students.
- 14) Serve in leading roles such as session chair, conference chair, etc. in meetings and conferences.

- 15) Serve on professional review committees (e.g., editorial boards, technical committees).
- 16) Promote the university brand.

Title D. Criteria for Qualified Academic Rank with Administrative Responsibilities

§ 1. *Criteria*

(a) Teaching quality and load

- 1) Teach both undergraduate and graduate courses with consistently good student and peer evaluations.
- 2) Supervise and/or mentor undergraduate research and/or capstone design projects.
- 3) Implement innovative teaching methods and improve pedagogy.
- 4) Develop and/or improve existing courses, labs, and/or otherwise enhance curricula.

(b) Administrative duties

- 1) Effectively manage a program or unit.
- 2) Plan and implement initiatives for advancing the mission of the unit.
- 3) Represent the unit within the university and community.
- 4) Effectively manage an early career faculty mentoring program.

(c) Maintain qualifications and competences in the areas of teaching.

- 1) Level of scholarship.
- 2) Organizing and/or participation in workshops, seminars, and conferences.
- 3) Active leadership and/or participation in professional activities and professional societies.
- 4) Engagement with industry.

(d) Service

- 1) Actively serve on department and university committees.
- 2) Perform undergraduate student advising and mentoring.
- 3) Support assessment and accreditation efforts.
- 4) Support undergraduate student recruitment activities.
- 5) Recruit graduate students.
- 6) Serve in leading roles such as session chair, conference chair, etc. in meetings and conferences.
- 7) Serve on professional review committees (e.g., editorial boards, technical committees).
- 8) Promote the university brand.

Title E. Evaluation Details

§ 1. *Adjustments.* By the third Friday of June, each faculty may receive an evaluation grade after final evaluation from the President. This evaluation grade will be reflected in any salary adjustment of faculty for the following academic year (from July to June).

- Evaluation Grade

Grade "S"	Grade "A"	Grade "B"	Grade "C"
Over 90	80 – 89	70 – 79	Below 70

- Salary Growth Rate based on Evaluation Grade

Grade "A~S"	Grade "B"	Grade "C"
Growth to be reflected in original salary	Same as previous salary	Reduction to be reflected in original salary

All faculty members are expected to obtain their performance grades of B or higher by keeping a minimal set of conditions and practices in all contents described under Title B from an Annual Report. If a faculty receives a severely low grade in one of the contents due to a performance below the university expectation, it may impact on his or her overall evaluation grade.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Approval.* These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments.* All amendments shall become effective upon approval by the President of SUNY Korea.

Article II Change Log

§ 1. *Log*

- (a) 2016.01.26. Initially written.
- (b) 2016.03.17. Chapter I, Article I, II and III modified.
- (c) 2017.12.28. Chapter I revised.
- (d) 2018.07.30. Chapter I, Article I and II, Title C modified.
- (e) 2018.07.30. The term ‘Vice President for Academic Affairs’ is replaced by ‘Provost and Vice President for Academic Affairs’.
- (f) 2021.08.23. The term ‘Provost and Vice President for Academic Affairs’ is replaced by ‘Provost’. The policy on annual reviews for both Academic Rank and Qualified Academic Rank faculty are revised with evaluation criteria and forms. Procedures for 3rd-year and 5th-year reviews are added. Tenure and promotion reviews and guidelines, which existed as a separate document, are merged into the Faculty Handbook. New evaluation forms for annual reviews, 3rd-year reviews, and 5th-year reviews are updated.
- (g) 2021.10.12. Chapter I, Article IV was modified to allow associate or full professors to be reviewed for their tenure no later than the third year of service in that rank. Also removed a reference to a non-existing document.
- (h) 2021.11.19. Article III, Title A is polished up for clarity without changing the overall procedure.
- (i) 2022.05.11. The faculty evaluation form for academic rank in Chapter II, Article III is modified.
- (j) 2022.05.18. An Evaluation Details section is added to Title C.
- (k) 2023.02.16 Articles V Title E salary growth rate for grade C was modified for consistency.
- (l) Articles II Title A § 1 and D and Article V Title A § 1 were modified to implement salary adjustment for all faculty annually
- (m) 2023.02.16 Minor editorial changes.

Article III Appendix

Faculty evaluation forms for annual reviews, third-year reviews, and fifth-year reviews.



Version 01

Annual Faculty Report Evaluation Form Academic Rank 20xx-20xx

No		A P P R O V O S T	Chair	Provost	President
Date					
Dept					
Name					
Academic Rank					
Security Lv.	<div style="display: flex; align-items: center;"> <div style="width: 15px; height: 15px; background-color: red; margin-right: 5px;"></div> <div style="width: 15px; height: 15px; border: 1px solid black; margin-right: 5px;"></div> <div style="width: 15px; height: 15px; border: 1px solid black; margin-right: 5px;"></div> <div style="width: 15px; height: 15px; border: 1px solid black;"></div> </div>		xx/xx/20xx	xx/xx/20xx	xx/xx/20xx

Evaluation Grade

Grade 'S'	Grade 'A'	Grade 'B'	Grade 'C'
Over 90	80 – 89	70 – 79	Below 70

Evaluation

Evaluation Criteria	Additional Comments (if necessary)		Score(s)		
			Chair	Provost	President
Teaching Quality and Load (30pt)	Chair		/30	/30	/30
	Provost				
Improving pedagogy, innovation in teaching and enhancing curricula (10pt)	Chair		/10	/10	/10
	Provost				
Publications and Creative Work or Artistic Performances (15pt)	Chair		/15	/15	/15
	Provost				
External Funding (15pt)	Chair		/15	/15	/15
	Provost				
Research and Creative Activities in Progress (10pt)	Chair		/10	/10	/10
	Provost				
Service (Internal and External) (20pt)	Chair		/20	/20	/20
	Provost				
Total Score			/100	/100	/100
Final Evaluation Grade			/100 ('X', letter grade)		

Notes:

- This form will be used for the third- and fifth-year reviews as well.
- The chair's score is the average of the committee members' scores if used for a third- or fifth-year review.
- The Final Evaluation Grade is the average of the three scores by Chair, Provost, and President.



Annual Faculty Report Evaluation Form

Qualified Academic Rank

20XX-20XX

Version 02

No.		A P P R O V O S T	Chair	Provost	President
Date					
Dept.					
Name					
Academic Rank					
Security Lv.	<div style="display: inline-block; width: 15px; height: 15px; background-color: red; border: 1px solid black;"></div> <div style="display: inline-block; width: 15px; height: 15px; background-color: white; border: 1px solid black;"></div> <div style="display: inline-block; width: 15px; height: 15px; background-color: white; border: 1px solid black;"></div> <div style="display: inline-block; width: 15px; height: 15px; background-color: white; border: 1px solid black;"></div>		xx/xx/20xx	xx/xx/20xx	xx/xx/20xx

Evaluation Grade

Grade "S"	Grade "A"	Grade "B"	Grade "C"
Over 90	80 – 89	70 – 79	Below 70

Evaluation

Evaluation Criteria	Additional Comments (if necessary)		Score(s)		
			Chair	Provost	President
Teaching Quality and Load (50pt)	Chair		/50	/50	/50
	Provost				
Improving pedagogy, innovation in teaching and enhancing curricula (20pt)	Chair		/20	/20	/20
	Provost				
Maintaining Qualifications and Competencies in Areas of Teaching (15pt)	Chair		/15	/15	/15
	Provost				
University Service (15pt)	Chair		/15	/15	/15
	Provost				
Total Score			/100	/100	/100
Final Evaluation Grade			/100 ('X', letter grade)		

Notes:

- The Final Evaluation Grade is the average of the three scores by Chair, Provost, and President.



Annual Faculty Report Evaluation Form

Version 03

Qualified Academic Rank
with Administrative Responsibilities

20XX-20XX

No.		A P P R O V O S T	Chair	Provost	President
Date					
Dept.					
Name					
Academic Rank					
Security Lv.	<div><div></div><div></div><div></div><div></div><div></div></div>		xx/xx/20xx	xx/xx/20xx	xx/xx/20xx

Evaluation Grade

Grade "S"	Grade "A"	Grade "B"	Grade "C"
Over 90	80 – 89	70 – 79	Below 70

Evaluation

Evaluation Criteria	Additional Comments (if necessary)		Score(s)		
			Chair	Provost	President
Teaching Quality and Load (20pt)	Chair		/20	/20	/20
	Provost				
Improving pedagogy, innovation in teaching and enhancing curricula (20pt)	Chair		/20	/20	/20
	Provost				
Administrative Duties (30pt)	Chair		/30	/30	/30
	Provost				
Maintaining Qualifications and Competencies in Areas of Teaching (15pt)	Chair		/15	/15	/15
	Provost				
University Service (15pt)	Chair		/15	/15	/15
	Provost				
Total Score			/100	/100	/100
Final Evaluation Grade			/100 ('X', letter grade)		

Notes:

- The Final Evaluation Grade is the average of the three scores by Chair, Provost, and President.

5. GRIEVANCE POLICY

The State University of New York, Korea



February 16, 2023

CHAPTER I

GRIEVANCE POLICY

Article I

Overview

§ 1. *Composition.* The Faculty Grievance Committee considers complaints about faculty disputes pertaining to reappointment, dismissal, evaluation, or behavior of each faculty. The committee is composed of:

- (a) The Provost and/or Dean of Academic Affairs.
- (b) Chair(s) of the departments involved.
- (c) Two faculty members of the Faculty Senate, elected by the Senate majority vote as an ad hoc committee.
- (d) The chair of the Faculty Senate.

The Chair of the Senate shall chair the Committee.

§ 2. *Special considerations*

- (a) The participants of this process should keep all communications involved in the process confidential. Violation of confidentiality may cause an unfavorable disposition.
- (b) If a grievance is against one or more of the Committee members, they will be replaced by other elected Faculty Senate members (in case of the Chair of the Senate), or by the President (in case of Provost or Dean of Academic Affairs or department chairs).
- (c) This committee does not deal with complaints regarding faculty promotion or sexual harassment.

Article II

Procedures

§ 1. *Procedures.*

- (a) Before starting the investigation, the Department Chair shall attempt to resolve the matter at the Department level if the grievance is within a department, and the Provost and/or Dean of Academic Affairs shall attempt to resolve it if, the department chair is involved or if it is inter-Departmental grievance.
- (b) If a satisfactory resolution is not reached, the Committee starts the investigation procedure once a written complaint is submitted to the Committee by the initiator(s).
- (c) Faculty members who allege a grievance concerning common matters of fact may elect to file a group grievance, which is defined as two or more faculty members.

- (d) Once the complaint is received, the Chair shall call the supporting staff (Team Leader of Academic Affairs and/or Staff in charge of Faculty HR) to set up a hearing within 10 working days.
- (e) The complaint will be sent to all the committee members and the related personnel within 5 working days.
- (f) The Chair of the Committee shall request initiator(s) and respondent(s) to submit documents to the committee at least 3 working days before the hearing.
- (g) It is the responsibility of the Committee and its supporting staff (Team Leader of Academic Affairs and/or Staff in charge of Faculty HR) to arrange hearing space and maintain records of the hearing.
- (h) The Committee members shall have access to review the written documents before the hearing.
- (i) All parties involved in the grievance are required to respond to Committee's request for information and fully participate in any duly scheduled hearings on that complaint.
- (j) At the conclusion of its investigation, the Committee shall have a closed meeting and make its recommendation on the matter to the President. Possible recommendations include, but are not limited to, caution, warning, suspension, or termination of the appointment after the present appointment term (for non-tenured faculty), or the reduction of benefits or rights (for tenured faculty).
- (k) Two-thirds of the members of the Committee are needed for a quorum.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Approval*. These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments*. All amendments shall become effective upon approval by the President of SUNY Korea. The revision of the Grievance Policy made on November 19, 2021, shall become effective upon the establishment of the Faculty Senate because the revision depends on the existence of a Faculty Senate. Until then the previous version of the Grievance Policy will remain effective.

Article II Change Log

§ 1. *Log*

- (a) 2016.01.26. Initially written.
- (b) 2016.03.17. Paragraph formatting modified.
- (c) 2017.12.28. Chapter I revised.
- (d) 2018.07.30. The term ‘Vice President for Academic Affairs’ is replaced by ‘Provost and Vice President for Academic Affairs’.
- (e) 2021.11.19. Chapter I, Articles I and II are revised.
- (f) 2023. 02.16 Article I § 1. *Composition* was changed.
- (g) 2023. 02.16 Article I § 2 (b). was modified to address when a committee member is the respondent.
- (h) 2023.02.16 Article II § 1. *Procedures* was modified to address when a committee member is the respondent.
- (i) 2023.02.16 Minor editorial changes.

6. LEAVE POLICY

The State University of New York, Korea



February 16, 2023

CHAPTER I LEAVE POLICY

Article I Sabbatical Leave

§ 1. *Policy.* Sabbatical leaves for professional development may be made available to members of the academic employee who meet the requirements set forth below. The objective of such leave is to increase an academic employee's value to the University and thereby improve and enrich its program. Such leave shall be regarded neither as a reward for service, nor as a vacation or rest period occurring automatically at stated intervals.

§ 2. *Purpose.* Sabbatical leaves shall be granted for planned travel, study, formal education, research, writing or other experience of professional value.

§ 3. *Eligibility.* Academic employees having continuing appointments (tenured) and who have completed at least six consecutive years of service within the University or who, if they previously have had a sabbatical leave, have completed at least six consecutive years of service within the University from the date of return from their last sabbatical leave, shall be eligible for sabbatical leave. In computing consecutive years of service for the purpose of this section, periods of statutory leave shall be included; periods of leaves of absences, other than statutory leave, and periods of part- time service shall not be included but shall not be deemed an interruption of otherwise consecutive service.

§ 4. *Terms and Conditions.* Sabbatical leaves may be granted for periods of one year at rates not to exceed one-half basic annual salary or for periods of one-half year at rates not to exceed full basic annual salary. Eligible employees on sabbatical leave may, with the prior approval of the president, accept fellowships, grants-in-aid, or earned income to assist in accomplishing the purposes of their leaves. In such cases, the president may adjust the sabbatical leave salaries to reflect such income, either prior to or during the periods of such leaves, provided, however, that in no case shall sabbatically leave salary be reduced if total earnings are less than full salary.

§ 5. *Applications.* Applications for sabbatical leaves shall be submitted to the president, as far in advance as possible of the requested effective date of the leave but should not be later than six months prior to the desired date unless such requirement is expressly waived by the president. Each application shall include a statement outlining the program to be followed while on sabbatical leave, indicating any prospective income, stating that the applicant will continue as a member of the professional staff for a minimum of one year upon return and stating that upon return the applicant will submit to the president a detailed report of professional activities and accomplishments while on sabbatical leave.

§ 6. *Approval.* Consistent with provisions of section §4 of this Title, upon review and approval of the department chair and the Provost, the President may approve such sabbatical leave as the president deems appropriate and such leave shall be reported to the Board of Managers.

§ 7. *Leave Credits.* Statutory leave credits shall not be accrued during sabbatical leave.

Article II Other Leaves

§ 1. *Approval.*

- (a) The president may grant other leaves of absence for academic employees at full salary, reduced salary, or without salary, for the purpose of professional development, acceptance of assignments of limited duration with other universities and colleges, governmental agencies, foreign nations, private foundations, corporations and/or similar agencies, as a faculty member, expert, consultant or in a similar capacity, or for other appropriate purposes consistent with the needs and interests of the University. Leaves of absence at full or reduced salary pursuant to provisions of this section shall be reported to the Board of Managers. The Board of Managers may require submission of such leave requests for approval when the Board deems it in the best interest of the University.

§ 2. *Application.* Applications for such leaves of absence shall be made to the president. Each such application shall include a statement of the purpose for which the leave is requested, its anticipated duration and its values to the applicant and the University.

§ 3. *Leave Credits.* Statutory leave credits shall not be accrued during a period of leave pursuant to provisions of this section.

Article III Other Absences

§ 1. *Unauthorized Absence.*

- (a) Any academic employee absent from work without authorization shall be placed on leave without pay. In the event an academic employee's unauthorized absence continues for ten consecutive working days and the employee has not provided a written explanation for such absence to the president by the tenth workday following the commencement of such unauthorized absence, the employee's leave without pay status shall continue for the remainder of the semester in effect on the tenth

consecutive workday of absence where the University has hired a replacement for the employee.

(b) If the unauthorized absence without written explanation continues for a total of 20 consecutive workdays the employee shall be deemed to have resigned.

(c) If, prior to being deemed to have resigned, an academic employee provides suitable medical evidence which substantiates a claim of temporary disability, the employee may be placed on sick leave. Any sick leave under this subdivision shall commence upon substantiation of a claim of temporary disability by suitable medical evidence.

§ 2. *Absence: Extraordinary Circumstances.* An academic employee, who has reported for work and, because of extraordinary circumstances beyond the employee's control, for example, extreme weather conditions or physical plant breakdown, is directed by the president, or designee, to leave work, shall not be required to charge such directed absence during such day against leave accruals. Any such release of academic employees shall not create any right to equivalent time off by academic employees who are not directed to leave work.

Article IV Limitations

§ 1. *Term Appointments.* Nothing contained herein shall be deemed to extend the term of appointment of employees, and all leaves of absence shall, in any event, terminate upon the expiration of such appointment.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Approval.* These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments.* All amendments shall become effective upon approval by the President of SUNY Korea.

Article II Change Log

§ 1. *Log*

- (a) 2016.01.26. Initially written.
- (b) 2016.03.17. Paragraph formatting modified.
- (c) 2017.12.28. Chapter I revised.
- (d) 2018.07.30. The term ‘Vice President for Academic Affairs’ is replaced by ‘Provost and Vice President for Academic Affairs’.
- (e) 2023.02.16 Article I § 3 eligibility was changed to tenured faculty.
- (f) 2023.02.16 Article I § 6 was modified to clarify the approval process.
- (g) 2023.02.16 Minor editorial changes.

7. TERMINATION AND RETIREMENT POLICIES

The State University of New York, Korea



February 16, 2023

CHAPTER I

TERMINATION AND RETIREMENT POLICIES

Article I

Termination of Service

Title A. Automatic Termination

§ 1. *Term Appointments.* The services of academic employees having term appointments shall cease automatically at the end of their specified terms. There shall be no right of appeal from a nonrenewal of a term appointment.

Title B. Termination for Age or for Physical or Mental Incapacity

§ 1. *Retirement.* The services of academic employees may be terminated at any time for age or for physical or mental incapacity in accordance with Article II.

Title C. The University's Discretionary Termination.

§ 1. *Discretionary Termination.* The University, at its reasonable discretion, may terminate the service of employees at any time during the six-month period from the Starting Date (the "Probationary Period"). When the University determines upon its faculty evaluation process for the Employee's performance at the University during and after his/her first semester that termination may occur, the University will notify the Employee to that effect in writing no later than one week prior to the last day of the Probationary Period. This Title C shall not apply to employees who are renewing their contract.

Title D. The University's Right to Terminate

§ 1. *The University's Right to Terminate.* The University has the right to terminate the service of academic employees at any time for a "Cause". "Cause" includes, but is not limited to:

- (a) Gross misconduct.
- (b) Failure to abide by the University's instruction that is consistent with the Agreement for Faculty Appointment between the University and the Employee.
- (c) Dishonesty or misbehavior with respect to his/her relationship with the University, its members and staff, and/or students.
- (d) Obscenity, oral or visual.
- (e) Failure to abide by standards of conduct and behavior reasonably expected in universities of similar quality and reputation.
- (f) Material breach of the University's rules, regulations, and requirements or the provisions of the Agreement for Faculty Appointment between the University and the Employee.
- (g) Material violation of any laws of Korea, civil or criminal.

- (h) Any action involving a breach of the provisions of the Agreement for Faculty Appointment between the University and the Employee if the breach has not been cured by the Employee after notice and a two-week opportunity to cure.

Upon any termination for cause, the University's sole obligation to the Employee is to pay the Employee through the date of such early termination his/her earned monthly compensation and the University may claim for any damage related to the Agreement for Faculty Appointment between the University and the Employee and its termination.

Article II Retirement

Title A. Voluntary Retirement

§ 1. *Notice.* A continuing appointment (both Tenure Position and Permanent Position) guarantees that the retirement age is sixty-five (65) years. Employees who wish to retire at an age earlier than 65 shall, prior to applying for such retirement, notify and consult with the president with respect to the effective date of such retirement.

Title B. Retirement for Physical or Mental Incapacity

§ 1. *Policy.* Employees may be retired, and their services may be terminated by the Board of Managers, after receipt of the recommendation of the president and upon medical advice for mental or physical incapacity which prevents such persons from adequately performing their duties.

Title C. Privileges after Retirement

§ 1. *Emeritus Status.* Members of the academic employee who retire in good standing, in accordance with the provisions of Title A or age may be entitled to append the term “Emeritus” to the title of their academic post after the time of retirement upon approval of the President.

§ 2. *Privileges.* Emeritus rank shall carry with it such of the following privileges which, in the judgment of the president, are feasible: use of library and study facilities, use of office and laboratory space, eligibility for research grants, and representation of the University in professional groups.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Approval.* These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments.* All amendments shall become effective upon approval by the President of SUNY Korea.

Article II Change Log

§ 1. *Log*

- (a) 2016.01.26. Initially written.
- (b) 2016.03.17. Paragraph formatting modified.
- (c) 2017.12.28. Chapter I revised.
- (d) 2018.07.30. The term ‘Vice President for Academic Affairs’ is replaced by ‘Provost and Vice President for Academic Affairs’.
- (e) 2021.08.23. Retirement age is clarified for continuing appointment for both Tenure Position and Permanent Position.

8. DISCIPLINARY POLICY

The State University of New York, Korea



February 16, 2023

CHAPTER I

DISCIPLINARY POLICY

Article I

Disciplinary Action

Causes and Kinds of Disciplinary Action

§ 1. When a SUNY Korea faculty falls under any of the following subparagraphs, the president shall demand a decision of disciplinary action and shall take the disciplinary action according to the result of the disciplinary decision:

- (a) When he/she engages in an activity contrary to the faculty's duties, in violation of education-related statutes and regulations.
- (b) When he/she is in violation or negligent of his/her duties.
- (c) When he/she engages in an activity which damages the reputation of a faculty whether he/she is on or off duty.

§ 2. Disciplinary action shall be divided into removal from office, dismissal, suspension from office, reduction of salary, and reprimand.

§ 3. Suspension from office shall be for a period of at least one to three months, and a person who is subject to a disposition of suspension from office, may retain his/her status during such a period, but he/she may not perform his/her duties, and his/her remuneration shall be reduced by 2/3.

§ 4. Reduction of salary means reducing a salary by 1/3 for a period of at least one to three months.

§ 5. Reprimand means admonishing the relevant person of his/her misconduct and causing him/her to admit fault of such misconduct and commit to improve behavior.

Article II

Faculty Disciplinary Committee

Title A. Establishment and Organization of Faculty Disciplinary Committee

§ 1. To deliberate and make decisions on disciplinary cases of the SUNY Korea faculty, a faculty disciplinary committee shall be established.

§ 2. The faculty disciplinary committee referred to in paragraph § 1 shall be comprised of five members.

§ 3. Members of the faculty disciplinary committee shall be commissioned or appointed by the president from among any of the following persons:

- (a) A selected member of the Faculty Senate.
- (b) A person falling under any of the following items:
 - 1. A person having experience of working as a judge, a prosecutor, or a lawyer for at least five years.
 - 2. A person in a college who holds a position of assistant professor or higher in the major of law, administrative science, or pedagogy.
 - 3. A person who has retired after providing continuous service as a public official for at least 20 years.
 - 4. Other persons deemed to have much professional knowledge and experience in education or educational administration.

§ 4. The faculty disciplinary committee shall be comprised of in accordance with any of the following standards:

- (a) At least one committee member commissioned pursuant to paragraph § 3, (b) (hereafter referred to as “external committee member” in this Title and Title B, paragraph § 2) is included in the faculty disciplinary committee.
- (b) An external committee member shall not belong to SUNY Korea and SUNY Korea LLC.

§ 5. Necessary matters concerning the organization, authority, and deliberation procedure, etc., of the faculty disciplinary committee shall be determined according to education-related statutes and regulations.

Title B. Term of Office of External Committee Members

§ 1. The term of office of an external committee member shall be three years, and the term may be extended once only.

§ 2. Where an external committee member falls under any of the following subparagraphs, the president may dismiss the concerned external committee member:

- (a) Where he/she becomes unable to perform his/her duties due to mental or physical disability.
- (b) Where he/she has committed a misconduct in connection with his/her work responsibilities.
- (c) Where he/she is deemed not suitable as a member of the committee due to neglect of duty, damaged dignity or other grounds.
- (d) Where he/she voluntarily expresses difficulty to perform his/her work responsibilities.

- (e) Where he/she has violated the duty of confidentiality as prescribed in Article II, Title D.

Title C. Causes of Exclusion

When a member of the faculty disciplinary committee examines his/her own disciplinary case, or he/she is related by blood with the person subject to a disciplinary action, he/she shall not participate in the trial of the disciplinary action concerned.

Title D. Duty of Confidentiality

A person who attends the faculty disciplinary committee shall not disclose any confidential information which has come to his/her knowledge while conducting his/her duties.

Article III Disciplinary Decisions

Title A. Requests for Disciplinary Decisions

When a SUNY Korea faculty constitutes any of the causes of disciplinary action provided for in Article I, the president shall first make a thorough investigation, and thereafter shall request the competent faculty disciplinary committee to make a disciplinary decision.

Title B. Notification of Reason for Request for Disciplinary Decision

When the person who is authorized to request a disciplinary decision, requests a disciplinary decision under Article III, Title A, he/she shall send to the person who is the object of the disciplinary action, an explanatory note specifying the disciplinary cause at the same time as the request for disciplinary decision.

Title C. Fact-Finding and Stating Opinions

§ 1. In trying a disciplinary case, the faculty disciplinary committee shall investigate the actual facts of the case and shall hear the statements of relevant person before the committee makes a decision: Provided, that this provision shall not apply when he does not comply with summons issued twice or more in writing.

§ 2. Where it is deemed necessary, the faculty disciplinary committee may request relevant persons or experts to attend the committee proceedings and hear their opinions.

Title D. Decisions on Disciplinary Action

§ 1. A faculty disciplinary committee shall make a decision on disciplinary action in compliance with disciplinary action standards, standards for mitigation and exemption of disciplinary actions, etc. prescribed by education-related statutes and regulations, in consideration of the types and degrees of the acts that fall under any of the subparagraphs of Article I, Title A, paragraph § 1 and attitudes, etc. of faculty for whom a decision on disciplinary action is required.

§ 2. When a faculty disciplinary committee has decided upon a disciplinary action as a result of deliberation, the committee shall prepare a written disciplinary decision which contains formal adjudication and grounds therefore and shall forward it to the president to inform him/her of such decision.

§ 3. The disciplinary decision under paragraph § 1 shall require the attendance of at least 2/3 of all registered members of the committee and the concurring vote of a majority of those present.

§ 4. Upon receipt of the written disciplinary decision under paragraph § 2, the president shall take disciplinary actions according to the details of the disciplinary decision within 15 days from receipt of such written disciplinary decision. In such cases, the president shall forward a written decision stating the grounds for the disciplinary action to the relevant faculty.

Title E. Prescription of Grounds for Disciplinary Actions

§ 1. No SUNY Korea faculty can request a disciplinary decision prescribed in Article III, Title A upon the expiration of three years from the date the ground for the disciplinary action has arisen: However, he/she may request a disciplinary decision within five years from the date the ground for the disciplinary action arises if the ground falls under subparagraph (a) or (b); and within ten years from the date the ground for the disciplinary action arises if the ground falls under subparagraph (c):

- (a) Where the relevant faculty accepts money, goods, or entertainment.
- (b) Where the relevant faculty embezzles or misappropriates public funds.
- (c) Where the relevant faculty engages in any of sexual harassment or sexual crime

§ 2. When a court has decided to nullify or revoke disciplinary actions for any defect in the composition of the disciplinary committee, disciplinary decision, action or an excess disciplinary penalty according to the Special Act on the Improvement of Teachers' Status and the Protection of Their Educational Activities, the disciplinary decision may be re-requested within three months after such decision becomes final and conclusive, even though the period prescribed in paragraph § 1 expires, or the remaining period is less than three months.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Effective Date.* These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments.* All amendments shall become effective upon approval by the President of SUNY Korea.

Article II Change Log

§ 1. *Log*

- (a) 2021.01.25 Initially written.
- (b) 2023.02.16 Article II § 3 adding Faculty Senate to the membership.
- (c) 2023.02.16 Minor editorial changes.

9. OTHER RULES OF EMPLOYMENT

The State University of New York, Korea



February 16, 2023

CHAPTER I OTHER RULES OF EMPLOYMENT

Article I Labor Contracts

§ 1. *Labor Contracts.* The president, or designee shall ensure the development of employment agreements for each employee (working more than a period of one semester) consistent with the requirements of the Korean Labor Standards Act.

Article II Term of Obligation

§ 1. *Term of Obligation.* The term of professional obligation, except in the case of part-time or temporary employment where the obligation may be less, shall be:

- (a) Calendar year obligation — an annual obligation of service for the full year, (i.e., 12 months)

§ 2. *Professional Obligation.* The professional obligation of an academic employee consistent with the employee's academic rank shall include teaching, research, University service and other duties and responsibilities required of the employee during the term of the employee's professional obligation. Both academic and qualified academic faculty members are obliged to teach undergraduate as well as graduate level courses as assigned.

§ 3. *Other Employment.* No academic employee may engage in other employment which interferes with the performance of the employee's professional obligation.

Article III Academic Freedom

§ 1. *Academic Freedom.* It is the policy of the university to maintain and encourage full freedom, within the law, of inquiry, teaching and research. In the exercise of this freedom faculty members may, without limitation, discuss their own subject in the classroom; they may not, however, claim as their right the privilege of discussing in their classroom controversial matter which has no relation to their subject. The principle of academic freedom shall be accompanied by a corresponding principle of responsibility. In their role as citizens, academic employees have the same freedoms as other citizens. However, in their extra mural utterances, academic employees have an obligation to indicate that they are not institutional spokespersons.

Article IV
Patents, Inventions and Copyright Policy

§ 1. *Patents and Inventions Policy.*

(a) Purpose.

- (1) The university recognizes that the three primary missions of an educational institution are teaching, research, and public service. While carrying out its research mission, the university further recognizes that inventions of value to the public will be made by persons working in its facilities. It is the policy of the university to encourage such inventors and inventions and to take appropriate steps to aid the inventor and ensure that the public receives the benefit. Appropriate steps include securing research support, identifying inventions, securing appropriate patents, marketing inventions through licensing and other arrangements, and managing royalties and other invention-related income.
- (2) In implementing its policies, the university will take appropriate steps to ensure that its faculty may freely publish the results of scholarly research. In conformance with this principle, all concerned shall cooperate so that essential rights to inventions shall not be lost.
- (3) All net proceeds after payment of the inventor's share as defined in subdivision (c), and other appropriate costs associated as determined by the University, realized from the marketing of university inventions shall be used for the support of university research programs.

- (b) All inventions made by employees and students of SUNY Korea shall belong to the University. All inventions made by others utilizing University facilities, other than a person employed by the State University of New York, for which his/her respective home campus shall be the owner, shall belong to the University, unless otherwise agreed by the Board of Managers. All such inventions should be voluntarily disclosed or shall be disclosed upon request of the University or upon request of the employer, if applicable. The inventor or inventors shall make application for patents thereon as directed by the University, or their employer, if applicable, and shall assign such applications or any patents resulting therefrom to or as directed by the University, or their employer, if applicable. Also, an invention made by a SUNY Korea employee or student wholly on such individual's own time and without the use of such University facilities shall belong to the individual even though it falls within the field of competence relating to the individual's University position. For purposes of this provision, an individual's "own time" shall mean time other than that devoted to normal and assigned functions in teaching, University service, direction and conduct

of research on University premises and utilizing University facilities. The term “University facilities” shall mean any facility available to the inventor as a direct result of the inventor’s affiliation with the University. Where any question is raised as to ownership of an invention or patent under these provisions, the matter shall be referred to a committee of at least three members to be named by the Board of Managers. Such committee shall make a careful investigation of the circumstances under which the invention was made and shall transmit its findings and conclusions to the Board of Managers for review. If the committee determines that the invention has been made without the use of the University facilities and not in the course of the inventor’s employment by or for the University and the Board of Managers concurs in such determination, the University will assert no claim to the invention or to any patent obtained thereon.

- (c) With respect to any invention obtained by or through the University or assigned to or as directed by it in accordance with the foregoing provisions, the University, in recognition of the meritorious services of the inventor and in consideration of the inventor’s agreement that the invention shall belong to the University, will make provision entitling the inventor and the inventor’s heirs or legatees to a non-assignable share in any proceeds from the management and licensing of such invention to the extent of 40 percent of the gross royalty paid, unless this exceeds the limits fixed by applicable regulations of the relevant sponsoring agency, which will control in such cases. The University may make suitable arrangements with patent management agencies for the purpose of obtaining services and advice with respect to the patentability of inventions, the obtaining of patents thereon and the management and licensing of inventions. Such arrangements may provide for division of the net income from any invention after payment of the inventor’s share between the management agency and the University.
- (d) The Board of Managers may grant exclusive licenses for a fixed period for the marketing of inventions, since it is recognized that in the absence of such a condition some inventions may not reach the marketplace for the public benefit. Granting of exclusive licenses for a fixed period may be accepted by the Board of Managers as a condition for industrial sponsorship of research programs.
- (e) Grants made available to the University shall be subject to the policy herein stated except in special instances as hereinafter provided. Nothing in the policy herein stated shall prevent the acceptance of research grants from, or the conduct of research for, governmental agencies upon terms and conditions under applicable provisions of governing law or regulations which require a different disposition of inventions or patent rights, nor shall anything herein contained prevent cooperative arrangements with other agencies for research.

- (f) The Board of Managers may determine not to file a patent application in the case of any specific invention or continue efforts at marketing. The University's decision shall be arrived at, in consultation with the inventor, within a period not to exceed six months from the date of first submission of the inventor's properly executed statement of disclosure of invention to the University or its designee. In every instance in which the University determines not to file a patent application or continue efforts at marketing, or fails to elect to do so within six months from the date of submission of said disclosure statement, all of the University's rights to the invention shall be released to the inventor, who may then file for a patent, subject only to those restrictions that may be required by an external sponsor, if any. In every instance in which the University determines to file a patent application or continue efforts at marketing, the inventor may, at any subsequent time, request the Board of Managers to recommend such release. For any invention so released to an inventor, the University, at its option, shall receive 10 percent of the net proceeds, in recognition of the contribution of the University to the support of the research which resulted in said invention. For purposes of this provision, the term "net proceeds" shall mean earnings to the inventor from the invention over and beyond reasonable costs incurred in the process of patent application and management.
- (g) In all cases, any person is entitled to request an exception or waiver to the provisions of these patents and inventions policy. The person requesting an exception or waiver shall have the right to appear, accompanied by representatives of the person's choice, before the Board of Managers for consideration of the request for an exception or waiver. The decision of the Chancellor on the findings and recommendations of the Board of Managers shall be final.

§ 2. *Copyright Policy.* Generally, the members of the faculty of the University shall retain all rights to copyright and publish written works produced by them. However, in cases where persons are employed or directed within the scope of their employment to produce specific work subject to copyright the University shall have the right to publish such work without copyright or to copyright it in its own name. The copyright will also be subject to any contractual arrangements by the University for work during which the writing was done. Faculty members will be expected not to allow the privilege to write and retain the right to their work to interfere with their University duties. In those cases where an author desires the help of University facilities, arrangements should be made through the administrative staff of the author's institution in advance with respect to the assistance which may be appropriately given and the equity of the University in the finished work.

Article V

Travel Policy

§ 1. *Policy.* Business travel is defined as travel for purposes related to their work. SUNY Korea does not support a trip to a conference using its operational fund. If a participant of a grant (PI, co-PI or a student) is attending a conference, then the travel can be reimbursed by the fund. All faculty members while working at SUNY Korea shall follow SUNY Korea travel policies instead of their home campus policies.

Article VI

External Consulting

§ 1. *Policy.* Consultation by faculty members with outside organizations can be a source of valuable professional experience as well as being, in some cases, a source of additional income. The University permits such consultation, subject to the conditions, in this policy statement. For those on full-time service to the University, the guiding principle is that University duties are the primary obligation of the faculty member while consultation is a personal activity.

Although obligations of faculty are multifaceted and often cannot be precisely defined in number of hours, there is increasing pressure on universities to provide a reasonable accounting of the professional activities of full-time employees. Because of the complexity of these obligations and the difficulty in reporting faculty activities, it has generally been accepted that universities place limits as a matter of policy on the amounts of time and effort full-time faculty members may devote to outside consulting. The intent of this policy is to provide faculty members with maximum flexibility to exercise their consulting privilege within established limits.

During semesters of full-time service to the University, consulting work for outside organizations is limited to the equivalent of four days per month. Consulting work must be performed on personal time and should not detract from the faculty member's primary obligations to the University. Written requests for permission to consult should specify the organization with which the work is concerned, a statement of the amount of time required, the period of the consulting arrangement, and whether the work will or will not interfere with responsibilities to the University. The request should have the approval of the department chair and the Provost. Authority for granting permission resides with the President. If there is any possibility of interference with primary obligations, the faculty member should not engage in the consulting work or should request a leave of absence or a salary reduction.

The facilities and services of the University may not be used in connection with compensated outside work, except in a purely incidental way. In cases where a member of the faculty

wishes to use the facilities and services of the University in connection with outside consulting activities, appropriate arrangements to compensate the University must be made in advance with the Office of the Vice President for Administration.

To avoid conflicts between the primary obligations of the faculty member to the University and the terms of the consulting or other agreements with a third party, the following clause must be included in any such agreements:

In the event the terms and conditions of this agreement conflict with the terms and conditions of employment with the SUNY Korea, or with those of grants or contracts administered by the Research Foundation of SUNY Korea for which the faculty performs service, the latter shall prevail.

Article VII

Outside Work

§ 1. *Policy.* Faculty members shall not undertake any business or employment with any persons or organizations other than the University without prior written consent of the University. Other outside work in connection with industry, government or NGO collaboration may be permitted by the President's approval if it does not interfere with the faculty member's professional obligation at SUNY Korea. Outside work includes lectures at other institutions etc. The faculty member can teach no more than one course (up to 3 credits) in other college or university with the approval of Provost. Authority for granting permission resides with the President. If there is any possibility of interference with primary obligations due to the outside work, the faculty member should not engage in the outside lecture or should request a leave of absence or a salary reduction.

Article VIII

Individual Faculty Fellowship

A fellowship provides funds to an individual to support academic study or research. The recipient has no employer/employee relationship with the organization granting the funds, and no services can be required for the fellowship.

At the time of application for a fellowship, faculty members should notify their Department Chairs and the Provost. This is especially important if the faculty member anticipates requesting a leave from the University in order to accomplish the goals of the fellowship. Early notification will also allow for University support to be planned in a timely fashion, and will enable departments to provide guidance on procedures to be followed if the fellowship is awarded. Decisions concerning the scope and level of University support will be influenced by the prestige of the award.

When a tenured or tenure-track SUNY Korea faculty member is awarded an externally funded fellowship, the faculty member may request, with approval by appropriate administration officials (Department Chair, Provost and President), one of the following options:

- release time with a reduction in FTE and salary equivalent to the value of the fellowship (less any travel or incidental expenses included in the fellowship).
- remain on full salary and reimburse the University for the percent of release time equivalent to the value of the fellowship (less any travel or incidental expenses included in the fellowship). The Finance Department will invoice individuals for any salary reimbursement.
- release from all University obligations and leave without pay. The individual would be responsible for continuance of benefits and no University contributions would be made to the retirement fund for the leave period.
- sabbatical leave, if eligible, at half pay for a full academic year or at full pay for a semester and keep the full value of the fellowship during the sabbatical period. This is subject to the SUNY Korea Policies on sabbatical leaves.

In all instances, fellows would deposit their fellowship award checks into their personal bank accounts. Any payments to the University for reimbursement of salary would be deposited to their personal bank accounts. Fellows are advised to seek advice from a tax consultant regarding any income tax implications.

Article IX

General Duties

§ 1. *General Duties.* Faculty members shall teach courses at the University or at any other agreed places to students enrolled to the University pursuant to the academic programs and directions set up or given by the University during the semester. Class hours may be reasonably assigned to the faculty consecutively or sporadically by the University with prior consultation with faculty members. In addition to teaching in classes, faculty members shall use his/her reasonable efforts to prepare for classes, to evaluate students, to maintain office hours minimally two hours per week per course and to do administrative works related to classes. This includes but is not limited to arriving at SUNY Korea at least two (2) weeks prior to the beginning of each semester to prepare for classes and to attend departmental meetings, in accordance with provisions laid out in section § 2 and § 3. Tenured and tenure-track faculty are also expected to be actively engaged in research, and to participate appropriately in service to the department, university, and community.

§ 2. *Duty to Attend Orientations and Trainings.* Faculty members shall participate Faculty Orientations and trainings intended to provide faculty members with the requisite familiarity

with the operation, policies, programs, and teaching methods and to ensure that faculty members are possessed of adequate knowledge and skill to perform or render his/her work and service at the University. The period for each orientation and training will usually be one day to one week, provided that the University, at its reasonable discretion, may shorten or extend the period or request the faculty to perform or render the required work and service without the orientation and training.

§3. *Duty to Attend the University Events, Meetings and Workshops.* If reasonably requested by the University, faculty members shall attend Convocation and Commencement in every semester, and regular or ad hoc meetings, training workshops, academic seminars, year ending party, and so forth held or designated by the University.

When the duty listed above is not served by faculty members, those faculty members are liable for any unfavorable disposition of the University.

Article X

Faculty Housing

§ 1. *Eligibilities.* Full-time foreign faculty members may receive and use complimentary housing in accordance with the IGC (Incheon Global Campus) guidelines and regulations.

§ 2. *Regulations.* All faculty housing-related regulations and guidelines comply with the IGC guidelines and regulations.

CHAPTER II OTHERS

Article I Approval and Amendments

§ 1. *Approval.* These Policies shall become effective upon the date of approval by the President of SUNY Korea.

§ 2. *Amendments.* All amendments shall become effective upon approval by the President of SUNY Korea.

Article II Change Log

§ 1. *Log*

- (a) 2016.01.26. Initially written.
- (b) 2016.03.17. Paragraph formatting modified.
- (c) 2016.04.14. Article 8 External Consulting's authorizing bodies changed to reflect current situations.
- (d) 2016.04.22. Travel Policy modified.
- (e) 2017.12.28. Chapter I revised.
- (f) 2018.07.30. The term 'Vice President for Academic Affairs' is replaced by 'Provost and Vice President for Academic Affairs'.
- (g) 2021.08.23. The term 'Provost and Vice President for Academic Affairs' is replaced by 'Provost'. Also eliminated Dean of Academic Affairs as a possible approver for External Consulting and Outside Work.
- (h) 2021.03.05. Article X added.
- (i) 2023.02.16 Minor editorial changes.

10. PROFESSIONAL RESPONSIBILITIES

The State University of New York, Korea



February 16, 2023

CHAPTER I

PROFESSIONAL RESPONSIBILITIES

Article I

Academic Affairs

Title A. Minimal instructional responsibilities

Instructors at SUNY Korea have teaching responsibilities that involve a broad range of methods. The following list of responsibilities does not define good teaching; it defines only a minimal set of conditions and practices that SUNY Korea faculty members and teaching assistants are expected to observe in performing their teaching functions.

§ 1. *Classroom and Conference Responsibilities.* Instructors must meet their classes regularly and promptly, at times and places scheduled. Classes should be canceled only for the most serious reasons, and students should be given advanced notice, if possible, of instructors' absences. Instructors should inform students pre-requisite courses on the first day of class and monitor students' pre-requisites until the second week of the semester. Instructors must schedule and maintain regular office hours to meet their students' needs, minimally two hours per week per course (3 credits), at times to suit the schedules of as many students as possible. Office hours should be announced on syllabus and posted outside instructors' offices and in department offices. Instructors should be available for appointments with students who are unable to meet with them during regularly scheduled office hours. Instructors are responsible for careful supervision and classroom preparation of teaching assistants assigned to their course.

§ 2. *Course Definition and Requirements.* Instructors must adhere to the SBU or FIT home campuses' Bulletin course descriptions. Prerequisites that are not stated in the Bulletin and Class Schedule may not be imposed. A written syllabus that clearly defines the content, goals, and requirements of each course must be distributed at the beginning of the course, made readily available throughout the Add/Drop period, and kept on file in the department office. The syllabus should include the Disabilities Act statement and information about examination dates and times, the policy on make-up exams, office hours, and the basis for the final grade. Other information that needs to be included can be found on <http://stonybrook.edu/commcms/provost/policies.shtml> or <https://www.fitnyc.edu/academic-affairs/faculty-academic-support/curriculum/guidelines/course-development/developing-course-syllabus.php>.

Instructors must conduct course evaluations in the same way as the home campus. Instructors must conduct any teaching and course evaluation survey that has been approved by their departments in consultation with the Provost. The results of course evaluations should be used in periodic reviews and revision, when appropriate, of the course.

§ 3. *Assessment of Student Performance.* Homework assignments, examinations and term papers should be evaluated and returned promptly. Written comments, explaining the instructor's criteria for evaluation and giving suggestions for improvement, should be provided. Examinations and term papers submitted at the end of the term should be graded and either returned to students or retained for one semester. Instructors must observe the Final Examination Schedule that appears online. Instructors of courses taught on the semester schedule may not give an exam in class during the last week of the semester in lieu of a final examination. Instructors must observe the law of South Korea, and home campuses policies regarding accommodations as noted in the Bulletin (e.g., student participation in University-sponsored activities or equivalent opportunity/religious absences). Accommodations such as make-up exams, assignments, or other coursework that fall outside of the purview of these laws and policies are at the discretion of the instructor.

§ 4. *Professional Conduct and Interaction with Students.* Instructors must report all suspected occurrences of academic dishonesty to AJC (Academic Judiciary Committee) and/or Dean of Academic Affairs. Instructors should always be aware that in teaching and advising they represent the University. They are bound by the home campuses' sexual harassment policies. Instructors are also bound by the home campuses' policies that prohibit any consensual relationships with students that might compromise the objectivity and integrity of the teacher-student relationship. Examples include romantic, sexual, or financial relationships. Instructors should strive to maintain the privacy and confidentiality of students' examination, homework, and final grades. In dealing with students, instructors should be polite, helpful, and fair. They should take into account the wide range of cultural factors and physical challenges that can affect learning and should attempt to help students overcome any disadvantages.

§ 5. *Student Participation in University-Sponsored Activities.* On occasion students may be required to miss class because of their participation in an event or activity sponsored by the University. Please see the home campuses' online Undergraduate and Graduate Bulletins for policy regulating the accommodations that should be made for these students. By their participation in campus-related activities such as research conferences, dramatic or musical performances, intercollegiate athletic competitions, or leadership meetings, students make contributions to the University. In recognition of the students' commitment both to their regular academic programs and to related activities, the University makes every effort to accommodate unique situations. Students are responsible for presenting a printed copy of semester obligations to all their professors at the beginning of the semester to alert them to activities that may present conflicts. Instructors are required to make arrangements for students to complete examinations, quizzes, or class assignments early or late if the student's participation in a University-related activity results in the student's absence from the class when such work is due. Some events occur only by invitation during the semester, and instructors should make accommodations for these students.

§ 6. *Withdrawals from Classes.* The academic calendar, published in the undergraduate and graduate class schedules, lists various dates that students must follow. Permission for a

student to withdraw from a course after the deadline may be granted only by the CASA (Committee on Academic Standing and Appeals). The same is true for withdrawals that will result in an academic under-load. A note from the instructor is not sufficient to secure a withdrawal from a course without regard to deadlines and under-loads.

§ 7. *Exceptions to University and College Graduation Requirements.* Neither individual faculty members nor departments may grant waivers or substitutions for general education requirements or any other College-wide or University-wide requirements. Students should be directed to the Department of Academic Affairs for information about the process for requesting an exception.

§ 8. *Family Education Rights and Privacy Act (FERPA).* There are times when issues involving students arise that require knowledge about access to student records and other information. Please refer to the following campus website for guidance with laws regulating confidentiality of student records and dissemination of other student personal and academic information: <http://ws.cc.sunysb.edu/registrar/federalrights.shtml>

Title B. Required Course Syllabus Statements

The University in the same way as the home campuses has authorized that the following required statements appear in all teaching syllabi (graduate and undergraduate courses).

§ 1. *Disabilities Act.* If you have a physical, psychological, medical or learning disability that may impact your course work, please contact the Department of Student Affairs, Campus Building A, Room 207, (032) 626-1190. They will determine with you what accommodations, if any, are necessary and appropriate. All information and documentation is confidential.

§ 2. *Academic Integrity.* Each student must pursue his or her academic goals honestly and be personally accountable for all submitted work. Representing another person's work as your own is always wrong. Faculty members are required to report any suspected instances of academic dishonesty to the Academic Judiciary Committee or the Department of Academic Affairs, Campus Building A, Room 201, (032) 626-1121.

§ 3. *Critical Incident Management.* SUNY Korea expects students to respect the rights, privileges, and property of other people. Faculty are required to report to the Department of Academic Affairs any disruptive behavior that interrupts their ability to teach, compromises the safety of the learning environment, or inhibits students' ability to learn.

Syllabus shall be submitted to respective departments no later than 30 days prior to the first day of class. Each department coordinators shall post the collected syllabus for all opening courses during each semester on their departmental websites and shall submit them to the Academic Affairs no later than 15 days prior to the first day of class.

Title C. Changes in Regulations and Course Offerings

The University reserves the right to change academic requirements and regulations or to change or cancel any course for whatever reason it may deem appropriate. New and revised courses, new and revised majors and minors, and changes in academic requirements and regulations are reflected here as changes occur. SBU Course changes are also reflected in the course catalog available through the SOLAR System,

<http://www.stonybrook.edu/solarsystem>. FIT course catalog is available through the website, <https://www.fitnyc.edu/academics/undergraduate-catalog/>

Title D. Campus Policy on Final Exams and Reporting of Grades

The SUNY Korea Policy recognizes that the last week of classes is an especially busy period for students since many semester projects, lab reports, term papers, portfolios, etc. become due. In recognition, Office of the Provost established the policy, stated below, that any final examination, which could be adequately administered during the final examination time period scheduled for the course, must be given during finals week and not add another burden to the students' final week of normal classes.

§ 1. *Final Examinations.*

- (a) Final examinations must be given during finals week at the scheduled time, which is given on the website. Final examinations must not be given in the last week of classes without advanced permission of the Provost. Such permission is rarely given and will be granted only for the most pressing academic reasons.
- (b) If there is no final examination as such, but only a series of quizzes, the last examination (or test or quiz) must take place on the assigned day during finals week.
- (c) The time or date of a final examination may not be changed without permission of the Provost. Because it is likely to cause conflicts or too many examinations on one day for some students, such approval is rarely granted.

§ 2. *Final Grades.* Final grades must be submitted via the home campuses' online system within three working days of an examination. Term papers and other student work should be collected early enough to allow instructors to submit grades on time. Please contact the appropriate Department Chair if the nature of the examination and the size of the class would warrant additional time. Grades for a course with no final examination should be handed in as soon as possible, and no later than three working days after the scheduled final exam time for the class.

§ 3. *Assigning Special Grades.* An "Incomplete" (I) grade is assigned when circumstances prevent students from completing the expected coursework during the semester. In these cases, prior arrangements are usually made between the instructor and the student. PLEASE NOTE: University policy prohibits assigning an "I" grade to a student and then allowing the

student to audit the course in the following semester and take the final examination at the end of that semester. A “No Record” (NR) should be assigned to a student whose name appears on the final grade roster only when the instructor has no record of that student ever having participated in the course.

§ 4. *Retaining Records.* Final examinations and papers should be retained for two years. Where there is a possibility that a grade may be challenged or some other irregularities exist, it is recommended that relevant documents be maintained for at least three years.

Title E. Copyright Protection

SUNY Korea faculty needs to be aware of copyright law and fair use doctrine when utilizing the work of others in their teaching curriculum.

Copyright protection vests automatically in original works of authorship that are "fixed in any tangible medium of expression". Writings, images, art, movies, music, computer programs and other works are all protected by copyright law.

SUNY Korea acknowledges the right of individual faculty members to copyright and publish works that they produce. By the same token, the faculty must acknowledge the value of copyrighted works produced by others.

Whenever you use another's work in your teaching curriculum, you are using copyright-protected materials. Among the rights of copyright owners is the right to make copies and publicly display that work. A group of students – assembled or dispersed – would be considered the "public" under the law. As a result, educators may be violating third party intellectual property rights whenever materials are copied as handouts, uploaded to websites, displayed as slides or with other images, or when music, videos, and other works are performed.

When it comes to using third-party material, the following four factors must be evaluated:

- (a) the purpose and character of the use is it of a commercial nature or for educational purposes.
- (b) the nature of the copyrighted work.
- (c) the amount and substantiality of the portion used (i.e., NY courts have found use of as little as five percent of another's work to be problematic); and
- (d) the effect of the use on the potential market for or value of the copyrighted work.

The University of Texas has developed some useful guidelines for evaluating whether or not a given use is permissible under the fair use doctrine,

at <http://www.utsystem.edu/ogc/intellectualproperty/copypol2.htm#test>

The rules for distance education, however, are significantly different. The fair use requirements that must be met to take advantage of the doctrine are much more rigorous when materials are uploaded to websites, available for transmission anywhere in the world, and can be easily downloaded, altered, or further transmitted by students and other

users. Every such action - particularly the possibility of uncontrolled dissemination - threatens the legally protected property interests of copyright owners.

Additional guidance is available here:

The Visual Resources Association: <http://www.vraweb.org/resources.html>

The Music Library Association: <http://www.lib.jmu.edu/org/mla/guidelines>

The Copyright Management Center, Purdue University: <http://www.copyright.iupui.edu>

The U.S. Copyright Office: <http://www.copyright.gov> and <http://www.copyright.gov/circs>

North Carolina State University: <http://www.lib.ncsu.edu/scc/copyright/copyright4.html>

Cornell University: <http://www.copyright.cornell.edu/index.htm>

Manhattanville College: <http://www.mville.edu>

Title F. The Teach Act

The Teach Act: Fair Use and Copyright Protection for Digital Media

SUNY Korea faculty needs to be aware of copyright law and fair use doctrine when utilizing the work of others in electronic teaching formats. SUNY Korea follows SUNY Korea's official policy on duplication of material protected by copyright. This document provides a synopsis of faculty's rights and responsibilities as established by the SBU Teach Act of 2002.

The Teach Act, 17 USC Section 110(2) sets forth the conditions under which educational institutions may use copyright protected materials in distance learning, on websites and by other digital means, without permission from the copyright owner and without paying royalties. *The Act applies to electronic supplements to traditional face to face learning, web tutorials and courses taught wholly online.* To enjoy this safe harbor, instructors who use copyrighted materials on Blackboard™ or by linking to other websites, must reasonably:

- (a) limit access to copyrighted works to students currently enrolled in the class.
- (b) limit access to the time needed to complete the class session or course unit.
- (c) prevent further copying or redistribution of copyrighted works.
- (d) not interfere with copy protection mechanisms.
- (e) use only "reasonable and limited portions" of the copyrighted work, and.
- (f) limit use of the copyrighted work to "an amount comparable to that which is typically displayed in the course of a live classroom session".

In other words, the Teach Act does not permit instructors to scan, store or upload complete works or significant portions of any type of work on a website for students to access throughout the semester, even if such access is associated with assigned coursework. Third party material made available online is to be treated as the functional equivalent of material ephemerally heard, used or displayed in a live classroom. Distance learning archives are not the functional equivalent for placing materials on reserve (or electronic reserve) in the library.

Every faculty member that uses Blackboard™, an alternate website, blog, or other electronic system to provide distance education to the academic community must take steps to protect the integrity of copyright interests in material distributed for educational purposes. At a minimum, you should use Blackboard's™ program of built-in parameters to limit the scope and duration of student access to the on-line work, or manually remove the copyrighted materials from the website after a limited period of time.

If, as an instructor, you question your ability to comply with the Teach Act requirements set forth above, you must obtain permission to use the work by contacting the copyright owner. Simply associating the author's name and affiliation with the work in issue may not be enough. The Copyright Clearance Center, at <http://www.copyright.com>, should be your point of origin when seeking permission to use a text-based work. Information about music and image permissions may be obtained from <http://www.mpa.org> and <http://www.mplc.org>. You may explicitly indicate your intention to protect your own work by posting the following language on your blackboard site:

"All federal and state copyright interests are reserved for all original material presented in this course through any medium, including lecture, electronic transmission or print. Individuals may not sell, be paid or receive anything of value for class notes made during this course from any person or entity without the express written permission of (author). In addition to legal sanctions, violation of these copyright prohibitions may result in University disciplinary action"

Article II

Student Affairs

Title A. Student Educational Records

The Federal Family Education Rights and Privacy Act (FERPA) of 1974, as amended, sets out requirements designed to protect the privacy of students concerning their records maintained by the campus, FERPA affords students certain rights with respect to their education records. These rights include.

- (a) The right to inspect and review the student's education records within 45 days of the day the University receives a request for access.
- (b) The right to request the amendment of the student's education records that the student believes are inaccurate or misleading.
- (c) The right to consent to disclosures of personally identifiable information contained in the student's education records, except to the extent that FERPA authorizes disclosure without consent to school officials with legitimate educational interests, including but not limited to administrative, academic, or support personnel (including law enforcement and health services); University attorneys, auditors, or collection agents; or a student serving on an official committee, such as a disciplinary or grievance

committee, or assisting another school official in performing his or her tasks. Upon request, the University discloses education records without consent to officials of another school in which a student seeks or intends to enroll.

- (d) In addition, SUNY Korea is authorized to release “Directory Information” concerning students. Directory Information includes student’s name, addresses, telephone numbers, major field of study, class, participation in officially recognized activities and sports, weight and height of members of athletic teams, likenesses used in University publications, dates of attendance, degrees and awards received and previous institutions attended.
- (e) Currently enrolled students have the right to have this directory information withheld from the public if they so desire. Forms requesting the withholding of directory information are available at the Department of Student Affairs, located in A201, 2nd floor of the Academic Building. At least ten days should be allowed for processing of these requests.

Title B. Policy Regarding Religious Holidays

The University is committed to ensuring that every student will have the right to pursue their education while practicing their faith. To accomplish this, the Department of Academic Affairs has undertaken the following strategic steps:

- (a) SUNY Korea is committed to providing the opportunity for all students to practice to their faith.
- (b) All student absences to practice their faith will be viewed as an ‘excused absence’, with no negative consequence.
- (c) There will be no examinations, papers, presentations, or other assignments due during any of the major holidays on which classes were previously cancelled. Faculty are asked to avoid scheduling examinations, papers, presentations, or other assignments to be due on any of the major listed holidays. When this is unavoidable, students will be given the opportunity for an equivalent make-up.
- (d) All courses are registered on Blackboard, an online course management system. We will request that faculty post their lecture notes for classes taking place on any of the major holidays on their individual course site so that all students can access the material.
- (e) Students will be expected to notify their professor in advance, but before the final date of the ‘add/drop’ period of their intention to be out for religious observance. They can discuss with their faculty member at that time how they will be able to secure the work covered.
- (f) If a student is not satisfied that they are being treated appropriately, they can reach out to the Office of the Provost and/or Dean of Academic Affairs to have their grievance addressed.

- (g) Faculty members who intend to observe a religious holiday should arrange at the beginning of the semester to reschedule missed classes or to make other provisions for their course-related activities.

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- (d) 2018.07.30. The term ‘Vice President for Academic Affairs’ is replaced by ‘Provost and Vice President for Academic Affairs’.
- (e) 2021.08.23. Removed the Dean of Academic Affairs as the approver for some of the policies and replaced it with the Provost.
- (f) 2023.02.16 Minor editorial changes.