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1. SIMON SCHOOL’S MISSION AND PHILOSOPHY

As the School strives to achieve its goals, it is important to retain the focus that provides the School with its competitive advantages. The Mission and Philosophy of the School as articulated below provide that focus and an important summary of the objectives and value-enhancing characteristics of the Simon education.

MISSION

The mission of the Simon Business School is to advance the understanding and practice of management through rigorous thought leadership.

Our faculty will produce groundbreaking ideas having a cross-functional impact on management theory and practice. Our graduates will be highly sought for their cutting-edge solutions to complex management issues and for leading organizations to innovate, grow, and deliver world-class performance. And our School will be known for understanding the power of markets and the role of entrepreneurs in creating value and improving society.

The first sentence of the Mission stresses that the Simon School seeks to be a leader in both the “creation” of knowledge and its “dissemination.” Thus, it recognizes the importance of research, publishing and teaching. More specifically, it points to an “integrated” approach to management rather than the traditional functional perspective. The Mission also highlights the importance of “graduating outstanding individuals” with the ability to excel in an international business environment.

The Philosophy describes the Simon School’s approach to management research and education and why it is valuable. It also serves to distinguish the School from its competitors. An important characteristic that enables the School to implement this approach to management education is its relative small size and a faculty that is productive in research and in the classroom.
PHILOSOPHY

The hallmark of a Simon School M.B.A. education is its proven analytical framework for solving problems. With economics as a discipline for integrating knowledge across functions and for understanding human behavior, Simon students learn a coherent, scientific way to analyze management problems. This powerful perspective enables students to break away from narrow functional views of their jobs and organizations. In today’s flatter organizations and more entrepreneurial enterprises, Simon students excel because they understand the interplay of individuals, organizations and markets and how to exploit that understanding to enhance firm performance in today’s global environment. Complementing the analytical skills, the School promotes leadership, communication and teamwork through a combination of classroom activities and structured experiences. This integrated approach to management is made possible by the School’s small size and a collegial faculty that is not bound by departmental or functional constraints in their teaching or research.
The Simon School has developed and published a set of goals. These goals can be summarized as follows:

- To aggressively further its recognition and reputation among business leaders, the corporate community and academia.

- To continuously improve the quality of its programs and teaching—graduating exemplary individuals who will excel in managerial and educational positions worldwide.

- To attract, maintain and nurture an outstanding faculty whose teaching and research make world-class contributions to management theory and practice.

- To maintain the faculty and student body at a size that promotes a collegial and integrated approach to management issues.

- To attract an internationally diverse student body who excel academically and who come with significant managerial experience and strong prospects for success.

- To provide an environment that promotes the professional development of staff, faculty and students.

- To actively involve all interested communities in its efforts to improve.
2. HISTORY OF THE SIMON SCHOOL

In 1958, a separate school of business was formed at the University of Rochester offering undergraduate courses and part-time evening graduate courses. Comprised of three faculty members, the School of Business Administration, as it was first named, enrolled one student. In 1962, led by the first dean, John M. Brophy, the University initiated a full-time MBA program in the renamed College of Business Administration. William H. Meckling, a noted economist, was recruited in 1964 to succeed Brophy as dean. During his 19-year tenure, the College of Business Administration grew in strength and stature. Under his leadership, the School adopted the philosophy that a thorough understanding of markets and a healthy respect for the scientific method provides the best foundation not only for scholarly research into management, but for the sound decision-making skills that are necessary in the business world.

In 1966, with 29 full-time faculty members, the College began to achieve a national profile. The MBA program earned accreditation by the American Assembly of Collegiate Schools of Business (AACSB) and a PhD program in Business Administration was initiated. The Center for Research in Government Policy and Business (later renamed the Bradley Policy Research Center) was established that year. Also in 1966, the College created the Executive Development Program (EDP) which brings promising mid-level managers to campus one day a week for two years to obtain a unique leadership education.

In 1968, the School joined four other business schools--Indiana University, the University of Southern California, the University of Wisconsin and Washington University--in the Consortium For Graduate Study in Management. The purpose is to enhance educational opportunities for those traditionally underrepresented in higher education and in corporate ranks: African-Americans, Hispanic-Americans and Native Americans. Today, the Simon School and 10 other leading universities collaborate in recruiting and supporting talented minority men and women in management education, via fellowship support.

The School was renamed the Graduate School of Management in 1970 at which time undergraduate education was phased out. In 1978, the Managerial Economics Research Center (MERC) was organized to encourage scholars of diverse interests and backgrounds to focus their attention on the problems of management, to develop theories and evidence enabling managers to understand the world around them more thoroughly, and providing the basis for improved decision making.

Paul MacAvoy, an internationally acclaimed economist, succeeded William Meckling as dean in 1984. Under MacAvoy’s leadership, the School sought to broaden the appeal and reputation of its MBA programs to secure a solid financial foundation. The first named professorship--the LaClare Professorship in Finance and Business Administration--was established in 1984 and the John M. Olin Foundation awarded the School a grant to establish a fellowship program in the Center for Research in Government Policy and Business.
On November 6, 1986, the Graduate School of Management was renamed the William E. Simon Graduate School of Business Administration. Citing a shared belief in the principles and ideals espoused by the institution, William E. Simon offered not only his name, but an enduring commitment to the School’s success. Simon, along with Dean MacAvoy headed a $30 million fundraising campaign designed to bolster the School’s endowment. The successful campaign attracted significant financial support from outside organizations such as The Lynde & Harry Bradley Foundation, Eastman Kodak Company, the Gleason Foundation, the John M. Olin Foundation, Inc., Rochester Telephone Corporation, and Xerox Foundation.

Arrangements to conduct an executive MBA program at Erasmus Universiteit in the Netherlands were completed in 1986, making the Simon School the first top-tier U.S. business school to successfully offer an MBA degree in Europe. In June 1987, eighteen executives received their diplomas as members of the first graduating class of the Rochester - Erasmus Executive MBA Program. The Executive MBA Program in the Netherlands moved to Nyenrode University in 1995.

In 1987, the Center for Research in Government Policy and Business was renamed the Bradley Policy Research Center as a result of a grant from The Lynde and Harry Bradley Foundation. That same year a grant was also received from the Xerox Foundation for faculty development in the areas of manufacturing management and computer and information systems management.

Plans for the first private graduate school of business in Australia were announced in 1987 and in January 1991 the first class was in place. Two classes were graduated before the program was closed due to the economic conditions in Australia.

A new Executive MBA program began in Switzerland with the Universitat Bern, Institut fur Finanzmanagement in 1995.

Construction on Schlegel Hall began in 1990 after multi-million dollar grants were received from University of Rochester alumna Helen Schlegel Moretz in memory of her parents, George C. and Caroline Stecher Schlegel and William E. Simon to honor his wife, Carol G. Simon. Schlegel Hall, housing student classrooms, the Simon School Computing Center, and MBA program offices, was dedicated in 1991. The renovation of offices for administrators, faculty members and PhD students in Carol G. Simon Hall (formerly known as Dewey Hall) was completed in 1995.

With the generous gift from the Gleason Foundation, the addition of Gleason Hall was completed in 2001, which houses five new classrooms, 15 study rooms and an expanded Career Management suite.

Today, the Simon School offers 17 degree programs, including a full-time and a part-time MBA program; joint and specialized programs; executive MBA programs (including one in Europe); MS in Business Administration and Specialized MS program (including programs In NYC) and a PhD program.
3. ORGANIZATION

3.1 Academic Areas

Simon faculty are organized into nine areas, listed below alphabetically:

- Accounting (ACC)
- Business Law and Ethics (BLE)
- Computers & Information System (CIS)
- Economics & Management (E&M)
- Entrepreneurship (ENT)
- Finance (FIN)
- Health Care Management (HCM)
- Management Communications (MGC)
- Marketing (MKT)
- Operations Management (OMG)

Tenure-track faculty typically have a primary appointment in one of ACC, CIS, E&M, FIN, MKT, or OMG. Occasionally tenure-track faculty will have more than one primary area as the result of being hired with expectations of service and research that spans more than one of these six areas.

Faculty are encouraged to interact with and collaborate with faculty across these research areas. Most decisions related to an area’s seminars, PhD admissions, and recruiting involve the area’s members.

Faculty who contribute substantially to the research in an area outside their primary area(s) can request to be involved in those decisions as an auxiliary member of that area. The dean’s office and the respective area head will evaluate the request. Criteria they will consider include whether the faculty member publishes in the area’s top journals, presents at the area’s top conferences, and could potentially receive favorable promotion letters from recognized leaders in the area. The degrees to which these criteria are satisfied are lower for junior faculty who have had less time to establish themselves.

All faculty are encouraged to attend seminars, particularly recruiting seminars, across all areas. Faculty who attend recruiting seminars or meet with recruiting candidates should share their impressions of the candidates with the search committee.

The current list of faculty by area is available on the Faculty page of Simon Exchange.
3.2 Administrative Areas

To view a full list of Simon Staff, please visit: https://simon.rochester.edu/contact-simon/index.aspx

Faculty and Research

The Office for Faculty and Research focuses on hiring and retaining the strongest faculty possible. This office has primary responsibility for all faculty-related matters particularly pertaining to recruiting, development, evaluation and research support. The Senior Associate Dean works closely with the Associate Deans for Full-Time Programs and Executive Programs on matters of faculty teaching assignments and teaching evaluations. In addition, the Senior Associate Dean works with the Executive Director of Simon Advancement on issues pertaining to opportunities for outside funding in support of faculty research.

The Senior Associate Dean is an ex officio member of the Executive Programs Committee, Ph.D. Committee, Promotions and Tenure Committee, and Teaching Committee. He has major responsibility for junior faculty development. Each quarter, the Senior Associate Dean reviews course evaluations for all faculty, making comments related to a job well done or possible problems.

Academic Operations

Faculty Affairs. Responsible for all faculty-related matters particularly pertaining to recruiting, development, evaluation and research support. Works closely with the Senior Associate Dean on matters of faculty teaching assignments, promotion & tenure, development and teaching evaluations. Coordinates all faculty office moves. Budgetary responsibility for all academic affairs accounts. Responsible for all course scheduling.

Operations. All building, grounds and environmental issues and concerns, as well as daily support functions including heating, cooling and housekeeping issues. Orders furniture and oversees the Copy Center. Coordinates office moves, non-academic room reservations and student locker assignments and serves as the liaison for security, facilities, telecommunications and vending machines.

Finance and Budget. Overseeing the School’s financial status, monitoring performance, financial reporting, annual budget preparation, budget administration and analysis, tracking expenditures from all operating, endowment, gift, grant, and club accounts, daily processing of school deposits, reimbursements, requests for payment, and prize payments. Liaison with central University Departments to facilitate processes. Also makes certain that areas follow University policies and procedures related to financial activities. Assistance with grant development, specifically budget preparation and coordination with ORPA, is also provided.
**Human Resources.** Assistance and coordination in all areas regarding staff human resources issues, payroll processing (student, bi-weekly and monthly), staff training, policy implementation (vacation, tuition benefits, etc.),

**Alumni Relations and Development**

The mission of the Simon School Alumni Relations and Development staff is to continually build support for the School from our alumni community and, in turn, to ensure that the School continues to provide real value to our alumni. Through regional network activities, numerous local and regional alumni events, and visit with alumni, the Alumni Relations and Development staff facilitates direct interaction among alumni, and between alumni and the School. Our ultimate objective is to maximize support for the Simon School from alumni, friends, corporations, and foundations – through donations of time, involvement in placement and admissions activities, and through regular contribution of cash or cash equivalents.

**Career Management Center**

The Career Management Center offers services to support the unique educational and professional development needs of the Simon School community. The services offered by the Career Management Center are part of the student services package offered to matriculated students of the Simon School. A full description of the full-time and part-time can be found on the Simon Exchange at:

**MBA/MS Programs**

**Admissions** is responsible for marketing and recruiting students to the M.B.A./M.S. programs, managing application flow and data entry, and directing the Admission Committee to make admissions and financial aid decisions.

The Simon School encourages applications from men and women with diverse educational, professional, cultural and geographic backgrounds. Applicants from all undergraduate majors are considered for admission to the M.B.A./M.S. programs. Applicants should have scored well on the Graduate GMAT or GRE and have strong academic records. Leadership, prior work experience, team-work and communication skills, and well-defined career goals are also important factors in the evaluation of applicants. The curriculum is designed to be managed successfully by students without prior business coursework. However, for those planning to take additional courses prior to entering the Simon School, economics and statistics are recommended. An elementary knowledge of calculus is required. Proficiency in written and oral communication is also extremely important for successful completion of the M.B.A./M.S. programs and professional success. To this end, virtually admissible candidates are interviewed prior to an admission decision.
The **Registrar’s Office** is responsible for all aspects of Simon School registration from pre-registration through graduation. In addition, they assign classrooms, produce exam schedules, and process and post grades.

The Registrar's Office provides the various forms needed by the students such as Request for Grade of Incomplete form, Reading Course form, transfer credit petitions, and billing forms. Full-time, part-time, and non-matriculated student mail folders are maintained by the Registrar's Office.

The Registrar's Office provides the faculty with grade rosters and grade change forms. Any faculty may obtain information regarding a student from the Registrar's Office.

**Office of Student Engagement**

The **Office of Student Engagement** helps to maintain an environment that enables students to get the most out of their management education. They advise students on matters such as course selection, academic problems, team effectiveness, and personal issues that may affect academic performance. Student Services is also responsible for oversight of clubs and extracurricular activities.

**Executive & Professional Programs**

Participants come to the program from manufacturing, service and technology industries; entrepreneurial ventures; the legal and medical professions; the military; and the not-for-profit and public sectors.

The program contains an integrated sequence of courses aimed at a balanced study of all the business functions. Each MBA class moves through most of the course of study together. During the second year of the program, students take two elective courses in order to pursue greater specialization in a particular area of study. A capstone Business Plan Course runs from the summer of the second year until graduation. This course enables students to work on their sponsoring companies or, if they desire, write their own business plan.

The Simon EMBA program meets on Friday and Saturday, every other week in order to minimize unwelcome impact on career and family life.

The Executive Programs department also offers in-house corporate training to managers from specific companies. The topics for these customized courses vary depending on the organization’s need.
PhD Program

Our students are among the best trained graduates in their fields. They are highly sought for academic positions for their strong analytical skills and research performance. From the very beginning of their academic training, there is an emphasis on creating a strong foundation from which new ideas and effective research can grow. The first year consists of a heavy course load in mathematics, economics, and statistics. The important skills our students learn from these courses are hard to acquire later if not learned before research training. Further, this allows students in subsequent years to acquire a deeper understanding of the state-of-the-art concepts in their chosen discipline and to quickly develop strong skills necessary to conduct original research.

We admit a diverse student body from a variety of academic backgrounds, including finance, mathematics, economics, statistics, engineering, computer science, law, physics, accounting, business administration, and management undergraduate and graduate programs. Students possessing strong backgrounds in quantitative and technical fields will have a competitive advantage in our PhD Program, though degrees in these fields are not required. We provide all the necessary training beyond the basic baccalaureate degree. All of an applicant’s abilities are considered for admittance. We look for students who are analytical, creative, and interested in studying business problems and trends. We carefully evaluate each application to find candidates who might prove to be "diamonds in the rough."

Simon Technology Services (STS)

Departmental Offices: 3rd Floor of Gleason
Support Hotline: (5-4407)
Support Email: support@simon.rochester.edu

SSIT provides desktop computing, infrastructure, audio-visual, and technical purchasing and/or consultation support, for the entire Simon community. They provide these additional services for faculty:

1. Research computing consultation and hosting
2. Network data storage and back-up
3. Faculty website hosting
4. Ad hoc consultation

Barry Florescue Undergraduate Business Program

Our undergraduate program builds on the principles of statistics, economics, and other social sciences. You also learn about business-related disciplines such as finance, accounting, marketing, operations management, and organization theory.
Marketing & Communications

The Simon School produces an annual program catalog, *Simon Management Programs*; an Information Guide and Online Application; Executive MBA Program brochures; Career Management publications, and numerous small brochures and invitations.

The department manages an extensive media placement calendar with advertisements being placed in local, national and international (print and online).

Marketing & Communications disseminates news about the School, its programs, students, faculty and faculty research to a variety of internal and external constituencies including the media, corporate executives, deans and directors of accredited business schools, corporate analysts and faculty of other business schools, and alumni and students. News of research projects, grants and professional honors should be reported to Marketing & Communications for use in *Simon Business, Simon Research Leadership Highlights*, the online Media Guide or other e-newsletters which go to a variety of constituents.

Business & Government Information Library

**Business Information Services offered by the River Campus Libraries:**

A concerted effort has been made over the past two years to convert as many business resources as possible to electronic format, making them accessible anytime/anywhere. The Libraries subscribe to almost 70 professional-grade electronic databases, including IBISWorld Industry Reports, Frost & Sullivan, Mergent Online, Mintel market research, and ThomsonOne (equity and fixed income analysts’ research reports). Other notable online resources include the “Annual Reports” collection from Mergent, which is a full set of SEC filings in electronic form going back to the 1960’s; the complete set of market research handbooks from Richard K. Miller & Associates; 200 electronic books from Business Expert Press; and over a thousand other business titles in ebook format.

Complementing the business offerings provided by the River Campus Libraries, the Career Resource Center at the Simon School pays for and administers accounts for Capital IQ, a professional grade database of particular interest for Finance students.

**Government Information Services offered by the River Campus Libraries:**

**Federal Documents Collection**

As the oldest depository library in the area, Rush Rhees Library has served as a depository for federal government documents since 1880. In accordance with public law, the federal depository collection and reference service are available to all residents of the 28th Congressional District. Rush Rhees Library selects 40% of federal documents through the Federal Depository Library Program, mainly in electronic form. Our federal document collection includes:

- Presidential documents from the Office of President
- Congressional publications, including hearings, reports and documents
- Federal Register and Code of Federal Regulations
- Publications in various formats from every department and agency of the federal government. For instance, Department of Education, Labor, Commerce, Bureau of the Census.

**New York State Document Collection**

Rush Rhees Library has participated in the New York State Document Depository Program since 1956 and became the New York State Depository Library in January 1989. The library now maintains over 6,000 New York State documents, including:

- Crime and Justice Annual Report (New York State)
- Consumers Guide to Automobile Insurance
- Catalog of State and Federal Programs Aiding New York's Local governments
- Annual Report of the Superintendent of Insurance to the New York Legislature
- The Real Property Tax Administration Reporters
- Directory of Nonpublic School and Administrators

**Services:**

- Reference service is available on-demand whenever it is needed. The Business Reference librarian provides assistance via email (almost 24/7), chat, phone, virtual conferencing/desktop sharing, and during onsite office hours twice a week in the Simon School, as well as by appointment at any location (on campus or off) with student teams. The business librarian’s familiarity and facility with using online conferencing systems will be important to this branch location; enabling her to provide personal, real-time assistance and training to students at this location.

- In the absence of the business librarian, the Libraries offer both email and chat “AskALibrarian” services that are monitored continuously.

- All electronic resources offered by the Libraries are available remotely to current members of the University; authentication is performed by entering the user’s NetID and password (credentials that every member of the University has). No special or different credentials are needed (except for Capital IQ, as described above).
4. DEGREE PROGRAMS OFFERED

4.1 Master of Business Administration (MBA)

Simon offers a Full-time MBA and three part-time MBA programs as described below.

4.1.1 Full-time MBA

Please reference the Simon Course Catalog, available on the Registrar’s webpage, for details of the Full-time MBA degree requirements and various Specializations and minors that are offered. Each year Simon admits two cohorts (the blue and gold cohorts) of approximately 50-65 students.

4.1.2 Professional MBA (PMBA)

Please reference the Simon Course Catalog for details of the Professional MBA (PMBA) Program degree requirements and various Specializations and minors that are offered. Most PMBA courses are offered in the evening format. Some courses are offered in the weekend format in conjunction with the EMBA program. PMBA cohorts start their programs in Fall A and Spring B of each academic year. Non-matriculates can start courses in any term.

4.1.3 Executive MBA (EMBA)

The Executive MBA Program offers an integrated sequence of 15 required courses, along with three electives, aimed at a balanced study of all the business functions. Each entering class moves through the course of study together, sharing the same educational experiences and remaining on the same study team during the majority of the program. Study teams are chosen to reflect a variety of talents, industries, cultures and backgrounds. During our teambuilding workshops, we take your team through the steps to becoming a high performing work team. Your team will document a team charter – your commitments to one another – before classes even start. The time spent here helps make your time in classes more efficient – and gives you the skills to learn from one another and be more productive.

The program meets one Friday and two Saturdays per month from August to June in the first year and from August to May in the second year. Quantitative and Excel refreshers are available to incoming students prior to the start of the program.

Students have the opportunity to select international immersion courses as electives. Other elective options include courses offered on the regular Executive MBA schedule and during the evening. Executive MBA students also have the opportunity to earn a STEM-designated degree.

4.1.4 Rochester-Bern Executive MBA Program

In addition to the EMBA program on campus, we currently have executive MBA program in Switzerland. American business is part of a complex and interdependent global economy. In 1986, recognizing the opportunities for sharing resources and experiences, the Simon Business
School became the first accredited US business school to establish a European Executive MBA program. The Simon Business School’s Executive MBA Program in Bern, Switzerland, is offered in collaboration with the. The partnership adds a global perspective to both the Rochester and European programs.

The Bern program is similar to the Rochester program and is taught both by Simon Business School faculty and European scholars. Students earn a University of Rochester Master of Business Administration degree. Like Rochester’s Executive MBA students, the Bern students come from a wide variety of countries and cultures.

Bern students spend a four-week residency in Rochester, during which they take three credit-bearing courses. During this Rochester stay, students from both programs have the opportunity to experience the various cultural and business perspectives and to widen their business network to include colleagues from around the world.

4.2 Full-time Masters of Science Programs

Simon offers four full-time MS programs, all of which are STEM-designated degree programs. Each program can be completed in one academic year or can be stretched to allow for an internship during the summer followed by one course in the following Fall semester. This extended option is referred to as the “Internship Track”. The four MS degree programs are:

- MS Accountancy (qualifies students to take the NYS CPA examination)
- MS Business Analytics
- MS Finance
- MS Marketing Analytics

4.3 Part-Time Masters in Medical Management (MMM)

The Part-Time Medical Management Program is designed to fit the schedules of busy working professionals. Students typically take two courses per term for one year, September through August.

The curriculum is presented in a format that delivers core business material while simultaneously applying that material to the health care industry. This is accomplished through the pairing of Simon Business School core courses with health sciences management courses that develop applications of the core material. One of the courses meets one evening each week, with the second one meeting one Saturday per month. In addition to class time, students should plan on spending 15 to 20 hours per week on study and assignments. Upon completion of the coursework, students complete a six-credit team project. The project is on a topic chosen with input from the senior leadership at the team’s organization and the Simon program directors.

4.4 Doctor of Philosophy in Business Administration (Ph.D.)

The PhD Program at the Simon School of Business is designed to equip students with the necessary analytical skills to carry out high-quality teaching and research in various fields of management. The areas of study include: Accounting, Finance, Marketing, Information Systems, and Operations Management.
Regardless of the major, students start with a rigorous set of first year classes that build a firm foundation of mathematics, statistics, and economics as well as area specific knowledge. The important skills our students learn from these courses are hard to acquire later if not learned before research training. Further, this allows students in subsequent years to acquire a deeper understanding of the state-of-the-art concepts in their chosen discipline and to quickly develop strong skills necessary to conduct original research.

In the second year, students concentrate on course work and begin devoting larger parts of their time to research. Each area has specific course requirements as well as exam and paper requirements that provide milestones for as they prepare to become a PhD Candidate and focus primarily on original research.

As is common at most universities, Ph.D. students do not officially become "Ph.D. Candidates" until the Qualifying Examination has been passed. This examination involves preparing a paper and a presentation that demonstrates significant research potential in the major field.

After achieving candidacy, students must then find an acceptable thesis topic. Success at this stage, more than at any other, determines how quickly they can complete the Program. Students who have a well-defined thesis topic can propose and defend their dissertation by the end of the fourth year. Most students identify their dissertation topic, develop the thesis, and complete it to graduate by the end of the fifth or sixth year at the Simon School. There are no formal rules regarding appropriate thesis topics, but every thesis must have a significant independent component.

4.5 MD/MBA Program

Along with the Simon Business School, the School of Medicine and Dentistry offers a combined MD/MBA degree program in Health Sciences Management. The program takes five years to complete and is designed to prepare physician managers who can respond intelligently, effectively, and creatively to the changing health care services industry. To participate in this program, you must apply to, and be accepted by, both the School of Medicine and Dentistry and Simon Business School. You are also required to take both the MCAT and GMAT exams. Taken separately, the MD is four years and the MBA is two years. Requirements include:

- All MBA core courses completed during first year as a full-time Simon student
- Continuation into first two years of the MD program as a full-time medical school student
- Completion of Simon electives and School of Medical and Dentistry electives in remaining two years

4.6 Undergraduate Program

Simon partnered with the University of Rochester’s Arts, Sciences & Engineering to create The Barry Florescue Undergraduate Business Program which offers a BS degree, a BA degree, and a minor in business. The BS degree has 5 tracks: Accounting, Finance, Marketing, Business Analytics, and Entrepreneurship. The BA has fewer course requirements and can only serve as a second major. Undergraduate business students are officially AS&E students in the College and the undergraduate courses are officially AS&E courses that adhere to AS&E policies.
5. ROLE OF THE FACULTY

5.1 Research, Teaching and Service Expectations

Faculty responsibilities are broad and extend beyond research and classroom teaching. This is particularly true if the Simon School is to be successful as an institution and attract the high-quality students and faculty colleagues desired. As a consequence, research, teaching and service make up the three aspects of your activities that the School evaluates in the promotion process. All three elements are also reviewed by the Dean's Office in making annual evaluations of faculty performance.

5.1.1 Research

Central to the Simon School mission is a commitment to “develop important and relevant scientific research that advances both the understanding and the practice of management.” High quality academic research on important issues has long been the hallmark of the Simon School. Tenure-track faculty are expected to be actively engaged in research that will advance the frontiers of knowledge in his/her academic area. Faculty are encouraged to “take risks” by pursuing path breaking areas or tackling difficult problems. Ultimately the evaluation of the research is not a matter of counting articles but of assessing what impact the scholar’s research has had on his profession.

Most of the areas have weekly seminars scheduled during the academic year. These seminars are used to bring in colleagues from around the world as well as for presentation of research by Simon School faculty. It is important for faculty to actively participate in these seminars, both as presenters and as attendees. Seminar comments often make substantial contributions to one’s research. As an attendee, your comments are not only helpful to your colleagues but also affect the perception that outside speakers have of the Simon School.

Seminar organizers try to coordinate schedules to avoid conflicts. Usually an area schedules their seminars on a specific day of the week. However, during periods when the school is actively recruiting new faculty, it is often necessary to vary the day of the week or for an area to have more than one candidate in a week.

5.1.2 Teaching

In teaching, faculty are expected to stimulate the student’s interest and provide the student with the ability to do relevant analysis in the various areas. Achieving these goals requires that the faculty member have a command of their area and stay current with the latest developments and research. This in turn will, from time to time, require
changes in an individual course’s curriculum and the development of new courses. We expect teaching and research contributions to be complementary.

5.1.3 Service

The service component includes not just routine administrative tasks, but activities that build and enhance the institution and which may have little private benefit in the short term. All faculty participate in varying degrees through their standard committee assignments and related administrative activities. The student related activities discussed below constitute another aspect of this service component.

It is not expected that each faculty member will have the same mix of research, teaching and service activities. From the standpoint of accomplishing the School’s mission, what is important is the overall portfolio of activities. For promotion and tenure decisions, research plays the dominant role. Not all faculty will be stars in the classroom, but it is expected that each faculty member be able to teach at a satisfactory level. While some service activities will be expected of each faculty member, in general younger scholars are not expected to devote any significant time to service. Rather they should concentrate on building their research portfolio and developing adequate teaching skills.

5.2 Faculty - Student Interaction

The Simon School is a small school and we use that characteristic to our advantage as we try to attract the best qualified students to attend our programs. One of the key features of such an environment from the students' point of view is the opportunity to interact with the faculty outside of the classroom. These informal interactions mean a lot to the students and promote the collegial atmosphere for which our students and we take great pride.

Unfortunately, student desires in this respect can outstrip the available faculty as new initiatives are always being proposed. Faculty are constantly receiving requests to attend this or that student and/or alumni related event and you cannot possible attend them all. The frequency and volume seem excessively large, particularly if you assume attendance is required at each and every event. Of course no one expects all faculty to attend all these events. In most cases, it is only necessary that there be a reasonable representation. Certain aspects of the current system, however, do not work particularly well. Invitations sometimes go out to everyone with no requirement that you RSVP. As a consequence, it is difficult to determine which, if any, faculty will show up. There is also the view that faculty do not always have a good understanding of which events are the most important. Many do not mind participating, but would like guidance as to which events are of the highest priority.
For the sake of convenience, an attempt has been made to divide most of the major student related activities and/or administrative tasks (i.e. those falling outside the usual committee structure) into two broad categories. The first category involves those activities which are business related in the sense they can be described as directly enhancing the quality and reputation of the School and its programs. These events and one or two others such as Commencement have been placed on the "High Priority" list. The second category are events of "Secondary Priority." These events are primarily social (though not exclusively) and should be fun for all involved. Nevertheless, it is desirable to have a reasonable amount of faculty participation.

These lists should not be viewed as exhaustive, but more as a guide to help you better prioritize the activities you choose to attend. Also note that the items are not listed in any particular order.

5.2.1 High Priority

- **Commencement.** As is currently the case, all faculty are strongly encouraged to be at Commencement.

- **Admissions Receptions for Various Programs.** Area Coordinators will be asked to ensure that at least one person is present from their area of responsibility at each session.

- **Catalog Revisions/Updates and Area Brochures.** These are important marketing pieces for the School and the faculty have to take some responsibility ensuring the intellectual accuracy of course descriptions and philosophy. Area Coordinators will be expected to review and update course descriptions with faculty help and review area brochures, etc. Faculty are responsible for helping update course descriptions and personal biographies.

- **Kalmbach and Other Guest Lectures.** Observations made by guest speakers can be an important source of class discussion and insight into what the business community is telling students. Each faculty member should choose one or two lectures a year to attend.

- **Alumni Receptions and Events.** Alumni are an increasingly important constituency for us. Their good feelings about the School, and hence the giving that follows, must be cultivated. One way to do that is to give them the opportunity to interact with the faculty they learned from. Senior faculty, in particular, should attend at least one alumni event each year.

- **Media Contacts / Faculty News / Research Highlights.** An important part of marketing the School is marketing the research product of the faculty. It is expected that faculty will be cooperative and supportive of efforts by PR to gain exposure for their work. This includes submitting abstracts and
working papers on a timely and regular basis. The PR office will continue to make every effort to screen out unimportant or inappropriate media requests that come through their office.

- **Career Services Support.** Our relationships with our recruiters are important for the School. Faculty should be receptive if and when Career Services seeks your assistance in meeting with recruiters or talking to students about job opportunities. It is anticipated, however, that no faculty member would receive more than two requests per year from Career Services.

### 5.2.2 Secondary Priorities

These items are primarily social (but not exclusively) and do not require large faculty presence, but some faculty attendance or involvement is encouraged. The list is not intended to be exhaustive, but covers most of the significant events. The starred (*) items are events at which past attendance has been lower than desired.

- GBC Events
- Dean's Coffee Hour
- Dean's Picnic on Commencement Weekend*
- EDP Social Events and Trips
- Blackjack Ball
- Ski Day
- Broaden Your Horizon Lunches
- Alumni Golf Outings

It should be clear that everyone does not have to participate in every activity. You will continue to be invited to events, but we will attempt to ask for a specific response from you as to whether or not you will attend. That is the only way to ensure an adequate turnout. In general, it is expected that senior faculty will devote about twice as much time to these activities as junior faculty. Their knowledge of the School and perspectives are particularly important, for example, at Admissions Receptions and Alumni events.

### 5.3 Academic Standards

#### 5.3.1 Significance of Academic Integrity

As an educational institution, the Simon Business School has a significant commitment to maintain its credibility in the marketplace. Because a graduate degree is an intangible asset, both faculty and students have strong incentives to assure potential employers and prospective students of the quality of the product. Further, honest behavior enhances the quality and fairness of the educational experience for all of those earning a Simon degree. Therefore, it is an individual and collective responsibility of the members
of the Simon community to participate actively in maintaining the highest standards of honesty and integrity by promoting adherence to the Code of Academic Integrity.

5.3.2 Code of Academic Integrity

Every Simon student is expected to be completely honest in all academic matters. Simon students will not in any way misrepresent their academic work or attempt to advance their academic position through fraudulent or unauthorized means. No Simon student will be involved with another student’s violation of this standard of honest behavior.

A violation of the Simon School Code of Academic Integrity includes, but is not limited to, the following: cheating (including unauthorized cooperation or the use of unauthorized material in preparing an assignment to be graded); plagiarism (representing the work of others as your own); submitting altered exams for re-grading; gaining unauthorized access to exam questions or content prior to the examination; using, without authorization, the same material in preparing assignments in two separate courses; use of text or graphics from internet/website sources without specific reference and lying to instructors or school administrators. Knowingly permitting dishonest behavior such as plagiarism or copying from another’s work is also a violation.

A proven violation of the Code can lead to a failing grade on an assignment, course failure and/or dismissal from the program.

5.3.3 Faculty Commitment to Academic Integrity

The importance of academic integrity is emphasized to student in the Student Handbook and on occasions such as the orientation period for incoming students. Faculty commitment to academic integrity can also be emphasized by:

- Making perfectly clear, explicitly and in advance, what is expected on every assignment and examination with respect to admissible cooperation and admissible use of texts or notes, and

- Minimizing obvious opportunities to cheat, especially on examinations. (Even if no one exploits these opportunities, they can give the appearance that we do not care and they substantially complicate the resolution of cheating allegations.)

5.3.4 Process for Handling an Alleged Violation of Academic Integrity

Any suspected incident of academic dishonesty should be reported immediately to the Director of Student Service or Chair of the Academic Honesty Committee. The accused student will be informed of the complaint and of student rights under University standard policies. The student will also be asked to write a letter responding to the complaint. The incident will be investigated by the Chair of the Academic Honesty Committee. If the student denies violating the Academic Integrity Code and if investigation does not reveal substantial evidence supporting the allegation, the complaint will be dismissed.

If the accused student admits violation of the Academic Integrity Code, the student may waive a formal hearing and accept a sanction determined by consultation among the course instructor, the Chair of the Academic Honesty Committee, and the Senior Associate Dean for Faculty and
If the accused student denies the alleged violation but substantial evidence supports the allegation, or if the student admits violation but does not accept the proposed sanction, then there will be a formal hearing of the complaint by an Academic Honesty Hearing Board (which includes 2-3 students, 3-4 faculty members, and the Executive Director, Student Services, ex officio). In the hearing the accused student will have the opportunity to examine and offer evidence, question and present witnesses, and make a summary statement. If the hearing board finds the student guilty it will recommend a sanction. This sanction will supersede any previously proposed. Sanctions can range from failure of an assignment to dismissal from the School.
6. FACULTY DEVELOPMENT

6.1 Contract Renewal, Promotion and Tenure

The review of faculty consists of the formal contract renewal, promotion and tenure processes as well as the annual activities review, teaching evaluations and periodic post-tenure reviews.

All contract renewal, promotion and tenure decisions are made at least a full year prior to the expiration of a faculty member’s contract. For each review, the faculty member is asked to submit research papers, a statement of their research agenda (including the importance of research to date and future research plans), a teaching statement (including teaching innovations and the relationship between their teaching and research agenda), course syllabi, and a service statement (see section on Guidelines for Summary Statement, p. 6-4). For promotion and tenure reviews, they are asked to supply the names of individuals who they suggest as outside reviewers.

The University of Rochester allows up to seven years as an assistant professor with some extensions allowed for periods of personal leave, medical conditions or dependent care. Many schools offer an initial three-year contract followed by a four-year extension or four years followed by a three-year extenuation. The Simon School has a three-one-three contract structure. The first contract is for three years. In the Spring of the second year, assistant professors are reviewed for a one-year extension. In the third year, they are reviewed for a three-year extension. This structure allows for a formal review to offer early career guidance as well as a review when a more substantial body of work can be expected.

The initial contract review is primarily designed to ensure that we have information about a new faculty member’s performance at an early stage and that we provide early guidance when it is easier for the individual to change direction if necessary. This first review is relatively non-threatening; it is highly unlikely that the one-year extension would not be granted. While the decision is almost automatic, the information and advice have been very valuable in directing young faculty. It also has the benefit of providing the young faculty member with an introduction to the review process.

At the assistant professor contract renewal stage, the review is conducted by an ad hoc committee of three faculty members and the Senior Associate Dean for Faculty and Research. At least one member is from the Simon School Promotion and Tenure Committee, at least one is a senior faculty member from the candidate’s primary area, and usually there is one junior faculty member who is at least a year senior to the individual being reviewed. Members of the committee are selected by the Associate Dean in consultation with the Chair of the Promotion and Tenure Committee.
Junior faculty are deliberately involved in the contract renewal process both as a way of giving them a chance to see the process from the other side of the table, and in recognition that as a colleague their advice is valued. In many instances their work may be closer to the research of other junior faculty.

Even when the contract renewal decision is clear, the ad hoc committee spends considerable time in providing comments on the research, teaching and service progress, and in formulating suggestions for improvements. Usually the same committee is involved in the second and third year reviews so they are able to judge the progress.

A policy of having all the contract renewal reports reviewed by the Promotion and Tenure Committee was adopted. This helps to ensure both consistency in standards applied across the ad hoc committees and consistency with the standards the Promotion and Tenure Committee employs for promotion and tenure decisions.

The decision and suggestions for improvement are communicated to the junior faculty member by the Senior Associate Dean and one or more members of the ad hoc committee, usually the member of the Promotion and Tenure Committee. While providing guidance, the School has avoided explicit contracting, e.g., if you do x and y you will be promoted.

The Simon School typically promotes to a limited tenure term (five years) Associate Professor position. If the promotion is granted in year six of the assistant professor period, then the tenure decision must occur by year ten from the initial appointment. With the consent of the faculty member, the decisions can be made earlier.

The Promotion and Tenure Committee is a standing committee approved by the faculty. Individuals serve for three-year terms and may serve continuous terms. Although membership varies from year to year, there are typically six to eight faculty members and the Senior Associate Dean for Faculty and Research. At the Committee’s request, one or two faculty associated with the candidate’s primary discipline may be added on an ad hoc basis.

In addition to its own review of the candidate’s teaching, research and service record, the Promotion and Tenure Committee solicits letters from outside reviewers. Approximately twelve outside reviewers are selected, some from a list supplied by the candidate and others selected by the Committee. The candidate is not told who supplied the outside reviews.

Formally the Promotion and Tenure Committee makes a recommendation to the Dean of the Simon School. Based on the Committee’s report and his own assessment of the case, the Dean makes a recommendation to the University Provost. Cases for promotion to untenured associate professor are reviewed by a University standing committee. Tenure decisions are reviewed by an ad hoc committee appointed by the Provost. The Provost, the President and ultimately the Board of Trustees must approve all promotion and tenure decisions. No Simon School case, at least in the memory of current faculty, has been...
reversed at the University level. This speaks both to the care of the Dean and the Promotion and Tenure Committee as well as the reputation which the School has established within the University.

The contract renewal, promotion and tenure process is consistent with several Simon School objectives with respect to faculty development. We encourage faculty to tackle difficult, but riskier, research agendas. These pursuits may result in “dead ends” and in general require a longer time to fruition. The longer tenure clock is consistent with providing incentives to address larger problems. Also, in the review process, we do not rely on a simple number counting of articles published in Class A, B, etc. journals. The question which is asked is how will the research impact the profession? Fewer, but more path breaking, papers are preferred to a long list of papers with little impact.

The longer tenure clock provides the Promotion and Tenure Committee with a longer view before the major tenure decision must be made. Decisions can be made with greater certainty about the merits of the candidate, reducing both type I and type II errors. The feedback which individuals receive before promotion and tenure decisions, whether this is through the contract renewal process, annual reviews or comments from colleagues, reduces surprises. While we cannot eliminate close calls in the promotion and tenure process, it would be difficult to point to any true surprises.

**Postponement of Promotion or Tenure Review (see Faculty Handbook, p. 27-28 (2017))**

A full-time tenure track faculty member who adds a new child to the family will automatically be given a one-year postponement of the promotion or tenure review next following the child’s birth or adoption. In all cases, the faculty member must be employed as a full-time tenure track faculty member of the University of Rochester at the time of the birth or adoption and living in the same household as the child.

Only one postponement of the promotion or tenure review is allowed, in order to adhere to the University requirement that all tenure-track, assistant and associate professor, are reviewed for tenure by the eleventh year.

**6.1.1 Simon Business School Criteria for Promotion to Full Professor**

The Simon School’s policies summarized below are consistent with University policy, but have greater specificity.

*Scholarship*

Central to the Simon School mission is a commitment to “develop important and relevant scientific research that advances both the understanding and the practice of management.” High quality academic research on important issues has long been the hallmark of the Simon School. The School expects that tenure-track faculty members at all levels will be actively engaged in research that will advance the frontiers of knowledge in his/her academic area.
To be promoted to Professor, a Simon faculty member must have achieved international distinction as a leading researcher in his or her field (broadly defined). The candidate must have produced high quality scholarly contributions in the post-tenure period (generally resulting in top-tier journal publications). Research is evaluated in terms of its degree of innovation, the importance of the questions addressed, its overall rigor and quality and whether the research provides important new insights that impact the field and ultimately management/business practices. The evaluation of the research is not a matter of counting articles but of assessing what impact the scholar’s research has had.

To meet the Simon standard, the candidate must be known internationally as a high-quality researcher in his/her field and the quality and quantity of research should meet the standards of top researchers at peer research institutions. External evaluation letters written by leading senior researchers in the field (discussed in more detail below) provide important evidence on whether this international-recognition standard has been met. Other evidence is provided by citation counts and professional positions, such as being an editor of a leading journal in the field.

The UR Faculty Handbook provides the University’s criteria for promotion to Professor:

This promotion may be awarded when a tenured individual has continued to grow in intellectual leadership and in teaching excellence, and has in this way become a senior authority in the country, a valuable teacher, and an important contributor to the school or University or both (Faculty Handbook, 5/7, p. 24).

The UR criteria stress 1) the “continued growth in intellectual leadership,” which suggests the importance of significant research productivity in the post-tenure period, 2) achieving national recognition as a “senior authority” in the chosen field, 3) achieving and maintaining high standards in teaching and 4) making important service contributions to the school and/or University.
Teaching

Candidates for promotion to Professor must have achieved and maintained a record of solid teaching. Teaching is broadly defined. It includes teaching undergraduate, masters and PhD level classes, as well as the advising and supervision of PhD students. Teaching is evaluated based on the relevance and rigor of course content, clarity of exposition, student reception and overall professionalism. Not all faculty members will be stars in the classroom, but it is expected that the candidate will have demonstrated at least a sustained satisfactory level of teaching performance (“satisfactory” in a top-tier MBA program implies relatively high-quality teaching performance).

In teaching, faculty members are expected to stimulate the student’s interest and provide the student with the ability to do relevant analysis in the various areas. Achieving these goals requires that the faculty member have a command of his/her area and stay current with the latest developments and research. This in turn will, from time to time, require changes in an individual course’s curriculum and the development of new courses. The School expects teaching and research contributions to be complementary.

Service

Candidates for promotion to Professor must have a record of making valuable service contributions to the Simon School, University or both. In particular, candidates are expected to have demonstrated leadership in mentoring junior faculty and for leadership in service within their areas (for example, new faculty recruiting) and the Simon School as a whole. Significant University service is also relevant in some cases. The service component includes not just routine administrative tasks, but activities that build and enhance the institution and which may have little private benefit in the short term.

Mix of Activities

It is not expected that each faculty member will have the same mix of research, teaching and service activities. From the standpoint of accomplishing the School’s mission, what is important is the overall portfolio of activities. For promotion and tenure decisions, (including promotion to Professor) research plays the predominant role. While excellent service and teaching can substitute on the margin for research, they no way obviate the requirements of continued high-quality research output in the post-tenure period and achievement of international recognition as a senior researcher in the chosen field.

Timing of Promotions

Most candidates for Professor have served as tenured associate professors for a minimum of three to five years. However, there is no set timing for this promotion. Extraordinary performance in achieving international scholarly recognition, along with demonstrated solid teaching and important service contributions can lead to an earlier promotion. While
it is uncommon, truly outstanding performance can lead to promotion to Professor at the time of the tenure decision.

**Process**

In the spring of each school year, the P&T Committee reviews the vitae and activity reports (as summarized by the Senior Associate Dean of Faculty and Research) of all faculty members at the rank of tenured associate professor. The Simon School is small and Committee members typically have additional knowledge of the activities and contributions of each of these faculty members. If the Committee concludes that a potential candidate has a “reasonable” chance at a successful promotion, the Senior Associate Dean for Faculty and Research and the Chairman of the P&T Committee are assigned the responsibility of meeting with the person to discuss the merits of being evaluated for promotion to Professor in the given year. In addition, tenured faculty members can request the Simon School’s Promotion and Tenure Committee (P&T Committee) to evaluate them for promotion to Professor at any time. They can also request informal feedback from the P&T Committee on the prospects for promotion (typically by contacting the Simon School’s Associate Dean for Faculty and Research or the Chairman of the P&T Committee).

Beginning in the 2017-18 school year, the P&T Committee will conduct one formal review of recently tenured faculty (who have not already been considered for promotion to full professor). It will occur in the fourth school year of the post-tenure period. The faculty member will be asked to submit a packet containing a current vita, research, teaching and service statements and any post-tenure research papers that the P&T Committee should consider by December 15th of the fourth post-tenure school year. The Committee will review the case in the winter/spring. The primary purpose of the review is for faculty development. The Chairman of the P&T Committee and the Senior Associate Dean of Faculty and Research will subsequently meet with the faculty member to discuss the Committee’s assessment of the progress toward promotion to full professor and its specific suggestions. Candidates who appear to meet standard can be evaluated for promotion officially in the fall of that year through the normal process described below, which includes the solicitation of outside letters.

It is incumbent upon the Senior Associate Dean of Faculty and Research to assure that each tenured associate professor understands the criteria and process for promotion to Professor summarized in this document. Most associate professors can judge whether they are likely to meet these criteria, and the costs of frequent formal evaluations by the P&T Committee or other senior ad hoc committees (beyond those described above) are likely to be much greater than the benefits.3

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3In this section, the P&T Committee refers to the subset of members who are full professors. Currently all faculty members (senior and junior) submit annual activities reports to the Dean’s Office, which potentially impact salary and summer grant decisions. Faculty members also receive feedback on teaching performance through student evaluations, which are conducted at
the end of each term. In 1994/95, Dean Plosser initiated additional 5-year peer reviews of all tenured faculty members. Tenured faculty members were asked to submit a packet of materials like that supplied in a promotion or tenure case. This material was reviewed by an anonymous ad hoc committee, which submitted a report to the Dean. The Dean and Senior Associate Dean reviewed the report and discussed its major findings with the faculty member. These reviews were intended for career development purposes. The reviews were subsequently discontinued after it became clear that the costs of faculty time used in this process were very high, while the benefits from these additional reviews were relatively small.
Timing for an evaluation for promotion within the school year can vary depending on circumstances. However, normally the P&T Committee must receive the candidate’s promotion packet by October 1. Upon receipt of the packet, the P&T Committee requests evaluation letters from about 12 outside reviewers with international reputations in the field (6 come from the list submitted by the candidate; the other six are not on the list). The P&T Committee reviews the candidate’s research (including the detailed reading and discussing of selected papers), teaching and service records over several meetings in the fall. The external letters are typically received and reviewed by late January or early February. The P&T Committee recommends candidates that it believes meets the School’s criteria for promotion to the Simon School’s Dean in late January or February. If the Dean accepts the Committee’s recommendation on a promotion, he/she writes a supporting letter to the University Provost. All files and documents related to the case are forwarded to the Provost along with the Dean’s letter.

This document summarizes the Simon School process of promotion to full professor. Promotion ultimately requires the approval of University Provost and the University Board of Trustees.

**Awarding of Chaired Professorships**

Proposals to award chaired professorships to either existing or external faculty members are typically initiated by the Dean’s Office. Subsequently, the Chaired Professors on the Simon P&T Committee evaluate the candidate’s research (quantity, quality and impact), teaching and service records. Other Simon chaired professors are notified that the case is under consideration and are invited to provide their input. For most chairs, the primary weight is placed on the candidate’s research, but the relative weights placed on research, teaching and service can vary depending on the stated purpose of the chair (e.g., some chairs are funded to reward teaching excellence). Chaired Professors on the P&T, after reaching a conclusion on the merits of the case, submit a written recommendation to the Dean, who then decides whether to forward the case to the Provost. The Provost reviews the recommendation and decides whether to recommend final approval to the Trustees. Upon final approval, the Dean’s Office informs the chair recipient.

4The packet includes 1) a current vita, 2) a summary statement covering research, teaching and service to the school and University, 3) course syllabi 4) publications and working papers which the candidates wants to be considered in the evaluation and 5) the names, addresses, and email
addresses of 12 recommenders whom the candidate things are qualified to evaluate his/her research.

6.1.2 Guidelines for Summary Statement of Research, Teaching and Service

University policies require two thresholds be passed on the path to tenure: excellence in teaching; scholarship or artistic work. (see Faculty Handbook, 2017, pp. 23-24).

Passage of both these thresholds is a necessary but not sufficient condition for tenure. The tenure decision then depends on overall excellence in those areas and on service. Those conditions for tenure are unlikely to change.

Faculty being considered for promotion to untenured Associate Professor or for tenure are asked to provide the following materials by October or early November (the exact dates set by the Chair of the Promotion and Tenure Committee and the Senior Associate Dean for Faculty and Research in consultation with the faculty member). All materials are to be submitted electronically to the Sr. Associate Dean’s Office and Chair:

- Candidate’s current curriculum vitae;
- Summary statement covering research, teaching and service to the school;
- Electronic files of publications and working papers to be considered in the evaluation;
- Course syllabi; and
- Eight to ten names and addresses of recommenders who the candidate considers qualified to evaluate his/her work.

The research statement should discuss the candidate’s view of his/her work and give some ideas of future research plans. In evaluating research, the question which is asked by reviewers is how will the research impact the profession. Therefore, it is important to discuss the contribution of the research to the academic literature (citations are helpful). Where several papers are related, it is often useful to note not only the contributions of the individual papers, but also the likely impact of the set as a whole. In discussing future research plans, one should also discuss the expected contribution of the proposed research.

In evaluating teaching, we look for evidence that the candidate stimulates the student's interest in, and provides the student with the ability to do, relevant analysis in the area. Achieving these goals requires that the faculty member have a command of the area and stay current with the latest developments and research. This in turn will, from time to time, require changes in an individual course's curriculum and the development of new courses. We expect teaching and research contributions to be complementary.

A statement that includes teaching should provide us with knowledge of the candidate's plan to achieve the teaching objectives and the association between the candidate's teaching and research. The candidate can indicate how the set of courses taught fits into
his or her plan to develop expertise in particular areas and explain why each area of expertise is important to business education. Exposition of the link between new course development and old course revision and the overall teaching plan would also help our evaluation.

New and effective instructional techniques and materials developed by the candidate (especially those transferable to other faculty) should be explained in the statement. In addition, "transferable" materials should be included in the package submitted for evaluation. To demonstrate the effectiveness of the techniques or materials, it could be in the candidate's interest to have the teaching committee evaluate the candidate's course that uses the methods and materials prior to our decision. In the future, the teaching committee's evaluations will be used in promotion and tenure decisions and will provide information that is complementary to student evaluations and the faculty member's self-assessment.

Contributions to the PhD program should also be covered in the statement. Those contributions include PhD courses taught, service on dissertation committees and the quality of placement of PhD students.

Service becomes more important, the higher the level of promotion. At promotion to untenured associate service to the institution is given moderate consideration. At the tenure decision, however, service is given more consideration. We view tenure as a long-term equity position in the School. We expect a tenured faculty member to further his/her and the School's name in academic areas, in business, and in the University in general. Ability to fulfill those functions enters into the tenure decision. The candidate's statement for the tenure decision should indicate how the candidate has served the School in the past and how he/she expects to serve the School in the future. Such service can be contribution on committees or be less formal (e.g., mentoring more junior faculty or students). Outreach is an important service component. Evidence that leading businessmen or practitioners in the candidate's area know of the candidate and his/her work is evidence of outreach (consulting can help here). So are prominent appointments in academic societies or journals and appearances on the podium at conferences of leading academics or practitioners.

6.2 Faculty Recognition

The School, the student body, and the academic profession recognize and reward faculty for their efforts in a number of ways. There are a wide variety of activities, however, which are of critical importance to the School that we believe do not receive the public recognition and acknowledgment that they truly deserve. In an effort to partially remedy this situation, two faculty awards have been created.

6.2.1 Teaching Awards
Teaching excellence is also important to the School. Currently, the students offer four awards each year for outstanding teaching: one from first-year MBAs, one from second-year MBAs, one from MS students and two from the EMBA students (one each in the U.S. and Switzerland). Unfortunately, these awards are made only once a year and only acknowledge a few individuals. Yet there are many faculty who do an outstanding job in the classroom year in and year out but who do not necessarily come out on top in the student balloting for one reason or another.

Therefore, the **Simon School Dean’s Teaching Honor Roll** has been established. Each quarter the School will recognize the five faculty who achieve the highest average score (average of the overall course and overall instructor scores) on the student evaluations among MBA/MS level courses with a minimum of 15 students. For this purpose, all day, night and executive program courses will be pooled. A plaque in Schlegel Hall recognizes those faculty with the highest evaluations during the previous four quarters. At the end of each quarter the new names are added (3 for summer and pre-fall, which are combined). Thus, the list is fluid but provides an opportunity to communicate to students and others the excellent job that many faculty do in the classroom. Each time a faculty member appears on this honor roll he/she receives a $500 bonus to his/her research budget up to a maximum of $1,500 in any one year.

The Gerald and Deanne Gitner Prize for Teaching Excellence Award was established in 2016 by Gerald Gitner ’68S (MBA) and his wife, Deanne, to recognize a junior faculty member for teaching and research excellence, as well as overall impact on the Simon Business School and the University of Rochester. A committee of faculty and students selects the recipient of the Gitner Prize each year, and the award is presented during Commencement ceremonies.
7. FACULTY EXPENDITURES ON RESEARCH & PROFESSIONAL DEVELOPMENT

Initiated in 1975 as a travel budget, the school’s support of faculty-directed expenditures has expanded over the years to include all expenditures related to research and professional development. The primary objective of faculty research budgets is to decentralize decisions about the use of funds to the faculty (i.e., to give individual faculty members greater discretion in determining the allocation of research and professional development expenses).

The Dean’s office makes an annual allocation of funds to faculty based on their research productivity and their needs for discretionary funds to do research, attend conferences, and develop professionally. Unspent balances rollover from year-to-year eliminating the incentive to “spend it or lose it.” External grants provide additional resources for faculty research and do not reduce Simon’s allocations to the grant recipient’s annual research budget, thereby preserving incentives to seek outside support.

If a faculty member’s desired research expenditures exceed the available balance, the Dean’s office can approve either the carrying of a negative balance until the new fiscal year (which commences July 1) or a supplemental allocation of funds.

7.1 Reimbursement Policy

The Simon School reimburses faculty out of their research budget for qualified business and travel expenditures and follows the University of Rochester’s Business Expense and Travel Reimbursement Policy. An expenditure qualifies for reimbursement if it satisfies three sets of restrictions: IRS restrictions, University restrictions, and Simon School restrictions. It is solely the responsibility of each faculty member to verify the qualification of an item prior to incurring its expense. For this reason, faculty members are encouraged to obtain prior approval from the Senior Associate Dean for Faculty and Research for all unusual or questionable expenses.

7.1.1 Buying and Paying Guide

All computers-capital equipment exceeding $1,000 should be purchased through the UR Tech Store. Simon IT can facilitate the ordering of all computer-capital equipment for faculty. Purchasing elsewhere requires prior approval from the Dean’s Office.

Per University Policy: Sales tax for capital equipment purchased using personal funds is not reimbursable.

Similarly, office supplies (toner, paper, pens, etc.) should be purchased by the faculty assistants from our preferred supplier for this commodity, Staples. This process avoids sales tax and costs related to processing such expenses.
Conference Registration fees can be paid ahead of time using Simon’s purchasing card (Pcard).

Office furniture should be purchased through a University approved vendor. Exceptions are allowed if the item is not available or can be purchased elsewhere at a lower price. Prior approval is required before any furniture is purchased. Subscriptions, professional membership fees, book purchases, and peripherals purchased through Amazon can be purchased using Simon’s Pcard.

Travel must be done at the lowest cost that meets the traveler’s needs. The University’s standard class for air travel is economy class, defined as reserved seating with an overhead bin. Any travel requests above the University standard of economy requires prior approval from the Dean’s office. Faculty should submit such requests in writing, including supporting documentation, if appropriate. For example, a physician’s note attesting to the need for additional space on flights can support a case for higher cost first-class or business-class airfare.

Prior approval is required from the Dean’s office for all conference travel outside the contiguous US (i.e., lower 48 states) or Canada, if you are not on the program as an organizer, presenter, or author.

Advanced airfare travel can be booked through one of the University’s approved travel agencies. The Simon Finance Office can assist you with booking advance travel.

If business travel that was already booked is canceled (e.g., due to a conference being canceled or a personal situation), you should cancel your flight and hold the credit for future use. The University will reimburse the cost of the canceled ticket when the resulting credit is used for business travel or expire unused. If the credits are used for personal travel, reimbursement will be provided for the difference in the original purchase price and the amount of credits used for personal travel (i.e., covering the cancellation fees). Proof of the need for cancellation, of the cancellation fees, and, if credits expire, of expiration, will need to be provided.

The University allows for per diem reimbursement for lodging (international only) and meal and incidentals (domestic and international). See below for more information on Per Diem.

Meal reimbursement is a $90 maximum per person (including tax and tip).

University policy precludes the reimbursement of purchases using a gift card or points.

All items intended for use in a home office require prior approval from the Dean’s office.

7.1.2 Timing Requirements

Expenses incurred by employees must meet accountable plan requirements (IRS Publication 463, Chapter 5 Recordkeeping & Chapter 6 How to Report) for reimbursement to be excluded from the individual’s taxable income. To meet the accountable plan requirements, employees must submit forms to Accounts Payable within 60 days from the date of event, return from trip, or date of expenditure if no event or trip is involved. Any reimbursements submitted after 60 days, without a reasonable explanation for the delay, are considered taxable income and will be paid via extra compensation.
To help comply with the 60-day policy, faculty can submit all reimbursement documentation electronically.

7.1.3 Documentation Requirements for Reimbursements

Individuals must provide sufficient documentary evidence to substantiate the expense and support the business purpose. Individuals cannot submit expense reports for reimbursement amounts that are approximate or estimated. Employees will only be reimbursed for actual business expenses incurred (other than per diem allowances as detailed below).

- **Original Documentation**: Electronic or scanned documentation, including photo image of receipt, is acceptable, provided the image is clear and complete.

- **Receipt Threshold**: Detailed receipts must be provided for expenses of $50.00 or greater. For expenses less than $50.00, receipts are not required although the employee is still required to provide the name of the vendor, location, date, exact dollar amount of the expense, and a description of the goods or services received. The receipt itself is the preferred way to document these details.

- **Missing Receipt (if over $50)**: If a receipt is lost, first try to obtain a copy from the vendor (airline, hotel, and restaurant) as soon as it is discovered the receipt has been lost. When a detailed receipt is required but not available, a Missing Receipt Form must be completed. Documentation must include:
  - name of the vendor,
  - location,
  - date,
  - dollar amount of the expense,
  - description of the goods or services received, and
  - credit card statement showing the charge.

Incomplete or poor-quality documentation may require additional substantiation. Best practice: Include information needed to clarify or to establish the accuracy or reliability of information contained in your records.

- **Reimbursement of Group Meals**: For reimbursement of group meals, a listing of attendees and their affiliations (e.g., department staff, donor, prospective employee, students, etc.) must accompany the receipt.

- **Business Purpose**: All expenses require a business justification. The business purpose is a statement that adequately describes the expense as a necessary, reasonable and appropriate business expense for the University. Business expenses support or advance the goals, objectives, and mission of the University. Expense approvers are responsible and accountable to determine whether expenses comply with the business purpose guidelines and the expenses are necessary business expenses. Examples of business purposes include:
  - Attended ASSA conference Jan. 3 – 10, 2019 to interview faculty candidates
  - Presented at Western Finance Associate Conference Nov. 1 – 3, 2019
Traveled to San Francisco, CA April 1 – 10, 2019 to work with co-author

- **Examples of Proper Documentation**
  - Airfare: Ticket receipt and refund exchange notice if applicable. Airline receipts must indicate the carrier and class of service. A receipt for ticketless travel must be requested. If travel includes personal side trips, a quotation for incremental costs must be provided.
  - The emailed confirmation from the University’s travel agent meets these requirements.
  - Rental car: Rental agreement and paid receipt.
  - Ride hailing service: Paid trip receipt.
  - Hotel: Itemized bill, folio, or proof of stay. Itemization should include name and location of the hotel, dates of stay, and separate amounts for charges such as lodging, meals, and telephone calls.
  - Meal: Itemized receipt should include the name and location of the restaurant, date, amount, and if items other than food and beverage are included, the receipt must show the amount separately.
  - The number of people served should be indicated if not apparent from the itemization of expenses. Any amount for alcohol must be itemized separately.
  - Personal Vehicle Usage: Receipts for tolls and parking should include date and location. Provide a map with miles.
  - Conference/Seminar: Registration receipt should show name, date, location, and amount.

### 7.1.4 Per Diem

In lieu of substantiating certain expenses with receipts and supporting documentation, federal per diem rates may be utilized when submitting for reimbursement of these expenses:

- **Meals and incidental expenses for individual travelers** *when overnight stay/travel is involved*
  - Includes meals and tips
  - Does not include any expense where more than one person’s meal is being reimbursed
  - Lodging per diems are only available for international travel

A per diem satisfies the adequate accounting requirements for the amount of your expenses if all the following conditions apply:

- Payments are limited to those expenses that are ordinary and necessary in the conduct of the trade or business.
- Business purpose explanations satisfy this requirement.
- The allowance is similar and does not exceed the federal rate.
- University employees must use the regular [federal per diem rates](#) which are published by the General Services Administration (GSA).
- Within a reasonable period of time (60 days from the return of the trip), substantiation is provided for time (dates), place, and business purpose of the expenses.

**Federal per diem rate guidance:**

- The regular federal per diem rates are different for different locations.
  - Use the rate in effect for the area where you stop to dine or spend the night.
  - Expenses for same-day university travel (travel without an overnight stay) must be submitted for reimbursement using actual receipts.
- Use the rate for the month and year of the trip.
• Use the rate for the city/region where you stay for the night. For the last day of travel, use the last location stopped for sleep.
• Per Diem rates for localities may change at any time. To be sure you have the most current rate, check GSA.gov/Perdiem.
  o GSA generally publishes rates annually that are effective beginning October 1st each year.
• Incidental expenses are described as fees and tips given to porters, baggage carriers, hotel staff and similar. Therefore, when the M&I rate is being reimbursed, these fees cannot also be reimbursed since they are included in the M&I rate.
  o Domestic per diem rates include $5 per day for incidentals. International per diem rates include approximately 20% for incidentals.
• When a meal is paid for by a host (non-employee), paid for by the traveler (employee) as host for a group meal, included in a conference/event fee, or covered by another source, the per diem amount requested must be reduced by the per diem amount for the meal provided. Examples can be found in the University’s Business Expense and Travel Reimbursement policy.
• Rate to use when the city is not listed on the per diem website: If a city is not listed, check to see if the county within which it is located is listed. Visit the National Association of Counties website at explorer.naco.org to determine the county where the destination is located. If the city is not listed, but the county is, then the per diem rate is the rate for that entire county. If the city and the county are not listed, then that area receives the standard CONUS location rate, which in FY19 is $55 for meals and incidental expenses. The standard CONUS location rate changes annually.
• Rate to use during the first and last travel day: On the first and last travel day, only 75 percent of the total M&IE rate for the location should be used. For your convenience, the Meal & Incidentals (M&IE) table (see above example) has a column showing the calculated amount for the “First and Last Day of Travel.”
  o If travel on the day of departure begins at or before 7 am local time or if travel on the day of return ends at or after 7 pm local time, the traveler will be entitled to the full per diem (excluding any hosted or provided meals) for that day.

7.1.5 Personal Travel

Family, dependents, or others may accompany a faculty or staff member who is making a trip on University business, although the non-employee’s travel is not a University expense or reimbursable. Only the University traveler’s expenses should be claimed for reimbursement. All employee expenses should be identified separately from the non-business expenses on the receipts and documentation submitted. Where lodging or rental car is involved, single-occupancy and economy rates should be quoted for reimbursement, not room or car rental rates necessary to accommodate the additional travelers.

Similarly, if a University traveler interrupts a business trip or adds days to make a side trip for personal reasons, all expenses that were not incurred for University business must be borne by the traveler and not submitted for reimbursement.

7.1.6 Not Allowable/Not Reimbursable

Certain expenses are not reimbursable at all. This list is not all-inclusive. These examples should serve as a
guide to your expectations about reimbursable expenses.

- Personal entertainment expenses
- In-flight/room movies, satellite radio on car rentals, headsets, books, magazines, newspapers, health club fees, hotel movies, social activities, honor/mini bar charges, sporting events, and similar
- Expenses associated with your normal commute (for example taking a taxi or ride-hailing service because your car broke down on your way into work)
- Damages incurred to any form of lodging, rental accommodations or vehicles as a result of engaging in activities not directly related to University business
- Charges incurred as a result of changes in travel itinerary made for personal convenience including no-show charges for hotel or car service
- Charitable contributions or Donations that do not benefit the University or further the University’s objectives
- Babysitting, house-sitting, and pet-sitting/kennel fees
- Fees on personal-liability credit cards or accounts
- Credit card annual fees, late fees, or finance charges
- Traffic fines, court costs, parking violations, and other fees; even if driving a University-owned/leased vehicle
- Rental car insurance when renting domestically
- Personal items (appliances, head phones, ear buds, back pack, briefcase, computer cases, eye glasses, etc.)
- Maid Services
- Office decorations & comforts (artwork, flowers, rugs, expensive computer speakers, etc.)
- Cell phones and cell phone plans

7.1.7 Travel Agents

The agencies listed below are the only travel agencies authorized to access the University Business Travel Account (BTA) for purchase of advance tickets.

University contracted travel agencies can be reached as follows:

DePrez Travel Bureau, Inc. Town & Country Travel
145 Rue De Ville 732 Pittsford-Victor Rd
Rochester, NY 14618 Pittsford, NY 14534
Phone: 585-442-8900 option 3 (585) 381-2850 / fax (585) 381-1987
Email: UofRtravel@depreztravel.com or *Classified as Woman-owned business
UofRgroups@depreztravel.com Website: www.towncountrytravel.com
Website: www.deprezmeetings.com

Some of the services these travel agencies provide include:

- A full range of bookings and information about carriers, schedules, accommodations, auto rentals, group travel arrangements, etc.
- Supporting documentation for past travel as well as a range of reports such as air, car, hotel and arrival/departure manifests for groups.
- Discounted hotel accommodations
7.2 General Operating Procedure

The expense reimbursement process begins with the faculty member providing appropriate documentation (as described above in the Reimbursement Policy section) to the designated preparer of faculty expense reports in the Simon finance office.

Faculty receive a monthly statement containing all transactions posted.

Research expenses should be charged to grants or contracts from outside sources whenever possible. If two or more faculty members incur joint research expenses, they may split the payment by simply notifying the Executive Director of Operations and Finance how they wish the charges to be allocated.

Funds not spent in the year for which they were allocated will be carried over into future budgets.

All research budget purchases are the property of the University of Rochester. Upon termination or resignation of faculty appointments, durable goods purchased must either remain with the School or departing faculty may purchase capital equipment at current book value. The Dean’s office or Finance Office can assist with such purchases.

In the event of financial hardship, the School may temporarily limit expenditures from research budgets.

Annual faculty expenditure levels that substantially differ from those in prior years (e.g., more than double) require prior approval from the Dean’s office.

7.3 Hiring Teaching Assistants and Research Assistants

Teaching assistants (TAs) provided for MBA and MS courses with sufficient enrollments are not charged to research budgets. If faculty wish to hire TAs beyond those normally assigned by the Dean’s office, they may do so out of their research budgets. TAs must be hired through Simon’s Office of Administration at wage rates set by the University.

Faculty may hire University students (undergraduate, MS, MBA, or PhD) as research assistants (RAs). Such hires must be facilitated by Simon’s Office of Administration. Hiring personnel from outside the University for research assistance requires prior approval from the Dean’s office.
7.4 Research Seminars and Recruiting Activities

All meal costs incurred hosting research seminar speakers are reimbursed from each Area’s research seminar budget.

The chair (or other designated member of the recruiting committee) of each Area’s recruiting committee will have all expenses associated with recruiting conferences paid from the Area’s recruiting budget. Additional faculty members who are only participating in the recruiting efforts will be reimbursed for expenses, 50% from the Areas’ recruiting budget and 50% from the faculty member’s research budget. Faculty who are attending both the conference and recruiting activities will be reimbursed from their faculty research budget.

7.5 External Grants

Faculty are encouraged to obtain external (i.e., non-Simon) grants for their research activities. Grants from the National Science Foundation, for example, usually provide summer salary support as well as funds for research activities. While the availability of federal grant funds varies by academic discipline, there are other sources which occasionally become available. Faculty are encouraged to look for grant opportunities and to discuss these with the Senior Associate Dean for Faculty and Research. Assistance in filing grant applications is available both at the Simon School and at the University’s Office of Research and Project Administration (ORPA).

Many grants and contracts require approval by ORPA. Before submitting a grant or contract application or signing a grant or contract agreement, please contact the Senior Associate Dean for Faculty and Research.

External grants often provide summer support. When a grant recipient is also receiving summer support from Simon, the grant’s summer research funding is split 50/50 between Simon and the grant recipient until Simon’s level of support drops to zero. For example, if Simon provides two months of summer support prior to a faculty member being awarded a grant with two months of summer support, the recipient would receive a total of three months of summer support. If the summer support from the grant were for only one month, the grant recipient would receive 2.5 months of support. Total summer support from all sources can never exceed three months. This policy provides incentives for faculty to obtain external funding for summer research of at least two months, even if they receive two months of summer support from Simon in the absence of external funding.
8. Teaching

8.1 Teaching Assignments

Work on the yearly teaching schedule is begun in February and typically not completed until June. The Senior Associate Dean for Faculty and Research works with the Area Coordinators to produce the teaching schedule. Your specific teaching requests should be directed to the area coordinator. When the entire schedule is completed, you will receive a listing of the courses you are scheduled to teach in the coming year. If there are problems with this schedule, contact the area coordinator or the Senior Associate Dean’s office.

8.2 Support

8.2.1 Teaching Assistants/Graders

Teaching assistant/grader assignments are made by the Faculty and Research Office for M.B.A. courses with enrollments exceeding 30 students and undergraduate courses. Ph.D. students in their second through fifth years of study are eligible to receive three teaching assistantships per academic year at a rate of $1,200 per assignment. Ph.D. students beyond their fifth year of study are available for hourly assignments only. Second-year M.B.A. students may be offered teaching assistantships if their GPAs after the first three quarters is 3.6 or greater. First-year Ph.D. students and first-year M.B.A. students are not eligible for teaching assistantships, either paid or hourly.

TA Request forms are sent to the teaching faculty. The purpose of these forms is to determine what the instructor’s needs will be should his/her course be eligible for TA support. Since many students do more than one assignment each quarter, it is important that the faculty give as much information about the grading requirements for their course.

8.2.2 Audiovisual Equipment

Audiovisual requirements for classrooms in Schlegel Hall are handled by the Computing Center.
8.3 Grading Policy

The Simon Business School requests each faculty member not exceed a 3.5 average GPA for each graduate business course taught in a given quarter. A faculty member teaching multiple sections of a course in a given quarter may pool all sections when computing the average GPA for the course. This grading policy will be applied consistently across Simon’s core and elective courses as well as across our full-time MBA, part-time MBA, MS, and EMBA programs. Faculty unable to fulfill this request must seek approval of the Senior Associate Dean of Faculty and Research prior to the grade submission deadline.

The new grading policy replaces the old system that imposed program-specific restrictions on the grade distribution, specifying the maximum percent of A grades, the minimum percent of grades below B, and a median grade not exceeding B+.

The Dean's Office has the discretion to enforce this policy.
8.4 Examination Administration

8.4.1 Exam Scheduling

The final exam schedule is produced by the Registrar's Office and is planned to minimize student exam conflicts.

8.4.2 Proctors

When class size makes it necessary to use more than one classroom for exams, then it becomes essential to have proctors available to help monitor the exams. The logical choice for proctors would be the TAs assigned to the course. If your TAs are unavailable or if you do not have sufficient TAs to handle the number of rooms being used, you will need to hire additional students to proctor. The first choice should be Ph.D. students. The quickest and easiest method to obtain proctors is to send an email to simonproctors@simon.rochester.edu to contact our doctoral students and those from other departments who have volunteered to help. Please use this list to contact them to find a proctor if one is needed and requesting persons interested in proctoring to contact you by return e-mail. Be sure you list the course, day and time. Even though first-year Ph.D. students are not eligible for teaching assistantships, they are allowed to proctor exams. Second-year M.B.A. students could also be used for first-year core courses; however, it is not advisable to have second-year M.B.A. students proctoring for second-year courses.

Occasionally reports are received of suspected cheating during examinations. In investigating these cases, it is sometimes discovered that proctors are not paying sufficient attention or are unaware of what to do when they observe suspicious behavior. We would like to eliminate all cheating or even the suspicion of cheating. When cheating does occur, it is important to have sufficient evidence to bring to the Academic Honesty Committee.

While often times class size makes it necessary to use proctors, it is also important that the instructor make regular appearances in the exam room(s) during the exam. Sometimes proctors are unable to answer questions which students have asked or are unsure of how to deal with suspicious situations. While the proctors are there to assist the instructor, ultimately the instructor is responsible for the integrity of the examination.
8.4.3 Exam Procedures

Promoting Integrity in the Administration of Exams at the Simon Business School

Exam Guidelines and Procedures for Proctors

This is required to be posted on the door and front of the room

1. No adjacent seating during exams. The registrar will ensure adequate exam seating capacity in assigning final exam rooms. Instructors should inform Academic Operations by week 2 if more seating will be needed for a midterm exam.

2. Always use randomized seating charts provided by Academic Operations. Proctors should arrive to the exam room at least 15 minutes prior to the exam start time to help students find their randomly assigned seats.

3. Two proctors per room are required, including the instructor as one of the proctors if they plan to be in attendance.

4. Do not distribute the exam until the students are seated appropriately with only allowed materials and devices accessible, as determined by the instructor. Proctors must know whether books, notes, formula sheets, electronic devices, etc. may be used for the exam.

5. Proctors must report all suspected violations of the code of academic integrity to the instructor and to either the Chair of the Academic Integrity Committee, Harry Groenevelt, or the OSE representative, Karen Platt, immediately after the exam is completed. Students violating the code may be removed from the exam.

A proctor must read the following instructions prior to the start of the exam.

1. All bags and non-exam materials must be placed along the exam room’s front wall. All phones must be off.

2. Leaving the exam should only be done on an exception basis, one at a time, and the student must relinquish his or her phone to the proctor in advance.

3. Once the exam is distributed, please read the cover page but do not open the exam
until told to do so.

4. A proctor will write down the beginning and end time of the exam on the board, based on the room clock. If you finish more than 5 minutes before the end time, you may quietly submit your exam and leave the room. If you are not finished when there are less than 5 minutes to the end, you must stay in your seat. At the end, you will hear, “Time’s up, stop writing, close your exam, and pass it left to the end of your row. Stay in your seat until all exams have been collected and the instructor/proctor says you may leave.” Students who are observed to be writing after “Time’s up” has been announced will be noted as having violated the code of academic integrity.

5. Throughout the exam proctors will be walking around the room, noting all suspected violations of the academic integrity code. Possible consequences of violating the integrity code include failing the course and being expelled from the program. Do not risk your future or compromise your character by being short sighted and cheating.

In the Case of Apparent Cheating:

1. The alleged infraction must be documented by the proctor at the time of the occurrence. Bring the matter to the attention of the professor as soon as practical.

2. As a TA/Proctor, you should not bear the burden of imposing sanctions at the time of the test. This matter should be handled by the professor in a manner that he/she deems appropriate.

8.5 Course Evaluations

Course evaluations are required for all courses taught at the Simon School. Approximately 1-1/2 weeks prior to the last day of classes, students will receive an email with directions and a link to complete their evaluations online. A staff member from OSE will be contacting those of you who are teaching this quarter to confirm the time of their coming to your last lecture to administer course evaluations, with the default times being the last 10 minutes of class time for day sections and the first 10 minutes for evening sections. Please allow students these 10 minutes during class time to complete the course evaluations. Their feedback is important for you to learn what they like and to hear their
suggestions for how to possibly improve the course. Although the course evaluations are online and will be open until midnight prior to the exam itself, providing time in class, asking them to be thoughtful, and reminding them that their responses are anonymous will increase the response rate.

The evaluations will be available to you after you have turned in your grades. These evaluations are used when determining teaching schedules, salary increases, contract renewals, promotions, and tenure cases. A summary of each quarter's evaluations is distributed to the faculty when it is completed.

In the event that an instructor pursues sanctions against X students via the Academic Integrity Committee, those students will not be able to complete evaluations for that course.

8.6 Teaching Honor Roll

Teaching excellence is important to the School. Currently, the students offer four awards each year for outstanding teaching: one from first-year MBAs one from second-year MBAs and three from the EDP students (one each in the U.S., the Netherlands, and Switzerland). Unfortunately, these awards are made only once a year and only acknowledge a few individuals. Yet there are many faculty who do an outstanding job in the classroom year in and year out but who do not necessarily come out on top in the student balloting for one reason or another.

Therefore, the Simon School Teaching Honor Roll has been established. Each quarter the School will recognize the five faculty who achieve the highest average score on the student evaluations among MBA level courses with a minimum of 15 students. For this purpose, all day, night and executive program courses will be pooled. A plaque will hang in Schlegel Hall to recognize those faculty with the highest evaluations during the previous four quarters. At the end of each quarter five names will be dropped and five new names will be selected. Thus, the list will be fluid but will provide an opportunity to communicate to students and others the excellent job that many faculty do in the classroom. Each time a faculty member appears on this honor role he/she will receive a $500 bonus to his/her research budget up to a maximum of $1,500 in any one year.
9. GOVERNANCE

The Simon School faculty has final authority over all long-term decisions pertaining to general faculty matters and to all curricular matters. In practice, however, many decisions are delegated to the Deans and to faculty committees. This chapter defines rules about faculty meetings and votes, and then describes the responsibilities of each Simon School committee.

9.1 Faculty meetings and faculty votes

(a) Each academic year, the Deans convene at least one faculty meeting in which they update the faculty on the "state of the school." Invited to this meeting are all full-time and part-time faculty, tenure track and clinical faculty, and deans and directors.

(b) As needed, the Deans convene faculty meetings to discuss and vote on matters that require faculty approval, or on which the Deans wish to secure faculty approval. Eligible to vote on general matters are:
- tenured and tenure-track faculty members
- full-time clinical faculty members at the rank of Clinical Associate Professor or Clinical Full Professor (or equivalent).

Only tenured and tenure-track faculty members are eligible to vote on matters that pertain specifically to the tenure-track faculty, to research, or to governance (as determined by the Faculty Dean).

(c) Faculty members eligible to vote are to be notified by the Dean’s Office in advance about any motion to vote on, at least a week before the vote takes place. Sufficient detail should be provided for the motion to be understood.

(d) At least once a year, the Deans are to provide information about the school’s financial situation and performance to the faculty, in as much detail as is consistent with reasonable confidentiality requirements.

(e) Minutes of each faculty meeting, as well as any handouts distributed before or during the meeting, are to be posted on the faculty Intranet within a week after the meeting. The minutes should summarize motions and actions accepted by the faculty and brief statements of informal reports, with copies of formal reports attached as appendices. Faculty discussions, however, are to be kept confidential and should not be included in the minutes.
(f) The default method of voting is secret ballot by double envelope (identifying who voted but not how) or equivalent web-based survey software.
9.2 Simon School Committees

9.2.1 Nominating Committee

The Nominating Committee assigns the memberships of all other committees for the following academic year. Committee chair appointments are made either by the Deans directly, or by the Nominating Committee in consultation with the Deans.

The Nominating Committee consists of three tenured faculty members, who are elected by the faculty to "seats" on the Committee: seats A, B, and C are newly elected in years 2016, 2017, and 2018, respectively, and every three years thereafter. Each year around March, any vacant seats on the Committee are filled as follows, in a process administered by the Office of the Senior Associate Dean of Faculty and Research:

1. Faculty members nominate colleagues as candidates for the Committee. If there are fewer nominees than the number of seats plus one, the Deans will add nominees to the list. Only nominees who have agreed to serve on the committee, if elected, are considered for election.
2. Faculty members vote for nominees, by ranking them in order of preference. Individual votes are to be confidential; i.e. not visible to faculty members or the Deans.
3. The new members of the Nominating Committee are chosen by the Single Transferable Vote method and allocated to vacant seats, with terms lengths aligned with the ranking of nominees by votes.

In assigning committee members, the Nominating Committee is expected to consult with committee chairs, area coordinators, and individual faculty members. Any disagreements between the Nominating Committee and individual faculty members are to be settled by the Faculty Dean. The Nominating Committee’s assignments must be approved, as a whole, by the tenure-track faculty.

Faculty appointments to committees are generally for three years, but can vary by committee. There are no term limits. In appointing faculty members, the Nominating Committee should ensure the continuity of each committee’s work, but should also aim to avoid indefinite continuation of committee chair appointments.

9.2.2 Academic Standards Committee
The Academic Standards Committee is responsible for the maintenance of academic standards in all degree-awarding programs. This Committee, comprising two faculty members and supported by administrators and Simon staff, meets quarterly for courses taught on the quarter schedule and at least quarterly and after every two courses for programs not on the quarter schedule. It considers, on a case-by-case basis, all students whose academic performance is below par, including all students whose cumulative G.P.A. is below 3.0. The Committee may for example, warn students that improvement is required, require students to retake courses, limit the number of credits students can take in a subsequent quarter, or drop students from the program. Formally, these actions are taken by the Chair of the Committee, based on input from Student Services and the directors of the various programs, and upon the recommendation of the Committee.

The committee is also responsible for ascertaining that all students meet our stated requirements for graduation prior to the time the faculty recommend that the degrees be granted.

9.2.3 Academic Integrity Committee

The Academic Integrity Committee (AIC) comprises two faculty members and convenes as needed to hear cases of breaches of the Simon School Code of Academic Integrity (see Section 5.3 of this Handbook). In the (usually rare) case in which a student requests a formal hearing according to the process detailed in Section 5.3.4, the AIC convenes an ad-hoc committee consisting of two additional faculty members, two student representatives and a director of Student Services.

A second role of the committee is to advise the faculty and the Deans on best practices that help minimize instances of academic violations, including advice on the administration of exams and the role of proctors.

9.2.4 Promotion and Tenure Committee

The Promotion and Tenure (P&T) Committee consists of six to eight tenured faculty members and the Senior Associate Dean for Faculty and Research (ex officio). Other faculty members may be asked by the committee to join on an ad-
hoc basis to ensure sufficient representation of a candidate's area of specialization during the review process.

The P&T Committee evaluates all internal candidates for promotion, outside appointments at the level of Associate Professor or above, and all contract renewals. The committee also evaluates the promotion or outside appointment of clinical faculty to ranks of Associate Professor or above.

The processes for contract renewals and promotion and tenure reviews are described in Section 6.1 of this Handbook. Details governing the appointment and promotion of clinical faculty are contained in the "Proposal for a Clinical Faculty Track" from April 2009.
9.2.5 Ph.D. Committee

The Ph.D. Committee is responsible for all aspects of the Ph.D. program. These duties include Ph.D. admissions, annual review of each student’s progress, awarding of fellowships and assistantships, and program evaluation (curriculum, core exams, qualifying exams, second year paper, third and fourth year seminars).

9.2.6 Faculty IT Committee

The Faculty IT Committee is responsible to evaluate usage of data and software purchased by Simon, evaluate requests for new expenses, evaluate and make recommendations regarding the hardware needs for research of faculty and PhDs, evaluate and make recommendations for the computing environment more generally (Box, antivirus, etc.), and to be a resource for The Executive Director of Simon Information Technology when dealing with faculty-sensitive issues.

9.2.7 Graduate Program Committees

For each non-doctoral graduate program, a program committee advises the Deans and program directors on any matters related to the respective program. The programs include, specifically, the

- full-time MBA,
- part-time MBA,
- executive MBA,
- MS in Finance,
- MS in Accountancy,
- MS in Medical Management,
- MS in Business Analytics,
- MS in Marketing Analytics,
- MS in Management
- MS in Health Care Management.

Each program committee consists of three or four faculty members (tenure-track or clinical), plus as ex-officio members, the Senior Associate Dean of Faculty and Research, the respective dean or program director, and a representative from CMC. The ex-officio members do not have voting rights within the committee.
After review and approval by the committee, motions for the change of any aspect of a program are passed on to the Graduate Curriculum Committee.

Program committees evaluate initiatives suggested by faculty members, area coordinators, or deans and directors, but can also engage in more proactive policy development. For curricular initiatives whose development requires time-consuming faculty input, however, the Deans are advised to rely on ad-hoc task forces.

9.2.8 Graduate Curriculum Committee
The Graduate Curriculum Committee (GCC) consists of about five faculty members (tenure-track or clinical), plus as ex-officio members, the Senior Associate Dean of Faculty and Research and the director of the Career Management Center. The GCC oversees all of our non-doctoral graduate programs, as an umbrella committee for the individual program committees described in 9.2.6. Its responsibility, in particular, is to evaluate proposals made by program committee with regard to possible negative or positive externalities on other programs.

(a) Major curricular initiatives or changes require a vote by the faculty, see Section 9.1. Minor changes may be decided directly by the GCC. Such changes may include, for instance, the approval of new courses, changes of courses or course names, minor changes in the sequencing of required courses, or changes in the requirements for MBA concentrations. It is left to the judgment of the committee chair to decide what constitutes a "minor" change. An appeal process to ensure the final authority of the faculty is described in point (e) below.

(b) The main role of the GCC is to evaluate curricular initiatives, either on behalf of the faculty or prior to a faculty vote. Any initiatives will normally be brought to the GCC by program committees, individual faculty members, area coordinators, or deans and directors.

(c) Deans and program administrators are required to seek approval, by the GCC or directly by the faculty, of any curricular changes. In particular, any task force or ad-hoc committee convened to prepare an initiative is not a substitute for approval by the faculty or the GCC. Proposed curricular changes must be presented to the GCC in sufficient detail and timely enough to permit informed deliberation.

(d) On straightforward curricular changes, the GCC chair may request its members to vote by email instead of convening a meeting. In those cases, sufficient information must be presented to the committee members to enable informed voting.
(e) Any decisions made by the GCC on behalf of the faculty, that is, without faculty vote, should be communicated by the committee chair or by one of the Deans, within a week after the decision has been reached, by email and on the faculty intranet. Sufficient detail should be provided for the decision to be understood. Any decisions made by the GCC can be appealed and brought to a discussion and vote in a faculty meeting if at least two faculty members appeal the decision to the Senior Associate Dean of Faculty and Research. In that case, the decision is not effective until it has passed a faculty vote. To minimize the occurrence of appeals, the GCC chair is advised to use his or her judgment in exercising the committee's decision rights, and to seek the input of colleagues who are affected by a decision or who have special expertise pertaining to the matter at hand.

9.2.9 Undergraduate Curriculum Committee
The Undergraduate Curriculum Committee (UCC) oversees all of our undergraduate programs (BA, BS, and minor) and advises the Deans and program directors on any matters related to curriculum and teaching. All of Section 9.2.6 applies to the UCC as well, with the qualification that the role and the operation of the UCC are constrained by Simon's involvement in, and decision rights over, our undergraduate curricula.
Appendix A

Business Expenses & Travel Reimbursement
Best Practices

**Purpose:** The purpose of this document is to inform the requestor of requirements in accordance with University of Rochester’s updated Business Expenses and Travel Reimbursement (BETR) policy. The following is a best practices for submitting expenses for reimbursement.

Documents no longer need to be physical copies; digital copies (for example pictures and preferably PDFs) are now acceptable and, in fact, are encouraged.

University policy precludes the reimbursement of purchases using a gift card or points.

1. **Documentation Needed for Travel Reimbursement:**
   a. Conference Itinerary (prior approval email – if applicable)
   b. Conference Registration fee – if applicable
   c. Airfare receipt showing payment
   d. Hotel/Airbnb receipt
   e. Car rental receipt
      i. For domestic car rentals the University will not reimburse the purchase of rental car insurance as employee is covered under the University’s Rental Insurance policy.
      ii. International car rental insurance will be reimbursed
   f. Meal receipts – both the credit card payment and the itemized receipt
      i. $90 maximum per person (includes tax and tip)
      ii. Lost meal receipt (if over $50) will now require a “missing receipt” form.
      iii. If you do not have the itemized receipt you must contact the restaurant to obtain one.
   g. Taxis/Uber receipt
   h. Airport Parking receipt
   i. Mileage Reimbursement
      i. Provide a map with miles.
      ii. Prior approval required if roundtrip mileage exceeds 400 miles
      iii. Use of personal vehicle is not covered under the University Insurance policy.

2. **Documentation Needed for Professional Expenses:** (books, memberships, licenses, subscriptions, etc.)
   a. Whenever possible these items should be processed using the Pcard (by faculty support)
   b. If the purchase/renewal are made without using the pcard documentation must include an invoice and proof of payment confirmation
   c. Original receipt for cash purchases
   d. Events (e.g. meals, social events, classroom catering, any food for students) with students and/or colleagues requires written prior approval (48 hours in advance) from the Dean’s Office with
subsequent documentation of an invoice, proof of payment, and attendance list.
Appendix B

UNIVERSITY OF ROCHESTER
William E. Simon Graduate School of Business Administration

Proposal for a Clinical Faculty Track

Contents:
1. Rationale and Objectives of the Proposal
2. The Simon School Mission and its Implications for Faculty
3. General Principles and Premises
4. Clinical Faculty Roles and Responsibilities
5. Clinical Faculty Titles and Terms of Contract (including a Summary Table)
6. Process to Decide on New Faculty Positions
7. Criteria for Hiring, Re-appointing and Promoting Clinical Faculty at Various Ranks
8. Hiring Process for Clinical Faculty
9. Re-appointment Process for Clinical Faculty
10. Promotion Process for Clinical Faculty
11. Principles and Processes for Changing Track

Appendix:
(a) Criteria and indicators for evaluating minimum expectations common to all clinical faculty
(b) Criteria and indicators for “Excellence” and “Outstanding Performance” for Teaching
(c) Criteria and indicators for “Excellence” and “Outstanding Performance” for Clinical Scholarship
(d) Criteria and indicators for “Excellence” and “Outstanding Performance” for Practice towards improving business policies and practices
(e) Criteria and indicators for “Excellence” and “Outstanding Performance” for Service
1. Rationale and Objectives of the Proposal

Along with most of the other professional schools within the University of Rochester, we have come to realize that the mission of a professional school within a research university today is so complex and diverse that it requires a more diverse faculty than in the past. The current university-wide criteria for tenure – and, thus, expectations for tenure-track faculty – are often too narrow to recognize and reward the variety of tasks and responsibilities that professional research schools of business like ours are called to perform in order to be successful and competitive.

As a result, over the past twenty years we have hired a number of faculty through non-tenure-track contracts to perform a number of important functions needed to pursue our mission. These faculty members are not simply “adjunct professors” teaching isolated courses or supervising internships. With a few exceptions, they have not been hired to cover the responsibilities of a tenure-track faculty on leave or who left their position temporarily vacant; rather, they have been hired to perform functions that complement those of our current tenure-track faculty and that will continue to be needed over time. As such, they have much in common with the “clinical faculty” in schools of medicine and nursing – both within this university and across the country. However, because the Simon School has not had an official “clinical track” option for its faculty so far, there is some lack of clarity about the status of this faculty, as well as their titles, hiring, re-appointment and promotion.

This document is intended to resolve this confusion by articulating clear definitions, expectations, criteria and processes for “clinical faculty” within the Simon School.

This document will be reviewed by the faculty, and modified as needed, within the next three years based on the results of its first implementation, and on a regular basis thereafter.
2. The Simon School Mission and its Implications for Faculty

Any definition of faculty roles and responsibilities should be informed by the mission of the School and University, as ultimately the faculty as a whole is responsible for accomplishing such a mission. Therefore, in this section we report our mission statement and use it to derive the set of functions that Simon faculty are expected to perform “as a whole.”

In 2005, the Simon School adopted the following mission statement:

*The mission of the William E. Simon Graduate School of Business Administration is to be a recognized leader in the creation and dissemination of an integrated body of knowledge that has significant impact on managerial education and practice. We recruit and teach outstanding individuals who are prepared to excel in a dynamic and internationally competitive marketplace through the value added by our education.*

Accomplishing this ambitious mission translates to the following major roles and responsibilities for the Simon School faculty as a whole:

1. **Teaching:**
   - Preparing Master students -- involves teaching courses, advising, “managing” programs (i.e., participating in their on-going maintenance, review, and improvement) including maintaining accreditation if applicable
   - Preparing researchers (usually Ph.D. students) -- involves teaching courses, organizing and supervising research apprenticeships, admission responsibilities, advising, supervising independent studies, mentoring Ph.D. dissertations (as a committee member or Chair), “managing” programs
   - Involvement with the Undergraduate Program – involves teaching courses, reviewing transfer course materials, participation in the Management Certificate Program and advising.

2. **Scholarship:**
   - Engaging in research studies that create new theories, explanations and understandings about business and business institutions
   - Analysis and synthesis of research for research audiences
   - Disseminating own research results to research audiences (mostly through articles in peer-reviewed research journals and books in research series)
   - Disseminating results of existing research to practitioner and policy-making audiences (through the appropriate outlets, which may include articles in peer-reviewed practitioner journals, books, reports, presentations, videos or other multi-media materials)
3. Service:

(a) To the institution:
   o Contributing to various aspects of the Simon School life and functions (ex: contributing to student recruitment, fund-raising, specific initiatives, etc.)
   o Participating in Simon School and UR governance (ex: as member of standing committees and task-forces, as Senate representative, by participating in program areas and faculty meetings, etc.)
   o Taking on specific administrative responsibilities and/or positions (ex: program director, chair, associate dean, etc.; organizing and overseeing specific student services, etc.)

(b) To the profession:
   o Participating in professional organizations (ex: as member, officer, serving on specific committees/task forces, participating in meetings, etc.)
   o Reviewing journal articles, grant proposals, etc.
   o Organizing conferences and similar activities

While the Simon School faculty as a whole is expected to perform ALL the functions identified in this section, we believe that it is impossible for any one faculty member to have the time and expertise to do them all well. This is especially true for current tenure-track faculty: since the university-wide expectations for tenure are articulated essentially in terms of teaching, research scholarship and service.

Our engagement and contributions in the clinical area of improving business practice is also critical to our success as a professional research school of business. It can contribute to our visibility and credibility in the field of business and hence our ability to attract students, to secure external funding, and to establish collaborations that enrich our students’ internships and provide research sites. While tenured faculty can sometimes play an important role in this area, we have found that clinical faculty can augment the resources available from the tenure-track faculty.

In sum, we believe that accomplishing the Simon School mission will not be possible unless we develop a more “differentiated” faculty body, where different individuals are committed to, and best qualified for, pursuing specific subsets of the mission and get recognized and rewarded accordingly.
3. **General Principles and Premises**

In addition to the basic premise, articulated in the previous section, that a professional school needs a more “differentiated” faculty body, our proposal for a “clinical faculty” track at the Simon School has also been informed by the following principles:

- As clinical faculty will not be eligible for tenure, their term of contract will necessarily be for a specified number of years. However, we recognize that the effectiveness of these faculty members and, therefore, their contributions to the Simon School mission, would be greatly diminished without some long-term commitment on their part as well as on the part of the institution.

- We recognize the need for differentiation not only between tenure-track and clinical faculty, but also within clinical faculty, as different individuals may bring expertise that is more appropriate to fulfill a different set of goals within the Simon School mission. At the same time, clinical faculty should be responsible for doing their share of service for the institution and their profession and also have some minimum involvement in all the three prongs of the Simon School mission – i.e., teaching, scholarship and service.

- We recognize that individual faculty will perform best if they have clear expectations and well-articulated promotion criteria. In this document, we have tried to articulate expectations and promotion criteria for clinical faculty based on (a) our analysis of the specific functions required to accomplish the Simon School’s mission (as articulated in the previous section) and the identification of which sub-sets of these functions will be among the main responsibilities of clinical faculty, (b) the identification of minimum expectations common to all clinical faculty as well as acceptable variations in roles and responsibilities across individual clinical faculty members, (c) the identification of what constitutes “Excellent” and “Outstanding” performance in specific tasks that clinical faculty may be expected to address, and (d) the identification of what level of performance, and in which tasks, is expected at various ranks.

- In articulating the various processes for hiring, reappointing and promoting clinical faculty, we have tried as much as possible to use the same principles and practices currently used for tenure-track faculty, while making the needed adaptations when called for because of the different scope of the positions and of their term of contract.

- While recognizing the importance of clinical faculty and the critical role they can play in accomplishing the Simon School mission, we also want to state our continuing commitment to remaining a research school of business. This will require ensuring that the addition of new clinical faculty positions will not occur at the expense of existing tenure-track lines.

- Because clinical faculty will often have more specialized roles within the Simon School, their roles in the governance of the School will also be more specialized. Clinical faculty will not participate in the promotion and tenure process for tenure track faculty, except
that they are free to submit letters expressing opinions about individual cases to the
School’s Committee on Promotion and Tenure. At the request of the School’s Committee
on Promotion and Tenure and the Dean’s Office, clinical faculty may be invited to
participate in the evaluation and review of other clinical faculty members.

- If clinical faculty members are assigned to committees within the School, which will
  usually involve curriculum or external relations issues, they would have full voting rights
  on those committees. If curriculum or external relations issues are brought to a full vote of
  the faculty, clinical faculty members are entitled to vote on these matters.

- Part-time clinical faculty members would not have any voting rights.
4. **Clinical Faculty Roles and Responsibilities**

A “clinical faculty member” at the Simon School is a faculty member whose role addresses a combination of the following functions needed to accomplish our mission (as articulated earlier in Section 2 of this document):

1. **Teaching** – Teaching Undergraduate students and preparing Masters students – involves teaching courses, advising, “managing” programs (including maintaining accreditation as needed)

   
   \[ NOTE: Because of university-wide regulations, only a clinical faculty member with a doctoral degree is eligible to be a member of a doctoral dissertation committee (exceptions will require special approval). \]

2. **Clinical Scholarship**

   - Evaluating/studying the effects of innovative policies and practices with the goal of identifying and refining best policies and practices, and making more explicit their connection to existing theories.
   - Contributing to the identification of questions and issues worth researching because of their potential impact on policies and practices and helping other educators find, analyze and translate research into practice.
   - Disseminating the results of own studies and/or of existing theories and research to peers as well as practitioner and policy-making audiences (through the appropriate outlets, which may include articles in peer-reviewed practitioner journals, books, reports, presentations, videos or other multi-media materials).

   
   \[ NOTE: This does not preclude a clinical faculty member’s involvement in research; rather it does not require it. \]

3. **Practice Toward Improving Business Policies and Practices**

   - Participating in collaborative projects aiming at developing and/or implementing innovative practices and policies.

4. **Service**

   - Providing service (beyond what is done to contribute to fulfilling the Simon School mission through one’s teaching and scholarship), as needed and appropriate given one’s expertise, to ensure the well-being and good-functioning of the Simon School and the University of Rochester, and one’s profession.

We would expect each clinical faculty member to provide some contribution in each of the four areas, but we also expect that each clinical faculty member will identify one or more primary areas as their focus. These primary areas will be determined at the time of hiring, based primarily on the need of the Simon School but also taking into consideration the individual’s interests and qualifications. Expectations in terms of what percentage of effort should be
devoted to each area will also be identified at the time of hiring. Subsequent changes in the
definition of primary areas and/or time distribution across areas should be approved by the Dean’s
Office.

Despite the considerable differences among the set of responsibilities to be performed by
specific clinical faculty members, depending on their primary areas and assigned duties, the
following list captures some essential characteristics that we expect all clinical faculty to
demonstrate (although each individual faculty may do so at different degrees/levels depending on
their “primary areas”):

1. A clinical faculty member regularly interacts with business institutions and professionals, is
current on the issues and problems facing these institutions/professionals, and works with them
on significant matters.

2. This work is relevant to and informs what the clinical faculty member teaches. A clinical faculty
member is, thus, an effective teacher who can improve the professional practice of Simon
students.

3. A clinical faculty member discusses and analyzes in an informed way the issues and problems
being wrestled with by business institutions, bringing to bear relevant current research.

4. A clinical faculty member is familiar with the promise and limits of research and in light of
that knowledge suggests interesting lines of future research (for example, by suggesting
hypotheses worth further investigation) that they as well as other researchers (including Simon
students) could undertake.

5. A clinical faculty member has the capacity to identify what is and is not “quality” research and
“wisdom of practice” relevant to specific contexts and goals and as such helps Simon students
find, analyze and translate research into practice.

6. A clinical faculty member offers insights and generalizations about their own experiences in a
way that is relevant to and useful for other professionals in the field and to university based
researchers.

7. A clinical faculty member effectively relates to two audiences – professionals in the field and
university based researchers – and communicates to these audiences through the appropriate
media (oral, written, multi-media).

8. A clinical faculty member develops concrete products (such as curricula, materials, models,
applications, projects, conferences, organizations and/or collaborations) that influence
business policy and practice.
5. Clinical Faculty Titles and Terms of Contract

Consistent with current practices in the School of Medicine, School of Nursing, and the Warner School at this university, we propose that clinical faculty be appointed at one of the following ranks:

- Clinical Assistant Professor
- Clinical Associate Professor
- Clinical Professor.

Clinical faculty appointments may be full-time or part-time. The title “Lecturer” will continue to be used for individuals who perform limited teaching services for the Simon School and these appointments will remain as annual appointments.

The title “Executive Professor” refers to a non-tenure track appointment that is reserved for senior business executives who bring special expertise to their service at the Simon School. Appointments will always be for a specified number of years (minimum of 1 and up to 5). In the case of a multi-year contract, a major re-appointment review will take place at least one year before the contract is expected to expire. Annual contracts will be reviewed at least 5 months before the contract is expected to expire.

As consistent with current university-wide regulations, hiring decisions will be made by the Dean in consultation with all the existing faculty, following the process articulated later in the document (see Section 8); for hiring at the Clinical Associate and Clinical Professor, the Provost must also approve the appointment.

The titles “Senior Lecturer” and “Professorial Lecturer” would no longer be used by the Simon School if the clinical faculty titles are approved.

As mentioned earlier, clinical faculty terms of appointment will always be for a specific number of years (from a minimum of 2 up to a maximum of 5). Regardless of the type of appointment, a major “re-appointment review” will take place every 3-5 years, and at least one year before a contract is expected to expire. As explained in more detail later in the document (see Section 9), this review will require the faculty member to prepare and submit a “case” for reappointment, to be reviewed and evaluated by the Promotion and Tenure Committee with input from the rest of the faculty. The decision about re-appointment will be made by the Dean subject to final review and approval by the Provost, leading to a decision by the Board of Trustees (as consistent with current university-wide regulations and practices).

Promotion decisions (for Associate and Full Professor) will be made by the Provost upon recommendation by the Dean, following the process articulated later in this document (see Section 10). This process will include soliciting evaluations and recommendations from Simon faculty and will be managed by the Promotion and Tenure Committee. Given that tenure is not available and part-time is an option, the notion of “maximum time at rank” is not applicable in the case of clinical faculty.

The following table summarizes all the key elements introduced in this section.
Clinical Faculty Summary Table

<table>
<thead>
<tr>
<th></th>
<th>Assistant Professor</th>
<th>Associate Professor</th>
<th>Full Professor</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Title</strong></td>
<td>Clinical Assistant Professor of Business Administration</td>
<td>Clinical Associate Professor of Business Administration</td>
<td>Clinical Professor of Business Administration</td>
</tr>
<tr>
<td><strong>Term of contract</strong></td>
<td>“Fixed” 2-5 year, renewable (w/ review one year before end of contract)</td>
<td>“Fixed” 2-5 year, renewable (w/ review one year before end of contract)</td>
<td>“Fixed” 2-5 year, renewable (w/ review one year before end of contract)</td>
</tr>
<tr>
<td><strong>Maximum time at rank</strong></td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Appointment process</strong></td>
<td>Appointed by Dean based on a search and in consultation w/ faculty (see Section 8 for details)</td>
<td>Approved by Provost on Dean’s recommendation, based on a search and in consultation w/ faculty (see Section 8 for details)</td>
<td>Approved by Provost on Dean’s recommendation, based on a search and in consultation w/ faculty (see Section 8 for details)</td>
</tr>
<tr>
<td><strong>Process for re-appointment at same rank</strong></td>
<td>Re-appointed by Dean in consultation w/ faculty and w/ Provost’s approval (see Section 9 for details)</td>
<td>Re-appointed by Dean in consultation w/ faculty and w/ Provost’s approval (see Section 9 for details)</td>
<td>Re-appointed by Dean in consultation w/ faculty and w/ Provost’s approval (see Section 9 for details)</td>
</tr>
<tr>
<td><strong>Promotion process</strong></td>
<td></td>
<td>Approved by Provost and Board of Trustees, upon recommendation of the Provost and Dean, with input from faculty (see Section 10 for details)</td>
<td>Approved by Provost and Board of Trustees, upon recommendation of the Provost and Dean, with input from faculty (see Section 10 for details)</td>
</tr>
</tbody>
</table>
6. Criteria for Hiring, Re-appointing and Promoting Clinical Faculty at Various Ranks

As stated earlier, a clinical faculty member’s responsibilities include:

- Doing one’s share of Service to the institution and the profession
- Engaging in all three areas of Teaching, Clinical Scholarship and Practice at least to some extent, so as to satisfy the eight elements articulated in Section 4 as minimum common expectations for all clinical faculty
- Choosing one or more areas among Teaching, Clinical Scholarship and Practice as their “primary areas of focus”

Depending on his/her rank, the level at which a clinical faculty member is expected to perform these responsibilities varies, as summarized below:

- Clinical Assistant Professors are expected to satisfactorily fulfill their assigned responsibilities independently.
- Clinical Associate Professors are expected to satisfactorily fulfill their assigned responsibilities and also to demonstrate and maintain “Excellence” (as defined later in this section) in their primary areas of focus as well as service.
- Clinical Professors are expected to satisfactorily fulfill their assigned responsibilities and also to demonstrate and maintain (a) “Outstanding performance with recognition” (as defined later in this section) in at least one of their primary areas of focus, (b) “Outstanding contributions” (as defined later in this section) in service.

Hiring, re-appointment and/or promotion at each rank will require an evaluation that these expectations are met. Below we have identified key criteria that define “Excellence” and “Outstanding Performance” in the areas of Teaching, Clinical Scholarship, Practice and Service. In the Appendix, we have further identified indicators for each of these criteria as well as for evaluating achievement of the minimum expectations for all clinical faculty identified earlier in Section 4.

Teaching

Criteria for “Excellence” in this area:

- Excellence in teaching courses that are central to the preparation of the assigned undergraduate and Masters students
- Excellence in supporting students’ internships and other experiences in the field
- Excellence in working one-on-one with students
- Has developed an attitude of inquiry towards his/her own teaching practice that leads to continuous reflection and improvement
Effective and pro-active participation in the management of relevant programs for the preparation of Masters and undergraduate students

**Criteria for “Outstanding Performance” in this area:**

In addition to meeting all the “Excellence” criteria listed above, the clinical faculty member also demonstrates:

- Exceptional record of preparing high quality masters students
- Reputation as an outstanding teacher
- Evidence of influencing curriculum and/or teaching practices of other business teachers beyond the Simon School
- Publication and dissemination of research concerning pedagogical practices in business education

**Clinical Scholarship**

**Criteria for “Excellence” in this area:**

- Has a coherent and worthwhile plan that guides his/her scholarly efforts and contributions
- Sustained engagement in worthwhile studies contributing to the identification and refinement of best policies and practices in business
- Record of efforts aiming at the identification of questions and issues worth researching because of their potential impact on policies and practices
- Established record of dissemination efforts in outlets that are appropriate given the purposes of the study and the audiences one is trying to reach
- External validation of the value of these contributions for improving business practices

**Criteria for “Outstanding Performance” in this area:**

In addition to meeting all the “Excellence” criteria listed above, the clinical faculty member also demonstrates:

- A strong record of scholarly output that has provided significant contributions to the improvement of business policies and practices
- National recognition of being an expert in the field

**Practice Towards Improving Business Policies and Practices**

**Criteria for “Excellence” in this area:**

- Excellence as an experienced practitioner
- Local reputation as an excellent practitioner
o A strong record of providing opportunities for other practitioners to learn from one’s innovative practice

o Evidence of having contributed to improving business policies and/or practices through one’s practice

o Ability to self-support one’s practice

Criteria for “Outstanding Performance” in this area:
In addition to meeting all the “Excellence” criteria listed above, the clinical faculty member also demonstrates:

o Reputatio as an excellent practitioner

o Evidence of having contributed to improving business policies and/or practices

o Publication and dissemination of research concerning best business policies and/or practices

Service:

Criteria for “Excellence” in this area:

o Sustained record of being a productive, constructive and valued member of the Simon School community

o Evidence of having made some substantial contributions to the Simon School “as an institution” (i.e., beyond contributions to specific components of the Simon School mission made through one’s teaching, scholarship and/or practice)

o Sustained record of participation in activities that are needed to ensure the well-being and good-functioning of one’s profession

Criteria for “Outstanding Performance” in this area:
In addition to meeting all the “Excellence” criteria listed above, a clinical faculty member also demonstrates some of the following:

o Evidence of some participation in the life of the university beyond the Simon School

o Sustained record of having made major contributions to the Simon School and/or the University of Rochester “as an institution” (i.e., beyond contributions to specific components of the Simon School mission made through one’s teaching, scholarship and/or practice)

o Record of some leadership role in activities that are necessary to ensure the well-being and good-functioning of one’s profession at and beyond the local level

Relevant accomplishments achieved prior to employment at the Simon School or as part of the clinical faculty member’s activities outside their Simon School appointment (ex: part-time clinical faculty members who are “practicing” or participating in other relevant educational initiatives during the time not devoted to the Simon School) will be counted as appropriate
towards achievements in the areas of Practice, Clinical Scholarship and/or Service to the profession.

The thresholds established for hiring, promotion and re-appointment at each given rank are no different for part-time or full-time clinical faculty. However, it is to be expected that part-time faculty will usually need more time than full-time faculty before they can achieve the same thresholds.

Length of service, by itself, is not a sufficient justification for promotion.
7. **Process to Decide on New Faculty Positions**

Final decisions about faculty positions – i.e., whether a position will be continued and/or a new one created, the definition of the position (i.e., field of specialization and scope), and whether it will be tenure-track or non-tenure-track – has so far been made by the recommendation of the Dean to the Provost, and we expect that to continue to be the case as this is indeed one of the major responsibilities of the leadership of the Simon School and the University as a whole.

At the same time, we want to ensure that this decision will be made in consultation with the faculty so as to ensure that their knowledge and input can be taken into full consideration in making these critical decisions. As has been the case for many years, the Dean’s office should consult with the faculty to define hiring plans, including the decision to pursue clinical faculty members instead of, or in addition to, tenure-track faculty members.
8. Hiring Process for Clinical Faculty

(NOTE: This process assumes that a decision has already been made about the nature and availability of the clinical position to be filled.)

The process we propose to employ for the hiring of clinical faculty at all ranks has been designed to parallel as much as possible our current practices in the hiring process of tenure-track faculty, and consists of the following main steps to ensure maximum opportunities for the Simon faculty to provide input in the final decision:

- The Dean appoints an ad hoc committee of faculty, to include at least some tenure-track faculty, to advise on the appointment of a clinical faculty member.
- Recommendations for new appointments at all levels are reviewed by the Promotion and Tenure Committee.
- The Dean makes the final decision (to be approved by the Provost if the appointment is at Associate or Full Professor rank).
9. Re-appointment Process for Clinical Faculty

As articulated earlier in Section 5, we suggest that all clinical faculty, regardless of their term of appointment, receive a “major re-appointment review” involving the Simon School faculty every 3-5 years. In this section, we describe the processes that will be followed.

- The clinical faculty member prepares his/her “case,” which includes:
  - CV
  - Personal statement
  - Evidence of scholarly work
  - Evidence of teaching accomplishments (including syllabi and teaching evaluations for all courses taught, and/or other data as appropriate to document other kinds of teaching responsibilities)
  - Evidence of practice towards improving policies and practices
  - Other relevant documents/artifacts as appropriate to provide supporting evidence for the Personal Statement

- An ad-hoc re-appointment committee is appointed by the Dean to manage the re-appointment process and provide a written recommendation to the Dean. The re-appointment committee includes at least two Simon faculty members, with the chair being a tenure-track faculty member.

- All Simon School faculty, as well as selected community members who have worked with the candidate, are invited to send letters providing relevant insights and feedback about the candidates (to be added as documentation to the other materials put together by the candidate).

- Based on all this information, the reappointment committee prepares a written recommendation for the Promotion and Tenure Committee which reviews the case and sends its recommendation to the Dean.

- The Dean reviews the case and the committee’s recommendation, and makes a recommendation to the Provost.
10. **Promotion Process for Clinical Faculty**

The process we propose to employ for the promotion of clinical faculty at all ranks has been designed to parallel as much as possible our current practices in the promotion process of tenure-track faculty, and consists of the following main steps:

- The clinical faculty member prepares his/her “case,” which includes:
  - CV
  - Personal statement
  - Evidence of scholarly work
  - Evidence of teaching accomplishments (including syllabi and teaching evaluations for all courses taught, and/or other data as appropriate to document other kinds of teaching responsibilities)
  - Evidence of practice towards improving policies and practices
  - Other relevant documents/artifacts as appropriate to provide supporting evidence for the Personal Statement

- An ad-hoc promotion committee is appointed by the Dean to manage the promotion process and provide a written recommendation to the Dean. The promotion committee includes at least two Simon faculty members, with the chair being a tenure-track faculty member

- All Simon School faculty, as well as selected community members who have worked with the candidate, are invited to send letters providing relevant insights and feedback about the candidates (to be added as documentation to the other materials put together by the candidate)

- Based on all this information, the promotion committee prepares a written recommendation for the Promotion and Tenure Committee which reviews the case and sends its recommendation to the Dean

- The Dean reviews the case and the committee’s recommendation, and makes a recommendation to the Provost.
11. Principles and Processes for Changing Track

We recognize that some faculty members may realize in the early course of their career that their interests and strengths may be better aligned with a different kind of position or track. Therefore, we want to ensure that our system allows some flexibility to accommodate such changes — provided that the change is both in the interest of the individual faculty and in the interest of the Simon School. At the same time, we also want to make sure that changes of this kind will continue to ensure the highest quality in our clinical and tenure-track faculty and will not be an occasion to “erode” tenure lines. The processes articulated below for what have identified as to possible scenarios try to address these competing goals.

(a) Current faculty in a tenure-track position or clinical position who are interested in applying for a new opening in the other “track” are welcome to participate in the search without prejudice and without any risk of losing their current position in the event they are not selected.

(b) In some special cases, it is possible that the particular expertise and interests of a tenure-track faculty member may suggest the creation of a new clinical faculty position that could best capitalize on this capacity for the benefit of both the Simon School and the individual faculty member. If this is the case (i.e., the faculty member has expressed in writing his/her desire for such a position), and the Dean evaluates that it is financially feasible to fund the new clinical position while maintaining the original tenure line, the proposal for the new clinical position will be brought for the Provost's approval.
CLINICAL FACULTY TRACK APPENDIX

(a) Criteria and indicators for evaluating minimum expectations common to all clinical faculty

1. A clinical faculty member regularly interacts with local educational, clinical, and community institutions and local professionals, is current on the issues and problems facing these institutions/professionals, and works with them on significant matters (e.g. significant leadership issues, administrative issues, practice issues, etc.). This can be documented by a combination of indicators that may include:
   - Record of participation in some projects, meetings and/or other initiatives involving business institutions and business professionals (required minimum)
   - Self-reports and/or artifacts that provide anecdotal evidence of the faculty member’s understanding of business issues and their contributions.
   - Relevant testimonials by business professionals.

2. This work is relevant to and informs what the clinical faculty member teaches. A clinical faculty member is, thus, an effective teacher who can improve the professional practice of Simon students. This can be documented by a combination of indicators that may include:
   - Record of some kind of involvement with Simon students that contributed to their preparation (required minimum)
   - Course syllabi and/or descriptions of major assignments, projects or class activities that show how the clinical faculty member capitalizes on his/her practical knowledge and experiences.
   - Self-reports and/or artifacts that provide anecdotal evidence of how the faculty member has capitalized on his/her practical knowledge and experiences in teaching courses and/or supervising internships.
   - Relevant testimonials by Simon students.

3. A clinical faculty member discusses and analyzes in an informed way the issues and problems being wrestled with by local institutions, bringing to bear relevant current research. This can be documented by a combination of indicators that may include:
   - Self-reports and/or artifacts that illustrate how the faculty member has analyzed current business issues in light of relevant research.
   - Relevant testimonials by business professionals and peers.

4. A clinical faculty member is familiar with promise and limits of research and in light of that knowledge suggests interesting lines of future research (ex: by suggesting hypotheses worth further investigation) that they as well as other researchers (including Simon
students) could undertake. This can be documented by a combination of indicators that may include:

- Record of participation with this role in projects, meetings and/or other initiatives involving business researchers.
- Self-reports and/or artifacts that provide anecdotal evidence of the faculty member’s contributions of research questions and ideas.
- Relevant testimonials by doctoral students, tenure-track faculty and/or other business researchers.

5. A clinical faculty member has the capacity to identify what is and is not “quality” research and “wisdom of practice” relevant to specific contexts and goals and as such helps Simon students, as well as other educators and helping professionals, find, analyze and translate research into practice. This can be documented by a combination of indicators that may include:

- Relevant presentations, publications and/or unpublished written work.
- Self-reports and/or artifacts that provide anecdotal evidence of the faculty member’s activities and contributions in this area.
- Relevant testimonials by doctoral students and/or other educators/helping professionals.

6. A clinical faculty member offers insights and generalizations about their own experiences in a way that is relevant to and useful for other professionals in the field and to university based researchers. This can be documented by a combination of indicators that may include:

- Self-reports and/or artifacts that provide anecdotal evidence of the faculty member’s activities and contributions in this area.
- Relevant testimonials by students, educators/helping professionals and/or business researchers.

7. A clinical faculty member effectively relates to two audiences – professionals in the field and university based researchers – and communicates to these audiences through the appropriate media (oral, written, multi-media). This can be documented by a combination of indicators that may include:

- Record of at least some workshops, presentations, publications and/or unpublished written work (required minimum)
- Self-reports and/or artifacts that provide anecdotal evidence of the faculty member’s activities and contributions in this area.
- Testimonials by business researchers and/or educators/helping professionals.
8. A clinical faculty member develops concrete products (such as curricula, materials, models, applications, projects, conferences, organizations and/or collaborations) that influence business policy and practice on a regional, state and/or national level. This can be documented by a combination of indicators that may include:

- Records of “products” produced, along with an explanation of their potential contributions
- Evidence of the influence of these products on business policies and/or practices.
(b) Criteria and indicators for “Excellence” and “Outstanding Performance” for Teaching

Main functions to be performed (if chosen as a primary area):

1. Preparing Undergraduate or Masters students -- involves teaching courses, organizing and supervising internships, admission responsibilities, advising, supervising independent studies and thesis/dissertations, “managing” programs (including maintaining accreditation as needed)

Criteria for “Excellence” in this area (if chosen as a primary area):

- Excellence in teaching courses that are central to the preparation of the assigned students, as demonstrated by a combination of indicators that may include:
  - Long-term record of teaching key courses in the relevant program(s).
  - Innovative course syllabi, reflecting state-of-the-art knowledge and research in the field, capitalizing on one’s own expertise as a practitioner, and meeting expectations set by relevant professional organizations and/or accreditation agencies.
  - Evidence of using effective and innovative teaching practices in one’s courses, including instructional technology as appropriate to enhance students’ learning opportunities.
  - Positive feedback received from students taking the course (as provided in standardized course evaluation forms and individual students’ testimonials), peers, alumni’s employers, etc.

- Excellence in supporting students’ internships and other experiences in the field, as demonstrated by a combination of indicators that may include:
  - Long-term record of engaging successfully and creatively in the organization and/or supervision of student internships.
  - Evidence of paying attention to individual students’ needs and circumstances, and being able to recognize and seize opportunities to maximize their learning.
  - Evidence of using effective mentoring practices in supporting students in their internships, including how one capitalizes on own experiences as an expert practitioner.
  - Positive feedback received from the interns supervised, peers, alumni’s employers, etc.

- Excellence in working one-on-one with students, as demonstrated by a combination of indicators that may include:
  - Consistent record of successfully advising Masters’ students and/or overseeing independent studies
  - High quality of the work produced by students under one’s supervision.
  - Evidence of using effective mentoring practices in the above situations.
• Positive feedback received from the students one has worked with and peers.
  o Has developed an attitude of inquiry towards his/her own teaching practice that leads to continuous reflection and improvement, as demonstrated by a combination of indicators that may include:
    • Evidence of reflection on one’s practice.
    • Evidence of changes taking place in one’s syllabi, practices, etc. overtime.
  o Effective and pro-active participation in the management of relevant programs for the preparation of entry level and/or advanced practitioners, as demonstrated by:
    • Consistent involvement and contributions to program reviews and curriculum development efforts, so as to continually improve our programs.
    • Leadership in at least some aspects of the management of relevant programs.
    • Consistent involvement and contributions to student recruitment.

Criteria for “Outstanding Performance” in this area:

In addition to meeting all the “Excellence” criteria listed above, the clinical faculty member also demonstrates:

  o Exceptional record of preparing high quality practitioners, as documented by a combination of indicators that may include:
    • Evidence of having contributed to the successful graduation of a large number of students over time.
    • Exceptional achievements of some of the graduates one has intensely worked with and who recognize the influence of the faculty member on their success.
    • Sustained leadership role played in the design and management of successful Simon School programs.

  o Reputation as an outstanding teacher beyond the local level, as documented by a combination of indicators that may include:
    • Having received competitive higher education teaching awards (outside of the Simon School).
    • Invitations by professional organizations and/or business to give lectures and/or do consulting.
    • Sustained record of attracting students to the Simon School
    • Having been identified as an example of “best teaching practices” by experts in the field beyond the local community (in surveys, publications, studies, etc.)

  o Evidence of influencing curriculum and/or teaching practices of other higher education teachers beyond the Simon School, as documented by a combination of indicators that may include:
- Development and dissemination beyond one’s unit of innovative teaching practices, activities, syllabi, etc.
- Publication of textbooks and/or other instructional materials.
- Participation in policy-making that affects requirements and/or expectations for programs in higher education.
- Testimonials of other business teachers about the faculty’s impact on their own teaching practices.
(c) **Criteria and indicators for “Excellence” and “Outstanding Performance” for Clinical Scholarship**

**Main functions to be performed (if chosen as a primary area):** A combination of:

1. Evaluating/studying the effects of innovative policies and practices with the goal of identifying and refining best policies and practices, and making more explicit their connection to existing theories

2. Contributing to the identification of questions and issues worth researching because of their potential impact on policies and practices and helping other educators find, analyze and translate research into practice.

3. Disseminating the results of own studies and/or of existing theories and research to peers as well as practitioner and policy-making audiences (through the appropriate outlets, which may include articles in peer-reviewed practitioner journals, books, reports, presentations, videos or other multi-media materials)

**Criteria for “Excellence” in this area (if chosen as a primary area):**

- The faculty member has a coherent and worthwhile plan that guides his/her scholarly efforts and contributions, as demonstrated by a combination of indicators that may include:
  - A clear articulation of this plan in the personal statement.
  - Overall consistency between this plan and the work achieved to date and planned.

- Sustained engagement in worthwhile studies contributing to the identification and refinement of best policies and practices in business, as demonstrated by a combination of indicators that may include:
  - Sustained record of participation in projects that evaluate/study the effects of innovative policies and/or practices (may involve any of the following: action research studies, case-studies, evaluations of many kinds of innovations – new practices or programs, reform initiatives, etc. –, traditional research studies, etc)
  - Evidence of leadership in at least some of these projects.

- Record of efforts aiming at the identification of questions and issues worth researching because of their potential impact on policies and practices and at helping other educators find, analyze and translate research into practice, as demonstrated by a combination of indicators that may include:
  - Evidence of collaboration with research colleagues to this effect.
  - Participation in research projects as a consultant or collaborator with this role.
  - Participation in research panels and/or working groups with this role.
  - Relevant presentations to research audiences.
  - Record as a reviewer for articles, presentation proposals, grant proposals, etc.
• Established record of dissemination efforts in outlets that are appropriate given the purposes of the study and the audiences one is trying to reach, as demonstrated by:
  • Dissemination efforts in the form of presentations at professional conferences, workshops and presentations for various local audiences, organization of conferences and other dissemination events. (NOTE: all these examples involve, “oral” dissemination that requires the direct intervention of the faculty member).
  • Dissemination efforts that involve the creation of a “durable product” such as publications in a variety of outlets (examples: articles in peer-reviewed practitioner journals, articles in various other kinds of publications, books and chapters in books with a practitioner audience, papers published in conference proceedings, etc.), curriculum/instructional materials (published and unpublished), videos and other multi-media products. (NOTE: all these examples involve “product-based” dissemination, which can be done without the direct intervention of the faculty member, and as such may reach more people for a longer period of time).

• External validation of the value of these contributions for improving business policies and practices, as demonstrated by a combination of indicators that may include:
  • Evidence of rigorous review of one’s publications, presentations, proposals.
  • Positive reviews of one’s work (unsolicited and published)
  • Evaluation of external referees (chosen because they are experts in the field and can speak about the contributions of the faculty member’s work on improving business policies and practices)
  • Testimonials of practitioners and/or policy-makers that have been affected by the faculty members’ scholarly work
  • External funding received -- from grants, foundations, school districts, individual donors, etc. -- to support one’s projects (as it demonstrates that the “funder” recognized sufficient value in the work to decide to “invest” in it).

Criteria for “Outstanding Performance” in this area:

In addition to meeting all the “Excellence” criteria listed above, the clinical faculty member also demonstrates:

• A strong record of scholarly output that has provided significant contributions to the improvement of business policies and practices, as demonstrated by a combination of indicators that may include:
  • A sustained record of publications in peer-reviewed journals and/or book series
  • Publications and/or other scholarly products that have reached wide audiences (ex: books that sold a high number of copies; video-documentaries that have been broadcasted on national TV; “tested” curricula that have been adopted at the national level; reports that have been widely distributed and read; studies cited in important policy documents; etc.)
• Evaluation by external reviewers, chosen because they are national experts in the field and can speak about the contributions of the faculty member’s work on improving business policies and practices

  o National recognition of being an expert in the field, as evidenced by:
    • Evaluation of external reviewers, selected among national experts in the field
    • Other examples of national recognition, which could include any of the following: scholarly awards, invitations to give plenary lectures at national conferences, invitations to present to national professional organizations, being elected/called to leadership positions in influential state and/or national professional organizations, invited participation to influential task forces or policy-making groups at the national level, etc.
    • Sustained record of attracting students to the Simon School because of one’s scholarly reputation

  o Record of substantial external funding (only when applicable)
(d) Criteria and indicators for “Excellence” and “Outstanding Performance” for Practice towards improving business policies and practices

Main functions to be performed (if chosen as a primary area):

Contributing directly to improving business policies and practices through one or more of the following types of practices:

1. Empowering other practitioners to improve their practices (ex: by offering specific professional development opportunities, by engaging in one-on-one collaborations with practitioners, by providing feedback and evaluation, etc.)
2. Participating in collaborative projects aiming at developing and/or implementing innovative practices and policies
3. Participating in policy-making

Criteria for “Excellence” in this area (if chosen as a primary area):

- Excellence as an experienced practitioner in the chosen type of practice, as demonstrated by a combination of indicators that may include:
  - Evaluations/testimonials of peers, supervisors and “clients” on the quality of one’s own practice/service (especially relevant for 1).
  - Evidence of using innovative and effective practices, grounded on research and theory (especially relevant for 1&2).
  - Having received some competitive award (especially relevant for 1).

- Reputation as an excellent practitioner, as demonstrated by a combination of indicators that may include:
  - Evaluations of external reviewers chosen because they can speak to this point.
  - Sustained record of invitations to provide local presentations and workshops, or serve as consultant to local institutions
  - Record of invitations to serve on boards, committees, etc.
  - Sustained record of attracting local students to the Simon School

- A strong record of providing opportunities for other practitioners to learn from one’s innovative practice, as demonstrated by a combination of indicators that may include:
  - Sustained record of opening one’s practice for observation.
  - Sustained record of mentoring novice practitioners in one’s area (beyond Simon students)
  - Dissemination of “lessons learned” from one’s practice through a variety of outlets (may include giving presentations about one’s practice, offering workshops, sharing instructional materials one has created, consulting, etc.)
Evidence of having contributed to improving business policies and/or practices through one’s practice, as demonstrated by a combination of indicators that may include:

- Evaluations of external reviewers chosen because they can speak to this point
- Evidence of concrete improvements made in business policies and/or practices through one’s activities.
- Testimonials of practitioners of how the clinical faculty member contributed to improving their practices

Ability to self-support one’s practice (since the Simon School cannot afford to support this component of its mission simply through tuition revenues and current endowment, and because it is another indicator of recognition as an excellent practitioner), as demonstrated by a combination of indicators that may include:

- Success in securing competitive grants and/or contracts (especially relevant for 1 & 2).
- Success in maintaining a successful private practice/consulting business in a competitive environment (especially relevant for 1).

**Criteria for “Outstanding Performance” in this area:**

In addition to meeting all the “Excellence” criteria listed above, the clinical faculty member also demonstrates:

- Reputation as an excellent practitioner, as demonstrated by a combination of indicators that may include:
  - Evaluations of external reviewers chosen among individuals that can speak to this point.
  - Having received some state/national awards.
  - Having been selected as a subject for studies of “best practices”
  - Having been identified as an example in surveys/publications on “best practices” or by experts in the field
  - Record of invitations to provide presentations and workshops, or serve as consultant, at the state/national level.
  - Record of invitations to serve on board of directors, advisory boards, committees, etc. at the state/national level.
  - Sustained record of serving as reviewer for state/national exams, competitions, grants, etc.
  - Sustained record of securing substantial competitive funding in national competitions (as PI)
  - Sustained record of attracting students to the Simon School.
Evidence of having contributed to improving educational policies and/or practices beyond the local level, as demonstrated by a combination of indicators that may include:

- Evaluations of external reviewers chosen among individuals beyond the local community that can speak to this point.
- Participation in reform projects and/or policy-making at the state/national level (especially relevant for 2 & 3).
- Evidence of adoption by practitioners of innovative programs, curricula, practices, policies, etc. that one has contributed to develop.
(e) Criteria and indicators for “Excellence” and “Outstanding Performance” for Service

Main functions to be performed (required of all clinical faculty):

1. Providing service (beyond what done to contribute to fulfilling the Simon School mission through one’s teaching, scholarship and practice), as needed and appropriate given one’s expertise, to ensure the well-being and good-functioning of the Simon School and the University of Rochester

2. Providing service, as needed and appropriate given one’s expertise, to ensure the well-being and good-functioning of one’s profession

Criteria for “Excellence” in this area:

- Sustained record of being a productive, constructive and valued member of the Simon School community, as demonstrated by a combination of indicators that may include:
  - Evidence of on-going participation in the “life” of the Simon School.
  - Evidence of taking on one’s share of responsibilities for the functioning of the Simon School, and effectively carrying out those responsibilities (ex: taking on one’s turn in elected/standing committees, effectively completing on-going tasks required for accreditation, etc.).
  - On-going collaborative and supportive attitude towards colleagues, staff and students – as recognized by colleagues, staff and students’ testimonials/feedback

- Evidence of having made some substantial contributions to the Simon School “as an institution” (i.e., beyond contributions to specific components of the Simon School mission made through one’s teaching, scholarship and/or practice), as demonstrated by a combination of indicators that may include:
  - Key role played in some important program and/or school-wide initiatives – such as key committees/task forces, efforts towards accreditation (ex: preparing major reports, developing assessment tools and systems), etc.
  - Record of providing specific services of great need and value to the Simon School (ex: participation in student recruiting beyond what is expected of all faculty members; organizing and overseeing “writing support services” or similar initiatives; providing professional development for faculty and/or staff on some specific issues – ex: technology, grants; serving as liaison/support to the student organization; etc.)
  - Leadership role played in the development, redesign and/or management of specific Simon School programs.
  - Testimonials of colleagues, staff and students to the effect of these contributions.
o Sustained record of participation in activities that are needed to ensure the well-being and good-functioning of one’s profession, as demonstrated by a combination of indicators that may include:

- Membership and participation in relevant professional organizations.
- Serving as reviewer for articles, proposals, grants, etc.
- Serving on local/regional committees and task-forces related to one’s profession

**Criteria for “Outstanding Performance” in this area:**

In addition to meeting all the “Excellence” criteria listed above, a clinical faculty member also demonstrates some of the following:

o Evidence of some participation in the life of the university beyond the Simon School, as demonstrated by a combination of indicators that may include:

  - Occasional participation in university-wide committees/task forces, faculty Senate, etc.
  - Occasional participation in university-wide initiatives such as lectures/colloquia, campus conferences, professional development opportunities, open forums, etc.
  - Evidence of initiating and/or facilitating collaborations with colleagues in other units of the university.

o Sustained record of having made major contributions to the Simon School and/or University of Rochester “as an institution” (i.e., beyond contributions to specific components of the Simon School mission made through one’s teaching, scholarship and/or practice), as demonstrated by a combination of indicators that may include:

  - Key role played in several important program, school-wide and/or university-wide initiatives – such as key committees/task forces, efforts towards accreditation (ex: preparing major reports, developing assessment tools and systems, participating as Simon School representative in Middle State accreditation group; serving on university budget committee), etc.
  - Sustained record of providing specific services of great need and value to the Simon School and/or the University of Rochester (ex: participation in student recruiting beyond what is expected of all faculty members; organizing and overseeing “writing support services” or similar initiatives – at Simon and/or involving other units in the university; providing professional development for Simon School and/or university-wide faculty and/or staff on some specific issues – ex: instructional technology, entrepreneurship, etc.; serving as liaison/support to the student organization; etc.)
  - Sustained leadership role played in the development, redesign and management of specific Simon School programs.
  - Testimonials of colleagues, staff and/or students to the effect of the nature, effect and significance of these contributions.
• Record of some leadership role in activities that are necessary to ensure the well-being and good-functioning of one’s profession at and beyond the local level, as demonstrated by a combination of indicators that may include:
  • Taking on some leadership positions and/or responsibilities in relevant professional organizations.
  • Serving on state/national committees and task-forces related to one’s profession.
Midlevel and Senior Appointments from Outside the University

The Simon School conducts open rank searches at the junior, midlevel and senior faculty levels in most years. Appointments above the rank of assistant professor are subject to approval by the Provost (after receiving recommendations from the appropriate standing or ad hoc University committee) and the Board of Trustees. This section presents the Simon School’s processes for evaluating outside candidates for offers/appointments at ranks above assistant professor with and without tenure.

Simon School faculty search committees, consisting of faculty from the relevant academic area, are assigned the responsibility for identifying and initially evaluating potential midlevel and senior level job candidates. After a candidate is recommended by a search committee, the Simon School’s Promotion and Tenure Committee (P&T) is responsible for evaluating the candidate’s research and teaching history and making the official faculty recommendation to the Dean’s Office on whether an offer should be made, the appropriate rank and whether the offer should come with or without tenure.

Individuals applying for a position that is eligible for initial appointment with tenure are required to submit materials documenting such credentials upon application. Individuals who apply in an open-rank search and are identified as potentially tenurable during the review process are asked to submit those materials upon invitation.

In all cases, the P&T uses the same process in evaluating these cases that it uses in internal promotion and tenure cases. This process includes 1) a detailed reading and evaluation of the candidate’s published research and work in progress, 2) a review of evidence on the candidate’s past teaching performance and 3) a solicitation for input from all Simon faculty members at or above the candidate’s proposed rank and tenure status.

The UR allows schools to forgo the solicitation of external review letters when the candidate is tenured at a comparable institution of higher education to expedite the process. As a general rule, however, the P&T solicits approximately 12 external evaluation letters from prominent scholars in all cases. The P&T maintains the option to forgo the solicitation of outside letters in “special cases.” One prominent example is when it is asked to consider tenured Full Professor appointments for very high level administrative appointments, which have resulted from independent, thorough search processes (e.g., the Dean of the School, or the President of the University).

The UR permits tenured offers to untenured faculty who have commensurate credentials to warrant tenure at the UR and comparable institutions of higher education. To qualify for tenure, a candidate must be nationally recognized as a major authority in their field.
The P&T uses the following pieces of evidence to determine whether a candidate meets the tenure standards of the UR and comparable institutions:

- Peer-reviewed publications in high quality journals in the relevant field.
- Citations
- The P&T’s evaluation of the candidate’s research after a careful reading and discussion of published papers and work in progress.
- External evaluation letters from prominent scholars in the field (approximately 12 are solicited)
- Input from the faculty search committee (consisting of faculty from the relevant area) and other tenured Simon faculty members who responded to the P&T’s request for input on the case

The untenured candidate in these cases is typically a faculty member at an elite University (e.g., Harvard, Stanford or MIT) who has produced an impressive body of published research and has established a national/international reputation. The candidate has entered the job market either because they are concerned about tenure at their current university or other reasons. Additional evidence that a candidate meets the UR tenure standards is often provided by the fact that institutions of higher education that are comparable to the UR and Simon School have either made or in the process of making the candidate a tenured offer.